

Social Work England Board Meeting

26 July 2019 – 10:30 a.m. to 1:00 p.m.

1 North Bank, Sheffield

AGENDA

Item	Topic	Paper	Board action	Presenter
1.0	Call to order			
	1.1 Welcome	Verbal	To note	Lord Patel
	1.2 Declaration of interests	Paper	To note	Lord Patel
	1.3 Minutes of the previous meeting	Paper	For approval	Lord Patel
	1.4 Action log	Paper	To note	Lord Patel
2.0	Decisions and discussions			
	2.1 Organisational journey	Paper	To note	Tracy Watterson
	2.2 CPD consultation	Paper	To note	Phil Hallam
	2.3 Corporate strategy development update	Paper	To note	Sarah Blackmore
	2.4 Rules and standards consultation publications	Paper	To note	Sarah Blackmore
	2.5 IPA Review	Verbal	To note	Colum Conway
	2.6 Innovation group update – next steps	Verbal	To note	Group Chairs
3.0	Management reports			
	3.1 Finance update	Paper	To discuss	Adnan Bashir
	3.2 Business plan update	Paper	To note	Colum Conway
	3.3 Programme status report	Paper	To note	Colum Conway
4.0	Board governance			
	4.1 Update on Annual Accounts and Report	Verbal	To note	Adnan Bashir
	4.2 Appointment of new Governance Manager	Verbal	To note	Adnan Bashir
5.0	Presentation			
	5.1 BASW / JUCSWEC / APSW	Verbal	Discussion	BASW / JUCSWEC / APSW
6.0	Any Other Business			All

Guests:

Dr Janet Melville-Wiseman – Chair JUCSWEC (Canterbury Christ Church University)

Dr Pat Cartney – Co-Chair JUCSWEC Learning and Teaching Committee (University of Manchester)

Prof. Anna Gupta - Co-chair APSW (Royal Holloway University of London)

Prof. Gillian Ruch - Co-chair APSW (University of Sussex)

Dr Andy Gill – Chair BASW England Committee (London Borough of Bexley)

Dr Angie Bartoli – Vice Chair BASW England Committee (Nottingham Trent University)

Tom Sutton – Department for Education Social Work Reform Unit

Social Work England Board Meeting

Meeting date	July 26, 2019
Agenda item	1.2 Declaration of Interests
Executive Director/Lead	Lord Patel, Chair
Author	Rosie Kirk, Executive Assistant

Questions this paper addresses

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Summary

The Declaration of Interests is presented to the Board to be noted

Supporting papers

Declarations of Interest

Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

To be noted

Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	

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
Openreach Limited, owned by BT Group plc	Former Chief Technology and Information Officer

Name of Member: Colum Conway, CEO

Date of Appointment:

Organisation in which interest exists	Nature of interest
Nil Return	

Name of Member: Adnan Bashir, ED Finance

Date of Appointment:

Organisation in which interest exists	Nature of interest
Nil Return	

Social Work England Board Meeting

Meeting date	July 26 2019
Agenda item	1.3 Minutes of the previous meeting
Executive Director/Lead	Kamlesh Patel
Author	Sherife Hassan

Questions this paper addresses

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Summary

The minutes from the previous meeting

Supporting papers

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Board engagement / input

☐ Information ☐ Discussion ☒ Decision

Explanation of requirement

For approval

Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	

Social Work England

Board Meeting

14 June 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
 - Adnan Bashir – Executive Director Finance, Social Work England
- In Attendance:**
- Philip Hallam - Executive Director Registration and Quality Assurance Practise, Social Work England
 - Sarah Blackmore – Executive Director Standards, Social Work England
 - Jonathan Dillon, Executive Director, Fitness to Practise, Social Work England
 - Amy Soar – Head of Policy, Social Work England
 - Rosie Kirk, Executive Assistant to Colum Conway, CEO, Social Work England
 - Sherife Hasan – Head of Governance/Board Secretariat, Social Work England

1. Welcome and introductions

- 1.1 Lord Patel welcomed attendees to the meeting and the three members of the public observing the meeting (Mithram Samuel and Luke Haynes from Community Care and Marina Gibbs, independent observer). Lord Patel noted that there were no apologies.

2. Declarations of interest

- 2.1 The declaration of interests of the Board members were presented and noted. There were no additional updates.

3. Minutes of previous meeting – 03/05/2019

- 3.1 The minutes were approved as an accurate record.
- 3.2 The status and progress of the action points were noted. Any matters arising were discussed within the agenda items below.

4. Draft Rules and Standards

- 4.1 The Chair thanked the Executive Leadership Team (ELT) and the staff for all their hard work around the consultation process. Following detailed discussion at the Board workshop on the standards and the rules the consultation was a wide-ranging process with seven events held and over 1,000 people responded to the survey, including responses from membership organisations. The SCIE also ran two specialist events, including one for young people.
- 4.2 Sarah Blackmore gave an overview of the consultation feedback on the professional standards, which highlighted a generally positive response overall. Following the overview, the Board discussed the professional standards and added general comments on:
 - The importance of the standards using everyday language and not jargon so that they can be easily understood by people with lived experience and the general public.
 - There is a need to clarify some of the phrases used around social work practise, so there are no misunderstandings.
 - There are already a number of standards-related frameworks within the sector and it is important to be clear where these standards sit.
 - It is important to keep engaging with the sector during the development of the guidance and to ensure the same rigour is present in the development process.
- 4.3 Phillip Hallam outlined the feedback on the consultation on the Education and Training Standards highlighting the necessary lead in time for the implementation of the standards.
- 4.4 Phillip Hallam also outlined the feedback on the Registration and Education and Training Rules. It was noted that overall there was less feedback on the rules than on the standards – which is to be expected. In general, the feedback was positive and helpful, and appropriate amendments have been made to the rules to reflect the feedback.
- 4.5 Jonathan Dillion summarised the feedback on the consultation feedback to the Fitness to Practise rules. He highlighted a number of helpful responses in relation to the core principles and clarity of language. He also took the opportunity to clarify the role of social workers in each aspect of decision making, right through the Fitness to Practise process.
- 4.6 The Board acknowledged all the hard work by staff to date and recognised it was important for Social Work England to also consider what are the measures of success regarding the standards. This is vital in terms of how the standards are being applied within the sector and how they are meeting the expectations of professionals, stakeholders and people with lived experience.
- 4.7 After further discussion and questions, the Board approved for the standards to be sent to the Secretary of State for approval and rules be sent for review.

5. Innovation Groups Update

- 5.1 The Chair thanked all the Non-Executive Directors and the staff of Social Work England for their time and the commitment they have given to the Joint Board and staff Innovation Task and Finish Groups that have met over the previous two months. An update was provided by the Chairs of each of the three groups – Standards, IT and Data, and Engagement.
- 5.2 **Standards Group** – to date, two meetings have been held. The meetings have been productive, covering a number of issues. Some cross-cutting themes, relevant to the other groups had also arisen, including knowledge management and the use of data.
- 5.3 **IT and Data Group** – to date, one meeting has been held and this group has been considering what are the right digital tools to ensure that the organisation can regulate effectively now and in the future. The group is considering the fundamental digital requirements for a smooth and efficient transition of regulation while considering the longer-term ambition for digital transformation.
- 5.4 **Engagement Group** – to date, two meetings have been held. This group has been focused on beginning the process to develop a strategy and an action plan on engagement. Several activities are also being developed to improve engagement and the importance of the new regional engagement leads, who commence at the end of July was also highlighted as a significant contribution to the engagement activity.
- 5.5 The Chair confirmed that once all the groups have held three meetings, the themes and issues from all three groups will be collated and presented to the Board for further discussion at a strategy workshop in September.

6. Programme Implementation Report

- 6.1 The programme status report was presented by Colum Conway and the Board were asked to note the current position. The overall implementation programme continues to progress positively. The critical pathways were discussed:
 - The delay in the data transfer programme and its impact on the data and systems testing plan (see section 7 below).
 - Recruitment of staff is on target for both the internal staff and for associate/partners.
 - As per the previous discussion, the consultation on standards and rules is on target.
 - It was also noted that a flow chart on the Fitness to Practise system is under development and will be shared with the Board when it is complete.

Action: Jonathan Dillon

7. Update on Data Transfer from HCPC

- 7.1 A brief paper was presented by Colum Conway on the current status of the data transfer programme. The legal issues in relation to data transfer were resolved to allow for the transfer of data from HCPC UAT system to Social Work England to begin on 21st May. This represents a delay to the original testing programme, which will reduce testing and validation time. The overall impact is difficult to assess at this point as validation of the quality of the data has yet to be completed.
- 7.2 It was noted by the Board that the transfer of data programme was always likely to present particular challenges and the key to the process is to ensure we have sufficient resources available to address the issues as they arise. This, alongside the building of the CRM system within Social Work England are the key risk factors for the smooth and efficient transfer of regulation.
- 7.3 The paper was noted, and the Board will receive ongoing updates through the Programme Implementation Reports. It was also noted that the upcoming review to be completed by the Infrastructure and Projects Authority, due to take place the week beginning the 17th June, will give a further independent view of the progress being made towards the establishment of Social Work England and the transfer of regulation.

8. Finance Report – 2019/20 Annual Budget and Grant in Aid and Delegated Financial Authority Letters

- 8.1 Adnan Bashir reported that the Grant in Aid and Delegated Financial Authority letters have now been received and are reflected in the budget.
- 8.2 It was noted that as the organisation is in a set up phase, it is important that the budget has some element of flexibility to enable additional resources to be provided to support needs as they arise. Updates will be provided to the Board on how well the organisation is performing against the budget.
- 8.3 The Board thanked Adnan Bashir for his update report and approved the budget.

9. Governance Framework Review

- 9.1 It was noted that the Governance Framework for the organisation is in place, however, as the organisation develops it will need ongoing review and update. Risk management issues are key, and it is important that the Board has assurance in any high-risk areas
- 9.2 Adnan Bashir will produce a paper on the Governance Framework for the Audit and Risk Committee (ARC) and, once agreed, this will be shared with the Board.

Action: Adnan Bashir

10. Feedback on Audit and Risk Committee Meeting held on 10 June 2019

- 10.1 Lord Patel reported that a new Non-Executive Director had been appointed to the Board and it is anticipated that they will take on the role of Chair of the ARC. The Chair thanked Andrew McCulloch for his service as interim Chair of ARC.
- 10.2 Andrew McCulloch provided feedback on the recent ARC meeting and summarised the key issues.
- 10.3 The GIAA completed two planned internal audits in 2018-19 and produced two reports:
 - Audit of Development of Key Financial, Operational and Governance Systems Report
 - Development of Information and Technology Governance including preparedness to comply with GDRR

The GIAA audits covered the period up to the end of March 2019 and noted that, overall, good progress had been made in developing appropriate controls and systems, but there were areas for improvement with particular reference to Information and Technology Governance. The Management at Social Work England had accepted all recommendations.

- 10.4 The external report from the NAO has yet to be completed but they provided a verbal report on their indicative findings and opinions and reported that Social Work England would be receiving an unqualified opinion from the NAO as the organisation is in a good position.
- 10.5 A Risk Appetite Framework (RAF) was presented to the ARC and it was agreed that the development of a framework is a collaborative task that needs to be undertaken by the Social Work England Board and the Executive Leadership Team. This would be discussed at the upcoming Board strategy planning workshop.

11. Any Other Business

- 11.1 There was no other business raised.

12. Date of Next Meeting

- 12.1 The next meeting will be held on 26 July 2019 at the Social Work England offices in Sheffield.

Social Work England Board Meeting

Meeting date	July 26 2019
Agenda item	1.4 Action log
Executive Director/Lead	Kamlesh Patel
Author	Sherife Hasan

Questions this paper addresses

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Summary

Outstanding actions from previous meetings

Supporting papers

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Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

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Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	

Social Work England

Action Log – from Board Meeting 14 June 2019

	Date of Board Meeting:	Actions:	Owner:	Status/Due Date:
a.	08/03/19	Draft strategic plan to be presented to the Board	Colum Conway	Following Innovation Groups, the strategic plan will be presented to Board in the autumn
b.	08/03/19	Innovation Groups report to be presented in July	Colum Conway	Report to be prepared in July
c.	03/05/19	Review of Data Transfer and IT Functionality	All Board Members	Ongoing
d.	03/05/19	Update on recruitment plan and operational structure	Colum Conway	Scheduled for 26 July Board Meeting
e.	14/07/19	Fitness to Practise system is under development and will be shared with the Board when it is complete.	Jonathan Dillon	Outstanding
f.	14/07/19	Paper on the Governance Framework for ARC to be produced and, once agreed, this will be shared with the Board.	Adnan Bashir	Outstanding

Social Work England Board Meeting

Meeting date	July 26 2019
Agenda item	2.1 Organisational journey
Executive Director/Lead	Tracy Watterson
Author	Tracy Watterson

Questions this paper addresses

Summary
This paper sets out Social Work England's organisation journey so far, our current position and how we plan to continue developing.

Supporting papers

Board engagement / input ☒ Information ☐ Discussion ☐ Decision
Explanation of requirement
To note

Key implications or risks for any of the following (provide a brief explanation):	
Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	

Our organisational journey

Introduction

One of the biggest challenges in setting up a brand-new organisation is to recruit and train a workforce whilst at the same time developing an organisational culture, behaviours and values. This report summarises our journey to date and our plans going forward.

Our organisation

There are three types of roles within the organisation:

1. **Employees** work across a variety of directorates to support our operations. Everyone except the Chief Executive Officer is recruited by the organisation. As we are a non-departmental public body, the Chief Executive Officer appointment is a public appointment and approved by Ministers.
2. **Partners** are social work registrants, members of the public and legal professionals recruited competitively and contracted for a set number of days per year for which they are paid a fee. They give an independent perspective to our work. There are several different partner roles including Panel chairs, Panel members (adjudicators), People with lived experience of social work and Quality Assurance Inspectors.
3. **Non-executive board members** play a key role in the governance our work. As we are a non-departmental public body, non- executive board members are recruited through the Cabinet Office public appointments process.

In addition, we have several advisory groups such as the experts by expedience group and professional expert group that have helped us develop our thinking on standards and rules.

The story so far

The journey to recruitment began in December 2017 with the launch of the recruitment for the Chair and for the Chief Executive Officer.

In March 2018 the set-up team commissioned the development of an organisational design through contracted regulatory consultants. The design was based upon an analysis of HCPC data for social workers registration, course approval and fitness to practise concerns and cases and research into other health and social care regulators. The initial design, competency framework and suite of job descriptions was agreed with the Chair when he took up post in April 2018. The proposal for a strategy cascade with Executive Directors recruited first and their involvement in key Heads of Functions recruitment was also agreed. This relied on the incoming CEO and Chair making themselves available to recruit Executive Directors during July and August 2018.

Cabinet Office and Treasury signed off Social Work England's terms and conditions in May 2018 in time for recruitment to begin. It was agreed that a small number of people from the DfE set up team would be seconded into Social Work England to support the infrastructure development.

Recruitment strategy

The four elements of our strategy that we developed in May 2018 were:

1. **Identify:** a strategy setting out how we market our employment offer and target a field of credible candidates to our chosen location in Sheffield
2. **Select:** an agreed open and fair process used to assess applicants against published criteria and make merit-based decisions about who to offer jobs to
3. **Appoint:** a process to bring successful applicants into employment (including issuing of offer letters, contracts, and pre-employment checks)
4. **Join:** onboarding and induction

Identify

From the outset our strategy has been that we need top talent to succeed and that we need to recruit and retain talented and motivated people.

Our success criteria:

- we aim to get the right candidates to apply with the right skill, knowledge experience and motivation to succeed
- we appoint and induct people and equip them to hit the ground running and add value
- our culture, vision and values are being shaped by our people and reflect the profession we regulate
- we build knowledge quickly, working collaboratively across the organisation

The set-up team took advice from the General Medical Council who had recruited 130 people over a 10-month period to their new office in Manchester. Strategies we adopted included having a presence at job fairs, building relationships with recruitment agencies, hosting regular recruitment evenings, forging links with the city council's investment team, linking with Sheffield universities, maximising the use of social media and utilising free jobs boards.

Select and appoint

We designed a lean but robust process and provided Hiring Managers with a briefing pack and all related templates plus support to shortlist and interview to ensure consistency. The end to end process from advertising a role to the successful person agreeing a start date has taken an average of 6 weeks. Notice periods have varied from no notice to three months with an average of 6 weeks.

Join

We have a welcome pack for new starters and a robust induction that has been positively evaluated. Line managers are given support and guidance on agreeing objectives and expectations during the probation period and beyond.

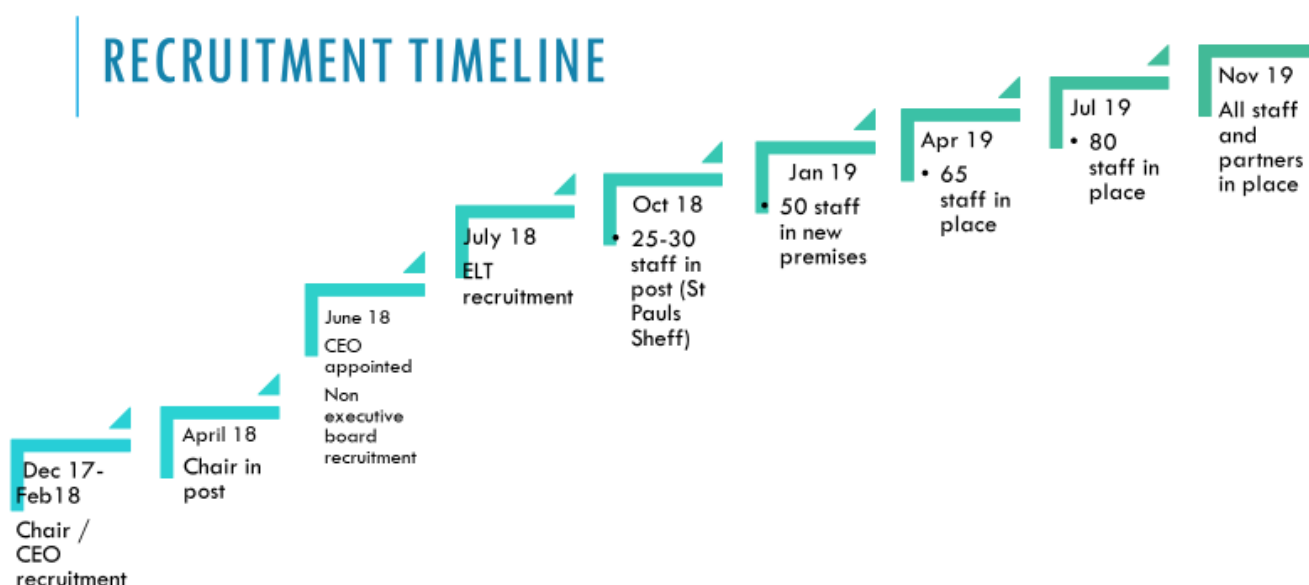
Resources

A small team of three with oversight and support from a Director have led recruitment. At various times of high volume, we have deployed additional people to support the process.

We took an early decision that we would not have the capacity to undertake our partner recruitment in addition to our staff recruitment. We procured an experienced recruitment supplier, Gatenby Sanderson to lead the partner recruitment for all our partner roles working in collaboration with a small cross-organisational project team.

Our recruitment timeline

Recruitment has been relentlessly fast paced and has demanded significant resilience from the team over a prolonged period.



Current position

As a result of the teams' commitment and hard work, we are on track.

The headcount by November 2019 is expected to be 151. This includes secondees and fixed-term people who are contracted to be here past December 2019. As of 15th of July, we have 82 people in post, 35 offers accepted, 46 roles in the recruitment pipeline and 12 people will be either moving roles or are 'set-up' roles and therefore not included in the full complement.

Workforce as of July 2019

Planned
complement

	Permanent	Contractors	Secondment	Fixed-Term	Headcount for Jul-2019	Accepted offer	In pipeline	Complement for Nov-19	Leaving/ moving
Business Services	8	1	1	3	13		3	14	2
People	6		1		7	1	1	7	2
Finance	7	1	3		11	2	2	11	4
Registration and QA	14				14		9	23	
Standards	7		1	2	10	7	3	19	1
Fitness to Practice	16			2	18	20	24	61	1
Legal	3	1		1	5	5	4	12	2
Senior Leadership Team ¹	4				4			4	
Total	65	3	6	8	82	35	46	151	12

Partner recruitment

Directorate	Roles	Required	Application	Interviews	Accepted
Registration and Quality Assurance	EQA - Lay Inspector	15	81	83	53 accepted
	EQA - RSW Inspector	15	44		
	EQA - AMHP/BIA Inspector	15	20		
	Registration Adviser	3	18	9	4 accepted
Fitness to Practise	Lay Panel Chairs	35	150	55	24 June – 26 July
	Panel lay adjudicators	30	276	64	
	Panel registrant adjudicators	30	69	48	
	Legal assessors	35	86	55	

Registration and Quality Assurance: over offered on these roles, originally planned for 45, offered to 53 which creates additional resource to deploy in the immediate task we will have of approving social work training courses.

Fitness to Practise: interviews on track and we expect to meet our targets.

¹ Chief Executive Officer, Executive Assistant to the Chief Executive Officer, Administrative Assistant to Executive Directors, Business Support Officer

The wider organisational strategy

Recruiting the right people is one part of the picture. We also need to ensure we have the right structure, culture and working practices to enable delivery of our objectives and a plan to make sure we have a trained workforce by the time we go live, including professional advisers, investigators, case examiners and a full team of independent adjudicators.

Our learning and development team are implementing a learning and training plan having worked across directorates on a training needs analysis. Specialist training for panel members and case examiners is currently being procured. Our e-learning platform 'Thrive' was recently launched.

We take the health and welfare of our people seriously and have a duty of care for their health and wellbeing. An occupation health service and an employee assistance programme are being procured to provide our people with free information, advice and support that is easily accessible, confidential and independent and to provide managers with specialist advice on preventing and/or resolving health problems which can impact on an individual's ability to work.

We have established several forums at different levels within the organisation to develop and embed cultural expectations. During the summer we will run a series of all staff workshops to develop our strategy of which people is a strand.

An engagement survey is planned for early September. At this early stage, the purpose of the survey is to gain feedback about:

1. Joining us
2. Our culture and behaviours (competency) framework
3. Working here
4. Internal communication
5. How we recognise people

The results from the survey will form the basis of a development plan to inform the next stage of our journey.

Tracy Watterson
Assistant Director
People Directorate
July 2019

Social Work England Board Meeting

Meeting date	26 July 2019
Agenda item	2.2 CPD Consultation
Executive Director/Lead	Sarah Blackmore, Executive Director of Standards and Phil Hallam, Executive Director of Registration and Quality Assurance
Author	Katie Newbould, Policy Manager

Questions this paper addresses

What is our proposed CPD process for social workers?
 What will we consult on?
 How will the Board be kept informed?

Summary

This paper notifies the Board of the upcoming consultation on Social Work England's approach to continuing professional development (CPD). It briefly sets out the pre-consultation and analysis undertaken to date and provides an initial proposal of our approach in the first year of regulation, as well as our ambition for the following years.

Supporting papers

Annex A – CPD Approach Flowchart

Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

We are informing the Board of our upcoming consultation on CPD. The Board will be kept informed of the progress and we will provide another Board paper for discussion at the close of the consultation.

Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	Yes
Business processes	
Explanation	Social Work England stakeholders want an opportunity to inform our approach to CPD. Social workers and their employers will want

	to know what is required of registrants to maintain their registration.
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Introduction

1. This paper sets out our approach to the upcoming public consultation on CPD. It provides an initial overview of our approach to CPD in the first year and spells out our high-level ambition beyond that. The paper summarises the work done so far, provides an outline of the process and details the next steps.
2. Based on the engagement and research we have undertaken, including advice taken from other regulators, we propose to use the first year of regulation as an opportunity to learn about social workers and their learning activities. This will mean we are primarily concerned with social workers using their online account to record their CPD. After year one we will undertake a review and consult with the sector to inform our approach to CPD in years two and three, with a view to making incremental advances in our CPD requirements.

Our approach

3. Through consultation, we want to explain that this is the beginning of our CPD journey and share with them our vision for the future. The first year will be a year of learning. We will use it to embed our new CPD standards and procedures, giving social workers time to adjust to the new process and the use of their online account to record their CPD.
4. Importantly, we know that social workers are already carrying out CPD; what we want is for them to record their CPD in their online account. In successive years, we want to make incremental, but intelligence-led, improvements to our CPD approach that means we are mobilising CPD as a real regulatory tool.
5. We also want to work with our regional engagement leads to understand how CPD is taking place in the workplace across the country, and how employers are supporting social workers.

How we got here

6. We asked about CPD in the public consultation on rules and standards. Social workers told us that they want a CPD process that is straightforward with a system that is easy to use, that allows for a variety of learning, and that demonstrates impact on practice.
7. We researched the CPD processes in the current and other UK regulators. This showed that even with minimal change from the current regulator, we are breaking ground with our approach. We will be the first social work regulator to have a completely online recording and evaluation process and we will have new standards around CPD, something that social workers have encouraged.
8. To delve further into our CPD proposals, we held a workshop with social workers and academics where we were able to test our thinking and invite thoughts on the online account. This has established a CPD-focused professional group that we intend to engage further throughout the consultation. The feedback from the workshop echoed what we understood: that social workers want a supportive structure, not a bureaucratic burden, with an emphasis on reflection and impact on practice, supported by guidance.
9. We also held a workshop with representatives from the other social work regulators in Scotland, Wales, Northern Ireland and the Republic of Ireland. We were able to discuss experiences and approaches to CPD among regulatory peers. Their feedback reinforced

our view that we should require social workers to consider the impact that CPD has had on their practice, rather than measure learning in hours or credits. They agreed that it should be a supportive process where social workers upload their CPD on regular basis, to ensure good reflection.

10. This pre-consultation activity has been used to inform our thoughts on the draft process and guidance for consultation.

Key features

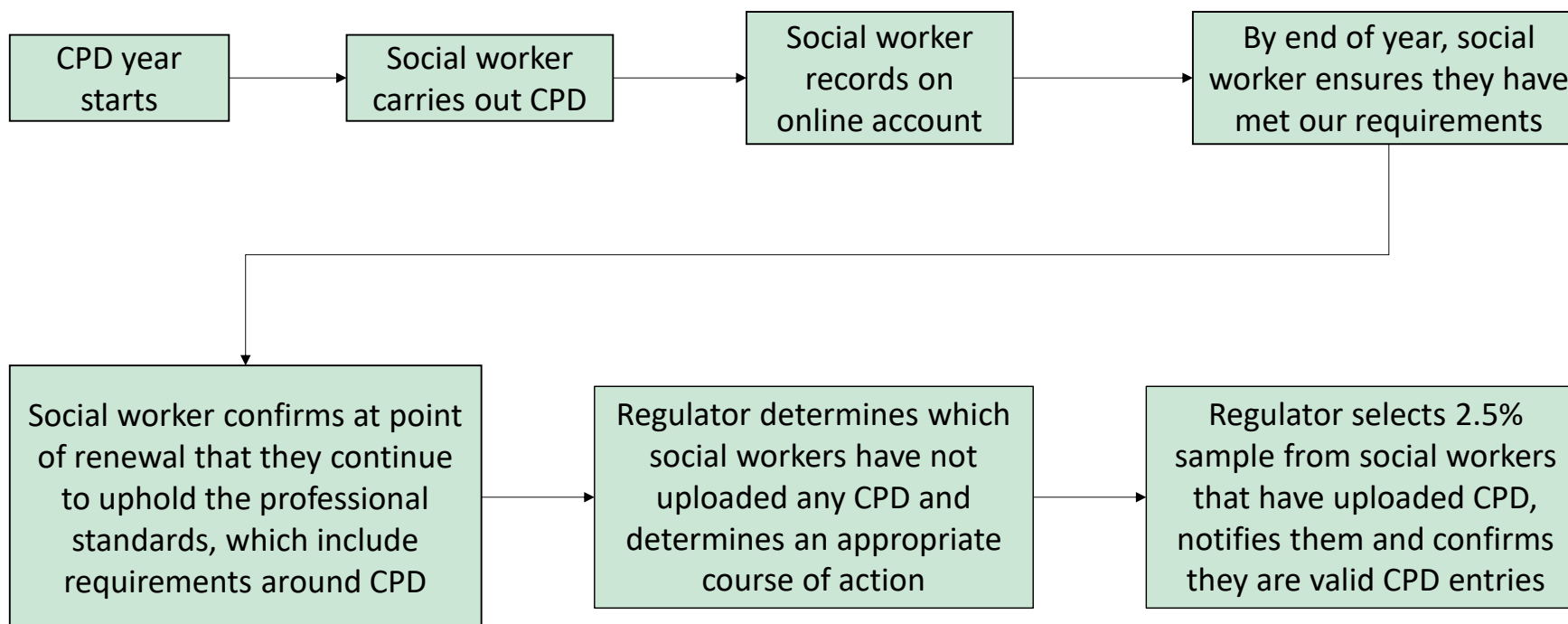
11. Social workers will continue to carry out CPD as they do now.
12. We require that they record their CPD in the online account, which is flexible in its recording options, stressing that this is how we will determine that they continue to meet our standards.
13. In year one, we will not specify a required amount of CPD, only that a social worker must record at least one piece of CPD during the 12-month period and that their recorded CPD must demonstrate that they meet all eight CPD standards.
14. We will make best use of communications to encourage social workers to record their activity as they go. We will send periodic reminders notifications to those that have not.
15. At the point of renewal, a social worker will need to ensure that they have recorded their CPD and declare that they continue to meet the professional standards, including those relating to CPD.
16. Once the renewal period closes, we will determine which social workers have not recorded any CPD and treat those cases as an issue of registration. We may choose to remove them from the register.
17. For those whose CPD we do review, we will analyse the contents of the CPD entries, to check that CPD has in fact been completed, and to develop a report that we will publish, and which will also help inform our developing approach to CPD
18. Importantly, we will provide guidance to explain the process, our standards and the kinds of CPD individual registrants might want to do to meet our standards.
19. During evaluation of the first year, we will not consider whether a social worker's CPD is of 'sufficient quality', as we are still determining what that looks like. This first evaluation period will be used as an opportunity to look at what CPD social workers are doing and using it to inform our processes and requirements going forwards.
20. We will not offer the option of deferral but will look to accommodate extenuating circumstances, and we will describe how we will do this.
21. We will select a 2.5% sample of those on the register that have uploaded some CPD and confirm that it is a valid CPD entry and look to produce a piece of analysis to feed back to the sector and inform our year two CPD process design.
22. See process flowchart, annex A.

Next steps

23. We will hold a 10-week public consultation on our proposed process and related guidance in early August. Post consultation, we will provide feedback to the Board and set out the finalised process based on consultation feedback.
24. We plan to publish guidance relating to CPD ahead of our launch, which will be enveloped in a communications strategy to ensure the process is appropriately embedded.

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25. We will continue to engage with our professional experts in CPD and look to involve experts by experience during the consultation period.

CPD Process



Social Work England Board Meeting

Meeting date	26 July 2019
Agenda item	2.3 Corporate strategy development update
Executive Director/Lead	Sarah Blackmore, Executive Director, Standards
Author	Sarah Blackmore

Questions this paper addresses
Development of the Corporate Strategy

Summary
This paper sets out the timeline and methodology for the development of our Corporate Strategy.

Supporting papers
n/a

Board engagement / input ☒ Information ☐ Discussion ☐ Decision
Explanation of requirement
For the Board to note

Key implications or risks for any of the following (provide a brief explanation):	
Perspective	Summary
Financial	
Innovation and learning	Yes
Stakeholders	Yes
Business processes	
Explanation	The development of a Corporate Strategy for our organisation is key in terms of setting out our strategic direction over the next 3 years for our staff, our Board, and the sector. This will give assurance and confidence in our intent and how we will meet our key objectives.

1.1 Introduction:

The following is an outline plan and timeline of how we will develop and produce our Social Work England Corporate Strategy for the three years to March 2023.

As the new, specialist, social work regulator, we have three overarching objectives:

- to protect, promote and maintain the health, safety and well-being of the public;
- to promote and maintain public confidence in social workers in England; and
- to promote and maintain proper professional standards for social workers in England.

As such, our Strategy needs to set out how we will meet these objectives, the approach we will take and how we will be different. If we are working in the way we aspire to how will we, and the profession, look in three years' time?

An important consideration is the language we use, this needs to be in keeping with how we have spoken about ourselves so far and the brand that we have developed. Our standards are statements of commitment, our strategy should also reflect this.

1.2 Four potential themes:

In considering our approach to the development of the Corporate Strategy, we have identified four “big themes”:

- Development of regulation – we are implementing legislation which is different from other regulators. How will we work to set new standards and approaches for regulation? How will we lead change?
- Development of the organisation itself – how will we look in three years? What does success mean to us? What will our culture look like? How will we support innovation and improvement? How will we ensure there is confidence in us as an organisation?
- Development of the Social Work professional – as an individual. What impact will we have in relation to the professional standards and practice competence of our registrants? What will have changed for a social worker in England as a result of Social Work England?
- Development of the profession – what data and intelligence will we gather and how will we use this to raise standards across the profession? How will we contribute to moving the profession forward working to promote and maintain public confidence in the social work profession?

1.3 Timeline and Methodology:

We have drafted a timeline and methodology of events that will contribute to the development and production of the Corporate Strategy. This includes the following key milestones:

- Outcomes from the series of Innovation Groups involving Board members and staff, covering Engagement, IT and Data, and Standards. The groups met on three occasions to consider the strategic direction of the organisation. Outcomes from each group will be collated and presented to the Board in preparation for the strategy day on 6th September.
- Regulators/PSA Workshop – 11 July/01 November meetings
- A series of staff workshops – 24 July/21 August/26 September
- Regional Engagement Leads local activity and engagement – from 22 July
- A review of the feedback from the Consultation on our draft Rules and Standards to identify relevant points for the development of the Strategy
- ELT Strategy Planning Day – 22 August
- Heads of function Away Day – 04 September
- Strategic Session with DfE and DHSC – August/September (tbc)
- Board Strategy Day - 06 September
- A national event drawing together a wide representation of people with an interest in social work, frontline practitioners, academics, people who use services and their carers, children and young people. This will focus on engagement and the development of an advisory function to replace the current Professional Expert and Experts by Experience Groups, but will also feed into the development of the Strategy. This will be the first significant task for the Regional Engagement Lead team and the Head of Strategic Engagement – October/November (tbc)
- Board meeting sign off - 13 Dec (tbc)

We are confident that the breadth of activity described above will leave us well placed to develop a Corporate Strategy that is meaningful, in keeping with our culture and values, and is relevant to the sector.

Sarah Blackmore

Executive Director, Standards

Social Work England Board Meeting

Meeting date	26/07/2019
Agenda item	2.4 Rules and standards consultation publications
Executive Director/Lead	Sarah Blackmore, Executive Director, Standards
Author	Amy Soar

Questions this paper addresses

What is the planned approach to the rules and standards consultation response?
 Are there any interdependencies associated with this publication?
 How did Social Work England develop the standards guidance documents?

Summary

This paper sets out the roadmap to the publication of the response document to the consultation on rules and standards. It also highlights the interdependencies between this publication and the proceeding consultations on fitness to practise, registration and continuing professional development (CPD).

Supporting papers

Draft consultation response document

Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

Conclusion of the consultation on rules and standards, the substance of which the Board is already sighted.

Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	Yes
Business processes	Yes
Explanation	Social Work England stakeholders, social workers and employers of social workers will want to work towards the professional standards. Education and training providers will want to consider their course design and delivery in light of our 2020 standards for social work courses.

	Interdependencies exist between the rules and standards consultation response document and the development of other key documents and policies.
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Introduction

We consulted the public on our rules and standards between 21 February and 1 May 2019. We are required in our Regulations to consult publicly, but this also served as an opportunity to start a conversation about social work regulation with the public, educators and social workers and launch Social Work England as the new, specialist regulator.

The consultation generated a wealth of feedback on the rules and standards and rich engagement with our stakeholders. Following the close of the consultation, we published a 'first look' at the emerging themes on 23 May. We are now due to publish a more detailed response to the consultation by the end of July, including the final sets of rules and standards and an explanation of the changes we've made.

Detail

We are anticipating the consultation response to be of significant interest to our stakeholders and expect that it will draw attention of the media. We welcome this and want to talk about the collaborative approach we have taken to the development of the rules and standards. As such, the consultation response document has been drafted to be concise, with a narrative description of the changes and fuller detail in annexes. The document is also being designed so that it is attractive, easily shareable and features the voices of those who advised us along the way.

Accompanying the consultation response document will be an equality and impact assessment, informed by the feedback we received through the online survey. This has been the product of analysis across the various directorates associated with the rules and standards and has been reviewed by our own legal team.

Alongside the consultation response documents will be the supporting guidance for the professional standards and qualifying education and training standards. Social workers, educators and employers are keen to internalise the standards at the earliest convenience. In order to develop these documents in the same spirit of consultation as the standards themselves, we held a workshop on Monday 8 July to consult social workers and representatives of higher education on the guidance needed to make the documents clear for those who will be responsible for meeting our regulatory standards. We also welcomed the views of student social workers.

The publication of the response alongside the standards and the guidance is an important marker of interdependence across the organisation. Shortly after publishing the response document, we will turn to our consultation on three key fitness to practise documents: 1) Indicative Sanctions Policy; 2) Pre-Hearing Case Management Policy; 3) Triage Decision-Making Guidance. In August we plan to consult on our approach to continuing professional development (see associated paper). Both areas are derivatives of the rules and standards and as such their consultation is contingent on publishing the consultation response.

In addition to areas for traditional public consultation, we are also developing guidance documents, policies and forms in preparation for our launch. In order not to overwhelm the sector, we are only consulting on the publications of public interest and/or documents that guide our regulation, e.g. guidance for our decision-makers. We will return to the Board with more information about these publications and our future areas of consultation.

Reshaping standards, enabling change: consultation response

DRAFT

17.07.2019

CEO Message

“Pending”

About Social Work England

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 social workers in their vital roles. We believe in the power of collaboration and share a common goal with those we regulate—to protect the public, enable positive change and ultimately improve people's lives.

Introduction

Rules and standards sit at the core of our ability to regulate social workers in England.

Our rules set out what people can expect from us across registration, education and training, and fitness to practise. Our professional standards are what we expect social workers to meet to gain and maintain registration. We also set standards for the providers of social work education and training courses. These standards ensure that the right students are admitted onto social work courses, that they are working towards the professional standards, and that they are preparing for employment as a social worker.

We started talking to people about our rules and standards in 2018, and our professional expert group¹ and our experts by experience² offered advice and challenge on our initial proposals.

On 21 February 2019 we launched a public consultation, which ran for 10 weeks and covered five areas:

1. Professional standards.
2. Qualifying education and training standards.
3. Education and training rules.
4. Registration rules.
5. Fitness to practise rules.

After the consultation closed on 1 May 2019, we published a [first look](#) document to provide a preview of the responses ahead of the full consultation response.

In this document we note the feedback we received to each of the areas we consulted upon, set out our response to the feedback, and provide our rationale for any changes made. We also provide a summary of some of the feedback we received about social work generally, including personal experiences and hopes for us as the new social work regulator.

¹ 1 Association of Directors of Adults Social Services, Association of Directors of Children's Services, Association of Professors of Social Work, Become, British Association of Social Workers, CAFCASS, Chief Social Worker for Children and Families, Chief Social Worker for Adults, Frontline, Goldsmiths University London, Joint Social Work Education Council, Local Government Association, Northern Ireland Social Care Council, NSPCC, Principal Adult Social Worker Network, Principal Child and Family Social Worker Network, Professional Standards Authority, Scottish Social Services Council, Shaping Our Lives, Skills for Care, Social Care Institute for Excellence, Social Care Wales, Think Local Act Personal, Unison, University of Bradford, University of Central Lancashire, University of Sheffield and Youth Justice Board.

² The experts by experience group are comprised of people with a wide variety of lived experience of social work. The group is facilitated by us and its purpose is to inform and challenge our thinking, increase communication and understanding of different perspectives, and create real opportunities for engagement in order to make effective change happen.

How we consulted

Through the consultation we wanted to reach as many people as possible who have an interest in our work. To do this, we designed a consultation approach which enabled us to engage with people in several different ways.

From 21 February to 1 May, we held six public events across the country, as well as two events for people with lived experience of social work. We also turned to our professional experts and our experts by experience, who advised us on the development of our original proposals. In addition to face to face engagement, we asked questions in online surveys, and held six Twitter question and answer sessions.

This approach helped us to understand the response to our proposals and to hear the views and voices of people and social workers.

How we gathered responses to the consultation

Our public events took place in London, Plymouth, Salford, Newcastle, Birmingham and Sheffield. At these events, we talked through our proposals and captured feedback from attendees.

To maximise the opportunity to hear from people at our events we held table discussions, which allowed attendees to ask questions and share their experiences. Social Work England staff took notes, which were sorted into themes alongside feedback received by email, post and through our social media channels. Visual artists attended the events to track conversations in images and allowed people to record their thoughts via post-its.

We worked with the Social Care Institute for Excellence (SCIE) to run two events specifically for children, young people and adults with lived experience of social work. These groups discussed the professional standards and the standards for education and training. These workshop-style events aimed to make the content interesting and engaging and allowed a range of ways to participate. A visual artist also recorded the conversations at these sessions. SCIE and the event attendees ultimately co-produced a report of their recommendations.

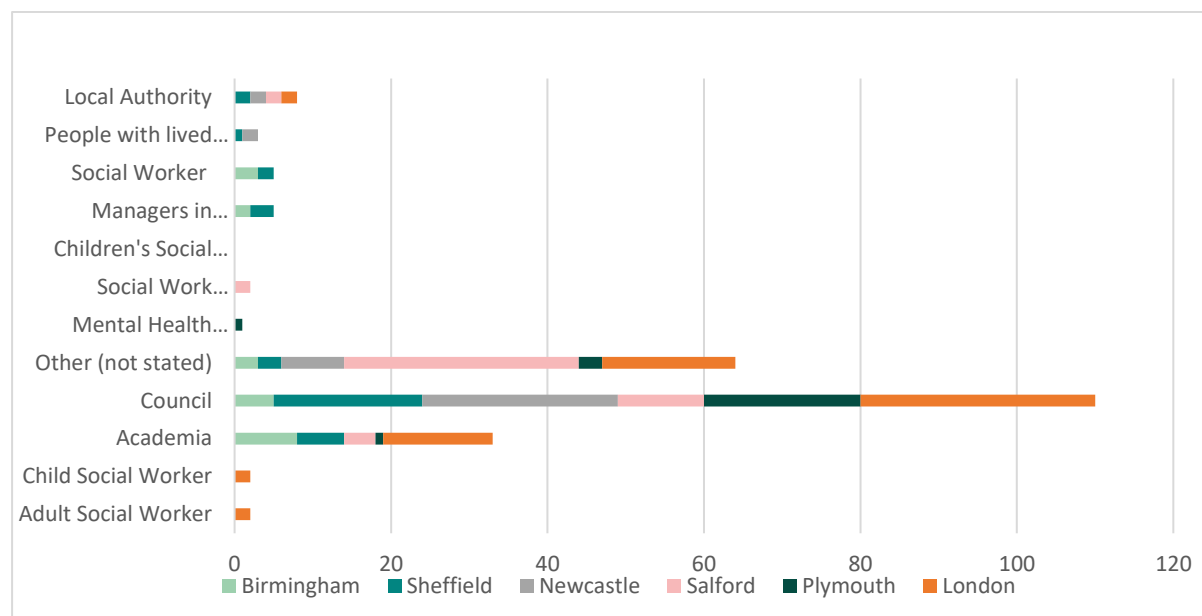
To accompany face to face engagement, we asked questions via online surveys about the extent to which people agreed with our proposals. Respondents could rank their level of agreement on scales from one (strongly disagree) to five (strongly agree). Respondents also had the opportunity to provide additional comments or information to each question. The scales helped us to understand the extent to which people supported the proposed rules and standards, and the comments helped us to consider areas for change and development.

We received 583 responses to the online survey and 32 written responses, including responses from membership organisations including BASW and UNISON, representative of more than 1,050 people.

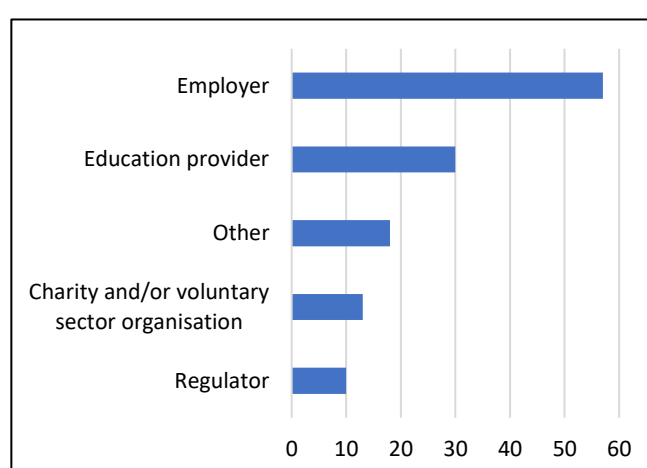
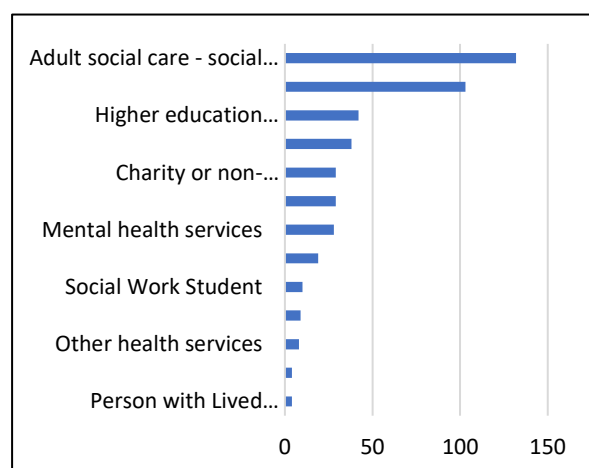
Who responded?

Through our activities, we engaged with different people and groups with an interest in our work. Here we break down the respondents to our events and surveys by their role.

Events



Surveys



What we heard

In this consultation we asked for feedback on our proposed rules and standards, but this was also the start of our conversation about social work regulation in England. Respondents took the time to talk to us about their personal experiences and thoughts. Below are a few of the many thoughts people took the time to share with us. All of this feedback is informing our work and in the 'next steps' section, we set out how we have reflected on these comments.

People with Lived Experience	'[I want social workers to be] committed in the role, then you can't just leave out of the blue.'	'We get treated like we don't matter, respect our history.'
	'[We need to make sure] all social workers sing from the same song book.'	'[If a social worker has personal experience of being in care], using it well not 'oversharing' own experiences or because they experience something similar, thinking they get you.'
	'What happens when students enter the system? Social work students are equipped to be good social workers but something happens when they enter employment and the system, what is it?'	'[Social workers] need to recognise not everyone knows their goals/ aspirations: Social workers should be trained to support people to recognise and realise their goals.'
Social Workers	'One set of standards means consistency in the quality of the social work practice.'	'The use of social media has on occasions re-victimised those who have entered the 'system' and I fear this has undermined our profession somewhat.'
	'A recurring theme in disciplinary hearings for social workers is that they are overworked / have an overwhelming caseload in addition to other complaints such as having to work in unsatisfactory conditions.'	'They [public] have limited knowledge regarding the role of a social worker.'
	'There is always the concern that the list in standards are a list to use as disciplinary measures against staff rather than a supporting tool to the profession.'	'I must be able to listen to and understand clearly the needs presented by the service receiver. That to me is where the need for understanding resides. That interface.'
	'It can be challenging at times to promote professional social work standards in a NHS Trust where the health care culture is dominant.'	'I think the interaction between PCF and KSS is quite confusing for most practitioners.'
	'I find the PCF more than adequate and cannot understand why there had to be the KSS let alone now a third document.'	'The public, the media and other professionals have such low regard for social workers which is sad and unacceptable and needs to be addressed...'
	'My experience is that in this current climate of managerialism, social worker managers (and I have been one) are not supported by the organisation to uphold social work values.'	'Glad it is changing to a social work governing body - more specialised and gives the profession more credibility.'

Professional standards

The professional standards are the standards that we will expect social workers to meet and uphold.

What you said

The average approval rating in the survey for the proposed professional standards was 4.4 out of 5.0. The professional standards were generally seen as clear, simple and accessible. Most comments focused on clarity, strengthening areas of social work practice and personal accounts of the social work environment.

Social workers described being able to relate to the professional standards, which they said are strengths-based, specialist, and reflective of social work values. Most approved of the 'I will' statements. Some felt that the professional standards were too detailed and, in places, open to interpretation. There was notable concern about the number of standards and frameworks for social workers. Many expressed a desire for employers to support social workers in meeting the standards, especially in busy work environments.

People with lived experience of social work recommended making the professional standards clearer. Young people suggested bringing the standards alive with real-life examples, whereas the adults thought there should be more emphasis on rights-based approaches and social justice. For both groups, listening, communication, honesty, compassion, reliability and knowledge were the key features of a good social worker.

Other responses were about perceived gaps. Supervision, resilience, duty of candour and leadership were areas individuals and organisations suggested we should include. Some felt that the standard relating to continuing professional development (CPD) was underdeveloped. Many asked for guidance to support the standards. Some also requested a map of the professional standards against other frameworks and standards that social workers work with, to show how they relate.

What we did

To improve the clarity, we reordered the professional standards. We moved the standard on CPD and provided greater detail on the standards that sit beneath it. We also now ask that where social workers are working with people, that they include feedback from them when reflecting on their practice.

Recognising the concern over ambiguity, we separated out individual standards and added language where appropriate to elaborate on meaning. We made greater reference to social justice, social work practice and rights-based approaches in social work. We also introduced new standards, including standards on families and communities, assessments, culture and proportionate interventions.

We understand that the landscape of standards for social work is considered crowded and we will work with relevant social work organisations to produce a map.

A table detailing the changes we made to the professional standards and why, is at **annex 1**.

Qualifying education and training standards (2020)

Our qualifying education and training standards (2020) set out the requirements we expect social work courses to meet. These new standards will be in place from autumn 2020.

Our first set of education and training standards will be implemented from the date that we become the social work regulator. These standards will mirror the current standards for education and training, with some minor changes. This is to allow course providers time to make any changes that are required as a result of our new 2020 standards.

What you said

The average approval rating in the survey for the 2020 education and training standards was 4.0 out of 5.0. The standards were generally seen as positive, robust and covering all the necessary areas. People particularly welcomed the standard on supporting students. Respondents were positive about the fact that the standards have been developed through collaboration.

Education providers asked for guidance to better understand how to apply the 2020 education and training standards. Respondents also wanted a clear definition of a statutory placement. Some were concerned that statutory placements would limit students' experiences and be difficult for education and placement providers to manage. Others felt that they were essential for helping students to gain the required skills and knowledge.

The people with lived experience of social work who were involved in the SCIE events suggested that admissions processes should include a consideration of students' values, personal traits and prior experience. They also thought that co-production should take place in all aspects of education, including student selection, course design, course delivery, student placements and assessment.

Other responses included feedback about the importance of students' health, wellbeing and risk whilst on placement. Some suggested that we needed a greater emphasis on preparing students to undertake CPD when qualified.

What we did

We amended the wording of the standards to clarify that they apply to all routes into social work, and that the 200 placement days can include up to 30 days for skills training. We placed more emphasis on students' development of knowledge and skills in order to meet the professional standards once qualified. We also included a new standard about policies, procedures and support systems for students on placement, and a new standard about considering students' prior experience as part of admissions processes.

After careful consideration, we decided to maintain the requirement for one statutory placement in order to ensure all students gain experience in practice settings that prepare them to register with us and practise as social workers. Our draft guidance on practice placements includes a detailed definition of what we mean by a statutory placement.

A table detailing the changes we made to the qualifying education and training standards (2020) and why, is at **annex 2**.

Education and training rules

The education and training rules set out how we will approve and reapprove courses that qualify people to register as a social worker.

What you said

The average approval rating for the rules in the survey was 4.0 out of 5.0. The proposed rules were generally seen as positive, but the feedback we received was varied.

The most common area of feedback was that the standard of English among social work students should be monitored and improved. Similarly, some identified the absence of specific criteria in relation to tests of knowledge of English.

A similar number wanted a definition of 'best practice' in relation to best interest assessors (BIAs). Social workers who also are qualified BIAs ensure that decisions about people which affect their liberty are taken with reference to their human rights and safeguard their best interests.

Across the education and training rules, there was a general desire for guidance to support the rules, to help make specific aspects clear for education and training providers. A small number of respondents felt inspections should not include observing lectures.

What we did

We have added an additional criterion to rule 3 to address tests of knowledge of English, and to link this criterion to the professional standards and registration requirements.

We have reduced the timescales for the drafting and publication of an inspection report.

We will provide guidance to support the implementation of our rules.

A table detailing the changes we made to the education and training rules and why, is at **annex 3**.

Registration rules

Our registration rules set out what we will require from social workers who register with us, and how registration processes will work, including the process for appeal against a registration decision. The rules also set out the registration renewal period, requirements around CPD and how we collect fees.

What you said

The average approval rating in the survey for the rules was 3.9 out of 5.0. Most of the feedback we received related to CPD, information recorded on the public register, fees and annual renewal.

We received a high number of queries around the information that we will require at registration and the information we will publish on the public register. Social workers expressed a concern that displaying the postal town of their registered address may compromise their safety. Others asked how we intend to record gender identity.

In the rules, we propose a renewal of registration on an annual basis. Professional organisations, as well as several survey respondents queried the rationale behind this. The rules also set out our fee structure and how we will collect fees. This describes the kinds of fees we will collect but does not detail the level of the fees. Most of the feedback we received relating to fees centred around concerns over anticipated fee increases.

Overall, respondents felt the proposals around CPD were a positive step and would encourage a shift in the profession's learning culture. There were concerns that keeping CPD records up to date could be an additional pressure for social workers. The proposal of an online recording system was generally very well received, with respondents wanting an easy-to-use system, available on mobile devices. Social workers who attended our public events generally disliked measuring learning in hours or points.

What we did

We have clarified that only the postal town of the employment address will be displayed on the public register. Where no employment address is provided, no other postal town will be displayed. We have made clearer that gender identity information will not be made available on the public register.

We strongly believe that annual renewal of registration has a number of benefits. It will ensure regular and ongoing engagement with registrants, will help to keep the public register and contact information about registrants up to date, and will assure the public that CPD is being undertaken by all social workers regularly. For this reason, we have decided that we will have an annual cycle of renewal.

We will provide guidance on aspects of the rules, including what information should be provided during the application process, and how decisions will be made about applications. Following consultation, we are developing our approach to CPD in more detail and will undertake a public consultation in the coming months. We understand that social workers and employers wish to

understand our approach to fees, and we will hold a separate consultation on our fees in 2020.

A table detailing the changes we made to the registration rules and why, is at **annex 4**.

Fitness to practise rules

The fitness to practise rules set out what will happen when someone raises a concern about a social worker.

What you said

The average approval rating for the rules in the survey was 3.5 out of 5.0. The proposed rules and the fitness to practise process were generally seen as fair, efficient and designed with social workers in mind. Most welcomed its potential to speed up an investigation for all involved, as well as the support for social workers and those raising a concern.

People responded well to the triage process, where we will scrutinise concerns from the outset. Social workers expressed a desire to understand the threshold for raising a concern and requested guidance to make this clear. We also received positive feedback about the role of case examiners, who have the ability, where appropriate, to close investigations without a hearing. Respondents also appreciated the involvement of social workers throughout the progression of an investigation.

Professional bodies generally disagreed with the use of lay panels and with proposals to hold hearings without a legal expert in some circumstances. Some suggested that the availability of advice from the legal expert can assist in avoiding unnecessary appeals. Views were generally mixed on the extent to which hearings should take place in public.

In addition to the rules, social workers were interested in the role of employers in fitness to practise cases. This included how employers learn from investigations involving their employee(s), and how employers may be involved in the investigation process. Some respondents also raised concerns about the legalistic style of the language in the rules and encouraged a 'plain English' description of the process.

What we did

The fitness to practise process was generally well received and people agreed that it was fair, effective and aimed, wherever possible, to expedite investigations.

We acknowledge the strength of opposition to the proposal around lay panels and the possibility to hold hearings without a legal expert. We have removed this from the rules. Our objective was to save cost to registrants of engaging legal resource in investigations that do not necessarily require it. We recommend that we study such investigations over several years and report on how often bespoke legal advice was required.

We intend to provide several guidance documents to support the fitness to practise process. We also anticipate that our regional engagement leads will be at the forefront of conversations with social workers and employers across the country.

We agree plain English explanations of the process will be helpful and we will produce these separately. The language of the rules themselves must be unambiguous in a legal sense, so they are necessarily legalistic in tone.

A table detailing the changes we made to the fitness to practise rules and why, is at **annex 5**.

The final rules and standards

Following consultation, the rules and standards were signed off by the Secretary of State for Education and will come into effect when we begin regulating. We understand from the feedback we have received that people would like to see guidance to support the standards and to make clear what the rules will mean in practice. We are currently working on developing guidance materials and policies, some of which we will consult on publicly to make sure we are making our work clear, transparent and understandable.

Some of the guidance that we will be seeking feedback on through a public consultation in the coming months, includes:

1. Fitness to practise sanctions policy, triage decision-making guidance, pre-hearing case management guidance and our publications policy;
2. Continuing professional development guidance and evidence framework.

What we have learned

This consultation was our first opportunity to talk with people about social work and their experiences and hopes for a new, specialist regulator.

All of the feedback we have received enables us to build a picture of the profession we will regulate and the people who sit at the heart of our overarching objective of public protection. The 'what we heard' section of this document reflects just some of the thoughts and concerns people shared with us, all of which help to inform our understanding.

What we have learned:

1. People with lived experience of social work want to have a meaningful and considered voice about the future of social work regulation.
2. Social workers want clarity. The landscape of social work is 'crowded' with standards and the connection between them is unclear.
3. Social workers want their employers to support them in upholding our standards, accessing supervision and completing CPD.
4. Social workers often struggle with high caseloads, busy work schedules and resource constraints that can mean they feel overworked and under supported.
5. There is a perception that the role of the social worker is not fully understood by non-social work employers or the public.
6. A new, specialist regulator is an opportunity to offer clarity to the sector and credibility to the profession.

These lessons have been an invaluable benefit of the consultation and while some of the solutions are not immediate or always within our authority to remedy, we will consider them carefully in the course of work and in conversation with our partners.

For our part, we will continue to work with people with lived experience of social work and social workers in developing our proposals. This means asking people what would make our work clearer and thinking carefully about what we offer up to the sector, ensuring that we are led by research, intelligence and engagement. We look forward to working with people and

professionals to become a responsive, fair and effective specialist regulator for social work.

Annex 1: The professional standards

Changes to the professional standards	Rationale
1. Promote the rights, strengths and wellbeing of people, families and communities. As a social worker, I will:	Survey and event feedback suggested a focus on strengths. BASW suggested a stronger recognition of the families and communities in which people live. ADCS suggested strengthening references to families.
1.1. Value each person as an individual, recognising their strengths and abilities.	Changed from 'treat' to 'value' and included reference to strengths and abilities. See above.
1.2. Respect and promote the human rights, views, wishes and feelings of the people I work with, balancing rights and risks and enabling access to advice, advocacy, support and services.	Feedback advised reframing risk in consideration of rights, and not responsibilities, supported by 11 survey responses.
1.3. Work in partnership with people to promote their wellbeing and achieve best outcomes, recognising them as experts in their own lives.	Feedback from events was that the promotion of independence could be interpreted as independence from the social worker. SCIE event attendees disliked the term 'empower'.
1.4. Value the importance of family and community systems and work in partnership with people to identify and harness the assets of those systems.	Focus shifted from 'recognising', to 'valuing' families and community systems.
1.5. Recognise differences across diverse communities and challenge the impact of inequality, disadvantage and discrimination on people and their families and communities.	Changed language to acknowledge difference as well as diversity and included families and communities, as per feedback against 1.1.
1.6. Promote social justice, helping to confront and resolve issues of inequality and inclusion.	Strengthened language on social justice, made the standard more concise and added practice elements. BASW suggested a stronger emphasis on social justice and challenging structural inequalities, this was supported by attendees at SCIE events.
1.7. Recognise and use responsibly, the power and authority I have when working with people, ensuring that my interventions are always necessary, the least intrusive, proportionate, and in people's best interests.	Included reference to interventions, linking values with practice. Both BASW and the PSA said the draft standard covered two issues and suggested separating power and authority from a social worker's personal values.
1.8. Practice in ways that demonstrate empathy, persistence, authority, professional confidence and capability, working with people to	A range of different feedback suggested that the standards did not cover important aspects of social work conduct and there needed to be greater emphasis on the participation of people in decision-making about their

enable full participation in assessment, planning, review and decision-making.	own lives. This was supported by the Chief Social Workers and SCIE event attendees.
2. Establish and maintain the trust and confidence of people.	Removed 'to effect change', as suggested in survey feedback.
As a social worker, I will:	
2.1 Be, open, honest, reliable and fair.	Integrated standards 2.1 and 2.3.
2.2 Respect and maintain people's dignity and privacy.	Moved from standard area 1 and reordered wording.
2.3 Maintain professional relationships with people and ensure that they understand the role of a social worker in their lives.	BASW suggested greater clarity on the definition and scope of this standard.
2.4 Actively listen to understand people, using a range of appropriate communication methods to build relationships.	Minor change to wording.
2.5 Treat information about people with sensitivity and handle confidential information in line with the law.	No change to wording.
2.6 Consider where conflicts of interest may arise, declare conflicts as early as possible and agree a course of action.	Change in wording to provide greater clarity around the actions expected in response to conflicts of interest.
3. Be accountable for the quality of my practice and the decisions I make.	Minor change to wording.
3.1 Work within legal and ethical frameworks, using my professional authority and judgement appropriately.	Minor change to wording. Some feedback indicated that the original standard could be interpreted as suggesting that social workers are only obliged to work within some aspects of the law.
3.2 Use information from a range of appropriate sources, including supervision, to inform assessments, to analyse risk, and to make a professional decision.	Minor change to wording. Ofsted suggested including the word 'appropriate'. BASW suggested including supervision as a source.
3.3 Apply a range of social work knowledge, skills and practice frameworks to achieve the best outcome.	Feedback from consultation suggested that there needed to be greater emphasis on the approach to practice. This was also raised by the Chief Social Workers.
3.4 Recognise the risk indicators of different forms of abuse and neglect and their impact on people, their families and their support networks.	ADCS and BASW advised that the standards needed to be clearer on risk.
3.5 Hold different explanations in mind and use evidence to inform my decisions.	Ofsted suggested making this wording clearer.

3.6 Draw on the knowledge and skills of workers from my own and other professions and work in collaboration, particularly in integrated teams, holding onto and promoting my social work identity.	A range of feedback suggested that this standard needed development and would benefit from more active wording.
3.7 Take account of the political and policy context within which social work is delivered locally, regionally and nationally.	Feedback from surveys suggested there was a gap in the standards regarding the responsibilities of social workers to understand the political context in which they operate and the decisions and policies that impact their work.
3.8 Explore the potential for bias in decision-making and resolve tensions emerging from ethical dilemmas, conflicting information, or differing professional decisions.	Different feedback referred to the importance of ongoing challenge to bias in decision-making. Introduced new standard to address ethics in relation to decision-making.
3.9 Clarify where the accountability lies for delegated work and fulfil that responsibility when it lies with me.	No change to wording.
3.10 Make sure that relevant colleagues and agencies are informed about identified risks and the outcomes and implications of assessments and decisions I make.	No change to wording.
3.11 Establish and maintain skills in information and communication technology and adapt my practice to new ways of working, as appropriate.	No change to wording.
3.12 Ask for help from my employer or the appropriate authority if I do not feel able to, or well enough prepared to, carry out any part of my work or if I am not sure about how to proceed.	No change to wording.
3.13 Maintain clear, accurate, legible and up-to-date records, documenting how I arrive at my decisions.	Included 'legible'.
3.14 Use my assessment skills to respond quickly to dangerous situations and take any necessary protective action.	A range of feedback suggested that this standard required greater clarity and stronger language around responsiveness to dangerous situations.
3.15 Provide, or support people to access advice and services tailored to meet their needs, based on evidence, negotiating and challenging other professionals and organisations, as required.	Different feedback suggested introducing language around supporting people to access to advice or services.
3.16 Recognise and respond to behaviour that may indicate resistance to change, ambivalent or selective cooperation with services, and recognise when there is a need for immediate action.	Different feedback suggested the standards should acknowledge the importance of working with people who may be resistant to change.

3.17 Assess the influence of cultural and social factors over people and the effect of loss, change and uncertainty in the development of resilience.	New standard to reflect practice and working with people, understanding the various factors that may impact them.
4. Maintain my continuous professional development. As a social worker, I will:	PSA suggested that the original reference to 'professional identity' was unclear.
4.1 Incorporate feedback from a range of sources, including from people with lived experience of my social work practice.	Changed from 'ask for' to 'incorporate' to reflect that not all social workers work directly with people. BASW suggested reference should be made to 'service user' feedback, while Unison suggested that great clarity was needed. Our Experts by Experience and SCIE event attendees wanted this language included.
4.2 Use supervision and feedback to critically reflect on, and identify my learning needs, including how I use research and evidence to inform my practice.	A range of feedback suggested there was a gap in the CPD standards on supervision. This standard has been included to address this issue.
4.3 Keep my practice up to date and record how I use research, theories and frameworks to inform my practice and my professional judgement.	Changed from 'models' to 'frameworks'.
4.4 Demonstrate good subject knowledge on key aspects of social work practice and develop knowledge of current issues in society and politics impacting on social work.	Feedback from surveys suggested there was a gap in the standards regarding the responsibilities of social workers to understand the political context in which they operate and the decisions and policies that impact their work.
4.5 Contribute to an open and creative learning culture in the workplace to discuss, reflect on and share best practice.	Introduced 'creative' to open learning environments and workplaces.
4.6 Reflect on my learning activities and evidence what impact continuous professional development has on the quality of my practice.	Combines two original standards. Reworded to clarify and make more active. Takes account of suggested changes to wording made by BASW.
4.7 Record my learning and reflection on a regular basis and in accordance with Social Work England's guidance on continuing professional development.	New standard included to clarify responsibility of social workers in recording CPD. People responding to consultation wanted clarity on this standard.
4.8 Reflect on my own values and challenge the impact they have on my practice.	Minor change to wording.

5. Act safely, respectfully and with professional integrity. As a social worker, I will not:	Reworded into plain English to provide clarity on the focus of the standard.
5.1 Abuse, neglect, discriminate, exploit or harm anyone, or condone this by others.	Minor change to wording.
5.2 Behave in a way that would bring into question my suitability to work as a social worker while at work, or outside of work.	No change to wording.
5.3 Falsify records or condone this by others.	Minor change to wording.
5.4 Ask for, or accept any money, gifts or hospitality which may affect or appear to affect my professional judgement.	Survey respondents asked for further clarification on this standard. Reworded to clarify.
5.5 Treat someone differently because they've raised a complaint.	The PSA suggested that the original wording about a complainant being treated unfairly due to their complaint appears implied rather than being clearly stated. They suggested reviewing the standard to make it clear.
5.6 Use technology, social media or other forms of electronic communication unlawfully, unethically, or in a way that brings the profession into disrepute.	No change to wording.
6. Promote ethical practice and report concerns. As a social worker, I will:	Reworded to reframe in positive terms and use more active language.
6.1 Report allegations of harm and challenge and report exploitation and any dangerous, abusive or discriminatory behaviour or practice.	No change to wording.
6.2 Reflect on my working environment and where necessary challenge practices, systems and processes to uphold Social Work England's professional standards.	Reworded as a result of feedback suggesting that social workers should consider their working environment and their working relationships when providing challenge.
6.3 Be open and honest when things go wrong, and which have, or may have caused physical, emotional, financial or any other harm or loss.	No change to wording.
6.4 Inform people of the right to complain, provide them with the support to do it. Record and act on concerns raised to me.	Integrated standards 3.5 and 3.6.
6.5 Take appropriate action when a professional's practice may be impaired.	Changed 'social worker's fitness to practise' to 'professional's practice' to reflect the practice of non-social work professionals.

6.6	Raise concerns about organisational wrongdoing and cultures of inappropriate and unsafe practice.	Removed 'which could include whistleblowing', survey respondents and event attendees suggested this should go in guidance.
6.7	Declare to the appropriate authority and Social Work England anything that might affect my ability to do my job competently or may affect my fitness to practise.	Removed 'tell my employer'. A number of key stakeholders fed back on this standard. BASW felt it was unrealistic. Unison said that it placed too much responsibility on social workers. APSW wanted clarity on what it meant. Cafcass suggested reducing repetition on the standards that related to 'reporting'.
6.8	Inform Social Work England if I am subject to criminal proceedings or a regulatory finding is made against me, anywhere in the world.	No change to wording.
6.9	Cooperate with any investigations by my employer, Social Work England, or another agency into my fitness to practise or the fitness to practise of others.	No change to wording.

Annex 2: The qualifying education and training standards

Changes to the 2020 qualifying education and training standards	Rationale
1. Admissions <i>Admissions processes must be robust, transparent, ensure that applicants meet course entry requirements and involve a range of stakeholders</i> Outcome: Admissions: Social work courses recruit students who have the capability and suitability to develop the knowledge and skills necessary to meet the professional standards and become registered upon completion of the course.	Originally standard 2. Added 'develop the knowledge and skills necessary to meet'. Feedback from the Chief Social Worker for Children and Families suggested there needed to be a greater emphasis on students' developing social work knowledge and skills.
1.1. Confirm on entry to the course, via a holistic/multi-dimensional assessment process, that applicants: i. have the potential to develop the knowledge and skills necessary to meet the professional standards; ii. can demonstrate that they have a good command of English; iii. have the capability to meet academic standards; and iv. have the capability to use information and communication technology (ICT) methods and techniques to achieve course outcomes.	Changed 'capability' to 'potential'. Survey and event feedback suggested that only admissions processes can only test for the 'potential' to meet the professional standards and not 'capability'. Added 'develop the knowledge and skills necessary' - see comment above, under Standard 1.
1.2 Ensure that applicants' prior relevant experience is considered as part of the admissions processes.	This is a new standard. Survey and event feedback suggested that applicants' prior experience needs to be considered as part of the admissions process.
2. Learning Environment <i>The learning environment must provide education and training opportunities that enable students to develop their skills and knowledge across all areas of social work, gain required experience in practice settings and meet the professional standards in supportive, supervised and safe settings.</i> Outcome: social work courses deliver, in partnership with practice placement providers, practice learning experiences that support readiness	Originally Standard 3. Changed 'allow' to 'enable'. Feedback from the survey suggested that the word 'allow' suggests an imbalance of power, whereas 'enable' helps to minimise this. Added 'across all areas of social work'. Feedback from a number of key stakeholders (including APSW and JUCSWEC) highlighted the fact that all social work qualifying courses need to be generic, and that this needs to be made clear within the standards. In addition to amending the wording of this standard, we will also produce clear guidance around this.

to practice at point of graduation. This includes providing learning opportunities that reflect and allow students to learn from the diversity of the communities they will work with.	
2.1 Ensure that students spend at least 200 days (including up to 30 skills days) gaining different experiences and learning in practice settings. Each student will have: i. placements in at least two practice settings providing contrasting experiences; and ii. a minimum of one placement taking place within a statutory setting, providing experience of sufficient numbers of statutory social work tasks involving high-risk decision making and legal interventions.	Added '(including up to 30 skills days)'. Feedback from the events, survey and key stakeholders expressed concern that an increase from 170 to 200 placement days would have financial implications and would remove the capacity for the provision of skills days. This was never intended – the 200 placement days can include up to 30 skills days. Added 'sufficient numbers' and 'high-risk decision making'. Feedback from the Chief Social Worker for Children and Families suggested that in order for students to be prepared for practice in statutory settings upon qualifying, they need to gain experience of high-volume, high-risk social work during their statutory placement(s).
2.2 Provide practice learning opportunities that enable students to gain the knowledge and skills necessary to develop and meet the professional standards.	Changed 'allow' to 'enable'. See comment above, under standard 2. Added 'gain the knowledge and skills necessary to'. See comment above, under standard 1.
2.3 Ensure that while on placements, students have appropriate induction, supervision, support, access to resources and a realistic workload.	Added 'support'. Event and survey feedback suggested that support for students should be included here in addition to formal supervision.
2.6 Ensure that practice educators are on the register and that they have the relevant and current knowledge, skills and experience to support safe and effective learning.	Added 'and current'. Event and survey feedback, and feedback from key stakeholders including Ofsted, suggested that practice educator skills and knowledge need to be current/up to date.
3.3 Ensure that placement providers have the necessary policies and procedures in relation to students' health, wellbeing and risk, and the support systems in place to underpin these.	This is a new standard. Feedback from JUCSWEC suggested that this was missing from the original standards.
Ensure that educators who are on the register are enabled to continue to meet the professional standards through continuing professional development.	This standard has been deleted. Feedback from the chief social worker for children and families suggested that the emphasis needs to be on CPD/Registration as an individual (rather than employer) responsibility.
4. Curriculum and assessment <i>Courses must be designed to enable students to develop the required behaviours, skills, knowledge and understanding to meet the professional standards</i>	Originally standard 5. Changed 'allow' to 'enable'. See comment above, under standard 2.

Outcome: Social work courses are shaped by the needs and insights of academia, employers, practitioners and people with lived experience of social work. This is to ensure a continually evolving curriculum which is evidence-informed, matches the contemporary demands of the whole sector, is delivered by appropriately qualified and experienced professionals, and produces informed, capable, prepared and motivated graduates who deliver safe and effective services.	Added 'academia' and 'is evidence-informed'. Feedback from key stakeholders including APSW and JUCSWEC suggested that this standard needed to include reference to insights from both academic staff and the relevant evidence base.
4.1 Ensure that the content, structure and delivery of the training is in accordance with relevant guidance and frameworks, and is designed to enable students to demonstrate that they have the necessary knowledge and skills to meet the professional standards.	Added 'in accordance with relevant guidance and frameworks', changed 'allow' to 'enable' and added 'have the necessary knowledge and skills'. See comments above, under standards 2 and 1.
4.2 Ensure that the views of employers, practitioners and people with lived experience of social work are incorporated into the design, ongoing development and review of the curriculum.	Added 'and review'. Event and survey feedback suggested that people with lived experience and other external stakeholders/partners also need to be involved in the ongoing review of courses.
4.6 Ensure that students are given the opportunity to work with, and learn from, other professions in order to support multidisciplinary working – including in integrated settings.	Added 'including in integrated settings'. Feedback from the events, survey and from key stakeholders including the PSA suggested that the standards needed to be strengthened in relation to working within integrated settings.
4.8 Ensure that the assessment strategy and design demonstrate that the assessments are robust, fair, reliable and valid, and that those who successfully complete the course have developed the knowledge and skills necessary to meet the professional standards.	Added 'fair' on advice from stakeholders. Added 'have developed the knowledge and skills necessary'. See comment above, under standard 1.
4.10 Provide timely and meaningful feedback to students on their progression and performance in assessments.	Swapped with standard 5.7 as this standard refers specifically to assessment and so sits better under standard 4.
4.11 Ensure assessments are carried out by people with appropriate expertise, and that external examiner(s) for the course are appropriately qualified and experienced and on the register.	Removed 'at least one'. Feedback from the survey and key stakeholders including JUCSWEC and the chief social worker for children and families suggested that all external examiners should be registered.
5. Supporting students <i>Students must receive appropriate educational and pastoral support</i>	Originally standard 6. Added 'have developed the knowledge and skills necessary'. See comment above, under standard 1.

Outcome: Social work students have effective educational and pastoral support to progress through their course and develop the knowledge and skills necessary to meet the professional standards when they qualify.	
5.1 Ensure that students have access to resources to support their health and wellbeing including: i. confidential counselling services; ii. careers advice and support; and iii. occupational health services.	Removed 'and develop their resilience'. Feedback from the survey and from key stakeholders suggested that resilience is a contested concept within the profession. It was also agreed that this would be problematic to assess from an approval and monitoring perspective.
5.4 Make supportive and reasonable adjustments for students with health conditions or impairments to enable them to progress through their course and meet the professional standards, in accordance with relevant legislation.	Removed 'and disabilities' and added 'or impairments'. Language changed to reflect the social model of disability.
5.5 Provide information to students about their curriculum, practice placements assessments, and transition to registered social worker – including information on requirements for Continuing Professional Development.	Added 'and transition to registered social worker – including information on requirements for Continuing Professional Development'. Feedback from the survey and from key stakeholders suggested that the standards need to make more explicit reference to the transition from student to SW undertaking CPD.
5.7 Ensure students are provided with feedback throughout the course to support their ongoing development.	Swapped with standard 4.10 as this standard refers to supporting students ongoing development and so sits better under standard 5. Added 'ongoing' to include reference to students ongoing development/CPD.
6. Level of qualification to apply for entry onto the register Outcome: Social work students who successfully complete approved courses are eligible to apply to join the social work register.	Added 'to apply'. In response to feedback from the survey, this has been added to make it clear that completing a SW course doesn't provide automatic entry to the register, but means that graduates are eligible to apply for entry. Replaced 'all students meet the threshold entry level' with 'Social work students who successfully complete approved courses are eligible to apply to join the social work register' to reflect the above point.
6.1 The threshold entry route to the register will normally be Bachelor's degree with honours in social work.	Added 'will normally be' on advice from Social Work England's legal team, and added 'in social work' in response to feedback from the survey.

Annex 3: The education and training rules

Rule at point of consultation	Post consultation	Rationale
Not in consultation version.	3(2)(c) that for tests of knowledge of English, the relevant institution can demonstrate to the satisfaction of the regulator that any student who successfully completes any such test is able to meet (i) the professional standards as required by rule 3(2)(b); and (ii) the requirements of regulation 11(2)(c).	English knowledge test not referred to under Rule 3. BASW and the Association of Professors of Social Work requested clarity on what is a 'good command' of English and how HEIs assess English. Consultation feedback suggested that standards of English are a concern for education and training providers.
5(1) Relevant institutions seeking approval to deliver a course of initial education or training, qualifications and tests of knowledge of English, must provide, in the form required by the regulator, evidence of how they meet the criteria for approval set out at rule 3(2)(a)-(b).	5(1) Relevant institutions seeking approval to deliver a course of initial education and training, qualifications and tests of knowledge of English, must provide, in the form required by the regulator, evidence of how they meet the criteria for approval set out at rule 3(2)(a)-(c).	Amended. Evidence of how institutions meet the criteria for approval expanded to include knowledge of English tests. As per above.
5(3) Relevant institutions seeking approval to deliver an AMHP course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in rule 3(2)(c) above no less than eight weeks before the date of the inspection.	5(3) Relevant institutions seeking approval to deliver an AMHP course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in rule 3(2)(d) above no less than 40 working days before the date of the inspection.	Amended. Timeframe amended from eight weeks to 40 working days.

5(4) Relevant institutions seeking approval to deliver an BIA course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in rule 3(2)(d) above no less than eight weeks before the date of the inspection.	5(4) Relevant institutions seeking approval to deliver an BIA course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in Rule 3(2)(e) above no less than 40 working days before the date of the inspection.	Amended. Timeframe amended from eight weeks to 40 working days.
5(5) On receipt of the information provided under rule 5(1) and no less than eight weeks before the date of the inspection, the regulator will send the information to the inspectors for review.	5(5) On receipt of the information provided under rule 5(1) and no less than 40 working days before the date of the inspection, the regulator will send the information to the inspectors for review.	Amended. Timeframe amended from eight weeks to 40 working days.
5(7) Following the inspection, the member of the regulator's staff appointed under rule 5(2)(b) will write a draft inspection report on behalf of the inspectors which will be; (a) agreed by the inspectors within 56 calendar days of the date of the inspection and; (b) sent to the relevant institution concerned within 10 working days of that agreement.	5(7) Following the inspection, the member of the regulator's staff appointed under rule 5(2)(b) will write a draft inspection report on behalf of the inspectors which will be; (a) agreed by the inspectors within 42 calendar days of the date of the inspection; and (b) sent to the relevant institution concerned within 10 working days of that agreement.	Amended. Timeframe for agreement by inspectors amended from 56 to 42 calendar days.
7(3) Relevant institutions seeking re-approval to deliver a course of initial education and/or training, qualifications and tests of knowledge of English, must in preparation for the inspection provide the regulator with information in the required form as to how they meet the criteria set out in rules 3(2)(a)-(b) above and any other information requested by the regulator as being relevant to the inspection no less than eight weeks before the date of the inspection	7(3) Relevant institutions seeking re-approval to deliver a course of initial education and training, qualifications and tests of knowledge of English, must in preparation for the inspection provide the regulator with information in the required form as to how they meet the criteria set out in rules 3(2)(a)-(c) above and any other information requested by the regulator as being relevant to the inspection no less than 40 working days before the date of the inspection	Amended. To include requirement to meet approval criteria for knowledge of English tests; and timeframe amended from eight weeks to 40 working days.

7(4) Relevant institutions seeking re-approval to deliver an AMHP course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in rule 3(2)(c) above no less than eight weeks before the date of the inspection	7(4) Relevant institutions seeking re-approval to deliver an AMHP course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in rule 3(2)(d) above no less than 40 working days before the date of the inspection	Amended. Timeframe amended from eight weeks to 40 working days.
Rule 7(5) Relevant institutions seeking re-approval to deliver a BIA course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in Rule 3(2)(d) above no less than eight weeks before the date of the inspection.	7(5) Relevant institutions seeking re-approval to deliver a BIA course must additionally in preparation for the inspection provide the regulator with information setting out how they meet the criteria set out in rule 3(2)(e) above no less than 40 working days before the date of the inspection.	Amended. Timeframe amended from eight weeks to 40 working days.
7(8) Following the inspection, the member of the regulator's staff appointed under rule 7(2)(b) will write a draft inspection report on behalf of the inspectors which will be; (a) agreed by the inspectors within 56 calendar days of the date of the inspection and; (b) sent to the relevant institution concerned within 10 working days of that agreement.	7(8) Following the inspection, the member of the regulator's staff appointed under rule 7(2)(b) will write a draft inspection report on behalf of the inspectors which will be; (a) agreed by the inspectors within 42 calendar days of the date of the inspection; and (b) sent to the relevant institution concerned within 10 working days of that agreement.	Amended. Timeframe amended from 56 to 42 calendar days.
9(2) The relevant institution must provide in their audit or declaration information as to how they meet the criteria set out in Rules 3(2)(a)-(b) above and any other information requested by the regulator as being relevant to the monitoring process.	9(2) The relevant institution must provide in their audit or declaration information as to how they meet the criteria set out in rules 3(2)(a)-(c) above and any other information requested by the regulator as being relevant to the monitoring process.	Amended. To include requirement for institutions to provide in their audit or declaration information concerning knowledge of English tests.
9(3) Relevant institutions delivering an AMHPs course must additionally provide in their audit or declaration information setting out how they meet the criteria set out in Rule 3(2)(c) above.	9(3) Relevant institutions delivering an AMHPs course must additionally provide in their audit or declaration information setting out how they meet the criteria set out in rule 3(2)(d) above.	Amended. To reflect the change in numbering due to insertion of new clause regarding

		knowledge of English test at 3(2)(c)
9(4) Relevant institutions delivering a BIA course must additionally provide in their audit or declaration information setting out how they meet the criteria set out in Rule 3(2)(d) above.	9(4) Relevant institutions delivering a BIA course must additionally provide in their audit or declaration information setting out how they meet the criteria set out in rule 3(2)(e) above.	Amended. To reflect the change in numbering due to insertion of new clause regarding knowledge of English test at 3(2)(c)

Annex 4: The registration rules

Rule at point of consultation	Post consultation	Rationale
11.The following information will not be included in any published version of the register: (1) The information in rule 5, other than the postal town of the address recorded in accordance with rule 5(3), or in the event of no information provided under that rule; (a) the postal town of the address recorded in accordance with rule 5(2).	11. The following information will not be included in any published version of the register: (1) The information in rule 5, other than the postal town of the address recorded in accordance with rule 5(3)	BASW and UNISON both requested that the postal town of the employer be published, rather than of the social worker's home address. Social Care Wales and Kingsley Napley believe publishing a social workers postal town increases the risk to the safety of the social worker. There was a recurring theme throughout the consultation survey and events, that a registrant's home address should not be published on the register.
22. An applicant must provide, along with an application form in accordance with rule 21, the following information and declarations: (1) Their personal details: (a) Full name (and former name if any). (b) Date of birth. (c) Nationality. (d) Gender. (e) Home address. (f) All work addresses at which they are currently employed.	22. An applicant must provide, along with an application form in accordance with rule 21, the following information and declarations: (1) Their personal details: (a) Full name (and former name if any). (b) Date of birth. (c) Nationality. (d) Gender identity. (e) Home address. (f) All work addresses at which they are currently employed as a social worker.	JUCSWEC stated that the personal details should include 'gender identity' as opposed to 'gender'. BASW stated that we should specify employment 'as a social worker'.

(g) Telephone number. (h) Email address.	(g) Telephone number. (h) Email address.	
41. (1) A relevant qualification, specialism, accreditation or competence is one of the following: (a) Completion, within the last five years, of a course approved by the Regulator for persons who are or wish to become an approved mental health professional. (b) Completion, within the last five years, of training specified by the Regulator to be a best interests assessor.	41. (1) A relevant qualification, specialism, accreditation or competence is one of the following: (a) Completion of a course approved by the regulator for persons who are or wish to become an approved mental health professional. (b) Completion of training specified by the regulator to be a best interests assessor.	Removed the five-year limitation for evidence in support of a request for annotation.
Not in consultation version.	45. Where an applicant is restored to the register under the process set out in part eight of these Rules, the applicant may also request that any previous annotation is also restored to that entry, and upon such a request the Regulator will (a) require the applicant to provide, as soon as possible, any further information or evidence requested by the Regulator which it considers necessary in support of the request, and (b) consider such information provided and determine whether the annotation should be restored to the entry on the register and notify the applicant of the outcome.	New Rule 45 inserted addressing requests by applicants for previous annotations to be restored to entries on the register (resulting in change to numbering of Rules from Rule 45 onwards)
Not in consultation version.	46. Where the Regulator determines not to restore an annotation to the applicant's entry on the register, the applicant may appeal this decision in accordance with Part 3 of the Social Work England (Registration – Removal from the Register and Registration Appeals) Rules 2019.	New Rule 46 inserted addressing the appeals process when a decision is taken not to restore an annotation to an applicant's entry on the register.

		UNISON stated that the rules should be more clear on the right to appeal against decision made by the registrar.
48(2). To determine whether rule 48(1)(c) applies, the Regulator will apply the criteria in rule 16 of these Rules.	50(2) To determine whether rule 50(1)(c) applies, the regulator will apply the criteria in rule 16 of these Rules.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.
49. A registered social worker is eligible to have their registration renewed if they provide information in accordance with rule 48 and make a declaration that the information they have previously provided to the Regulator under rule 22 has not otherwise changed since their initial registration or previous renewal, as the case may be.	51. A registered social worker is eligible to have their registration renewed if they provide information in accordance with rule 50 and make a declaration that the information they have previously provided to the regulator under rule 22 has not otherwise changed since their initial registration or previous renewal, as the case may be.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.
50. A registered social worker must maintain an up-to-date record of their continuing professional development in order to demonstrate to the Regulator upon request that they meet the requirements of Rule 48(1)(a) of these Rules.	52. A registered social worker must maintain an up-to-date record of their continuing professional development in order to demonstrate to the regulator upon request that they meet the requirements of rule 50(1)(a) of these Rules.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.
51. The Regulator will notify a registered social worker if they intend to inspect any continuing professional development records that the registered social worker has submitted to demonstrate compliance with Rule 48(1)(a) of these Rules.	53. The regulator will notify a registered social worker if they intend to inspect any continuing professional development records that the registered social worker has submitted to demonstrate compliance with rule 50(1)(a) of these Rules.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.
52. If, upon inspection, the registered social worker has not provided information to the Regulator which complies with Rule 48(1)(a) of these Rules, the Regulator may:	54. If, upon inspection, the registered social worker has not provided information to the regulator which complies with rule 50(1)(a) of these Rules, the regulator may:	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.

(1) decide to remove the registered social worker from the Register using the procedure set out in Part 2 of the Social Work England (Registration – Removal from the register and Registration Appeals) Rules 2019. (2) apply conditions to the registered social worker's entry on the Register, using the procedure set out in Rules 30-36 of the Rules.	(1) decide to remove the registered social worker from the Register using the procedure set out in Part 2 of the Social Work England (Registration – Removal from the register and Registration Appeals) Rules 2019. (2) apply conditions to the registered social worker's entry on the Register, using the procedure set out in rules 30-36 of the Rules.	
57(1) An applicant applying to have their entry in the register restored must provide the following information to the Regulator: (a) evidence that they meet the professional standards relating to continuing professional training and development; (b) evidence in accordance with rule 15; and (c) where the Regulator determines that it is necessary for the registered social workers to do so, evidence that they have the necessary knowledge of English. (2) To determine whether rule 57(1)(c) applies, the Regulator will apply the criteria in rule 16 of these Rules.	59. (1) An applicant applying to have their entry in the register restored must provide the following information to the regulator: (a) evidence that they meet the professional standards relating to continuing professional training and development; (b) evidence in accordance with rule 15; and (c) where the regulator determines that it is necessary for the registered social workers to do so, evidence that they have the necessary knowledge of English. (2) To determine whether rule 59(1)(c) applies, the regulator will apply the criteria in rule 16 of these Rules.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.
58. An applicant is eligible to have their registration restored if they provide information in accordance with rule 57 and make a declaration that the information they have previously provided to the Regulator under rule 22 has not otherwise changed since their last period of registration.	60. An applicant is eligible to have their registration restored if they provide information in accordance with rule 59 and make a declaration that the information they have previously provided to the regulator under rule 22 has not otherwise changed since their last period of registration.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.

61. (1) If a registered social worker fails to provide information or evidence requested in accordance with rule 48(3), or rule 57(3), the Regulator may take action in accordance with regulation 16(4). (2) Where a registered social worker has failed to provide sufficient evidence in accordance with rule 48(1), the Regulator may refuse to renew the registered social worker's entry in the register, taking account of Rule 27 of these Rules. (3) Where a decision is made to remove an entry in the register in accordance with rule 61(2) the Regulator must follow the procedures in Part 2 of The Social Work England (Registration – Removal from the register and Registration Appeals) Rules 2019.	63. (1) If a registered social worker fails to provide information or evidence requested in accordance with rule 50(3), or rule 59(3), the regulator may take action in accordance with regulation 16(4). (2) Where a registered social worker has failed to provide sufficient evidence in accordance with rule 50(1), the regulator may refuse to renew the registered social worker's entry in the register, taking account of rule 27 of these Rules. (3) Where a decision is made to remove an entry in the register in accordance with rule 63(2) the regulator must follow the procedures in Part 2 of The Social Work England (Registration – Removal from the register and Registration Appeals) Rules 2019.	Amended. Numbering of rules only as a result of insertion of new Rules 45 and 46 - no material change.
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Annex 5: The fitness to practise rules

Rule at point of consultation	Post consultation	Rationale
Rule 7. The date of the removal under regulation 26(5)(a) must be the date on which the notification under regulation 26(5)(b) is deemed to have been served on the social worker in accordance with the provisions of Rule 53.	7. The date of the removal under regulation 26(5) (a) must be the date on which the notification under regulation 26(5)(b) is deemed to have been served on the social worker in accordance with the provisions of rule 45.	Correction to the rule reference only
Not in consultation version.	32(c) The adjudicators or Regulator must apply the following procedures: (i) (a) The adjudicators or Regulator must first determine any disputed facts; (b) The adjudicators or Regulator must then determine whether the social worker's fitness to practise is impaired on the basis of facts admitted and found proved; (c) If the adjudicators or Regulator determine that the social worker's fitness to practise is impaired, they must then determine what, if any, sanction to impose. (ii) At each stage of rule 32(c)(i), the Regulator must adduce evidence relevant to that stage and the social worker may respond by adducing evidence relevant to that stage. (iii) Before making a determination at each stage of rule 32(c)(i), the Regulator or adjudicators may invite the Regulator and the social worker to make closing submissions on the matter to be determined.	New clause inserted at Rule 32(c). Clause inserted as a result of PSA, JUCSWEC, BASW and UNISON feedback. See 'procedures and hearings' section in annex 1 of the associated paper.

34. Where a case has been referred to a hearing or meeting to review an order or to make an interim order, the Regulator may make an appointment under Rule 33 (a) or (b) where the Regulator considers it necessary in the interests of fairness to do so.	Rule 34 deleted	Rule deleted as a result of PSA, JUCSWEC, BASW and UNISON feedback. See 'presence of legally qualified person at interim order review hearings' section in annex 1 of the associated paper.
35.(a) Where a case is to be considered under these Rules by the adjudicators or the case examiners, the Regulator must appoint at least one lay person and at least one registrant. (b) Where a case is to be considered by the Regulator under these Rules, the person or persons appointed to determine the case must include at least one lay person. (c) The chair of any hearing or meeting must be a lay person.	Now Rule 34	Amended. Change to Rule number due to deletion of Rule 34 - no material change.
36.(a) For the purpose of this Rule, previous history is an adverse decision relevant to the social worker by the Regulator, its predecessors, or a body included in regulation 7. (b) At any time that a case is being considered under these Rules, the Regulator, investigators or case examiners may take into account a social worker's previous history, provided that the Regulator, investigators or case examiners, as the case may be, are satisfied that it is fair and reasonable to do so. (c) (i) Subject to Rule 36(c)(ii), the adjudicators may not receive information about previous history before they have determined any disputed facts; (ii) On application by a party to the proceedings, the adjudicators may receive and take into account previous	35. (a) For the purpose of this rule, previous history is an adverse decision relevant to the social worker by the Regulator, its predecessors, or a body included in regulation 7. (b) At any time that a case is being considered under these rules, the Regulator, investigators or case examiners may take into account a social worker's previous history, provided that the Regulator, investigators or case examiners, as the case may be, are satisfied that it is fair and reasonable to do so. (c) (i) Subject to rule 35(c)(ii), the adjudicators may not receive information about previous history before they have determined any disputed facts; (ii) On application by a party to the proceedings, the adjudicators may receive and take into account	Amended. Change to Rule number and rule references due to deletion of Rule 34 - no material change.

history in determining disputed facts, provided they are satisfied that it is fair and reasonable to do so.	previous history in determining disputed facts, provided they are satisfied that it is fair and reasonable to do so.	
37. At any stage where the Regulator is considering a concern of adverse physical or mental health, the investigators or adjudicators may request the social worker to undergo a medical assessment of their fitness to practise by a registered medical practitioner nominated by the Regulator.	36. At any stage where the Regulator is considering a concern of adverse physical or mental health, the investigators or adjudicators may request the social worker to undergo a medical assessment of their fitness to practise by a registered medical practitioner nominated by the Regulator.	Amended. Change to Rule number only due to deletion of Rule 34 - no material change.
38. Subject to Rule 39, a hearing under these Rules shall be held in public.	37. Subject to Rule 38, a hearing under these Rules shall be held in public.	Amended. Change to Rule number due to deletion of Rule 34 - no material change.
39.(a) A hearing, or part of a hearing, shall be held in private where the proceedings are considering: (i) whether to make or review an interim order; or (ii) the physical or mental health of the social worker. (b) The Regulator or adjudicators as the case may be may determine to hold part or all of the proceedings in private where they consider that to do so would be appropriate having regard to: (i) the vulnerability, interests or welfare of any participant in the proceedings; or (ii) the public interest including in the effective pursuit of the Regulator's over-arching objective. (c) The Regulator or adjudicators as the case may be may deliberate in camera, in the absence of the parties and of the public, at any time.	38. (a) A hearing, or part of a hearing, shall be held in private where the proceedings are considering: (i) whether to make or review an interim order; or (ii) the physical or mental health of the social worker. (b) The Regulator or adjudicators as the case may be may determine to hold part or all of the proceedings in private where they consider that to do so would be appropriate having regard to: (i) the vulnerability, interests or welfare of any participant in the proceedings; or (ii) the public interest including in the effective pursuit of the Regulator's over-arching objective.	Amended. Change to Rule number due to deletion of Rule 34 - no material change.

(d) The Regulator or adjudicators may exclude from any hearing any person whose conduct in their opinion is likely to disrupt the orderly conduct of the proceedings. Rule 39.	(c) The Regulator or adjudicators, as the case may be, may deliberate in camera, in the absence of the parties and of the public, at any time. (d) The Regulator or adjudicators may exclude from any hearing, any person whose presence and/or conduct in their opinion is likely to disrupt the orderly conduct of the proceedings.	
40.(a) The Regulator must make arrangements to record oral submissions or witness evidence given in person under these Rules. (b) (i) The Regulator may access a transcript of any recording of proceedings, including for the purposes of audit and training and must supply a transcript of any recording on request of the Authority; (ii) Subject to Rule 40(c), the Regulator must supply a transcript of any recording of proceedings to: (aa) any party to the proceedings; or (bb) a complainant where the proceedings were instigated following a complaint, at which the party or complainant (as the case may be) was entitled to be present. (c) A complainant is not entitled to the transcript of any proceedings conducted in private under the provisions of Rule 39(a)(ii) in relation to the social worker's health.	39. (a) The Regulator must make arrangements to record oral submissions and witness evidence given in person under these Rules. (b) The Regulator may access a transcript of any recording of proceedings, including for the purposes of audit and training and must supply a transcript of any recording on request of the Authority. (c) Subject to rule 39(d), the Regulator must supply a transcript of any recording of proceedings on request to (i) any party to the proceedings; or (ii) a complainant where the proceedings were instigated following a complaint, at which the party or complainant (as the case may be) was entitled to be present. (d) A complainant is not entitled to the transcript of any proceedings conducted in private under the provisions of rule 38(a)(ii) in relation to the social worker's health.	Amended. Change to Rule number and referencing due to deletion of Rule 34 - no material change.

41. At a hearing the social worker may be represented by: (a) a solicitor or counsel; (b) a representative from any professional organisation of which the social worker is a member; or (c) at the discretion of the Regulator or adjudicators conducting the hearing as the case may be, a member of the social worker's family or another suitable person.	40. At a hearing the social worker may be represented by:- (a) a solicitor or counsel; (b) a representative from any professional organisation of which the social worker is a member; or (c) at the discretion of the Regulator or adjudicators conducting the hearing, as the case may be, a member of the social worker's family or other suitable person.	Amended. Change to Rule number due to deletion of Rule 34 - no material change.
42. A person who gives evidence at a hearing is not entitled to represent or accompany the social worker at that hearing.	41. A person who gives evidence at a hearing is not entitled to represent or accompany the social worker at that hearing.	Amended. Change to Rule number due to deletion of Rule 34 - no material change.
43.(a) Where the allegation against the social worker is based on facts which are sexual in nature and: (i) a witness is the alleged victim; and (ii) the social worker is acting in person, the social worker shall not without the written consent of the witness be allowed to cross-examine the witness in person. (b) In the circumstances set out in Rule 43(a), in the absence of written consent, the social worker shall not less than 7 days before the hearing appoint a legally qualified person to cross-examine the witness on his behalf and, in default, the adjudicators shall appoint such person on behalf of the social worker.	42. (a) Where the allegation against the social worker is based on facts which are sexual in nature and: (i) a witness is the alleged victim; and (ii) the social worker is acting in person, the social worker shall not without the written consent of the witness be allowed to cross-examine the witness in person. (b) In the circumstances set out in rule 42(a), in the absence of written consent, the social worker shall not less than 7 days before the hearing appoint a legally qualified person to cross-examine the witness on the social worker's behalf and, in default, the adjudicators shall appoint such person on behalf of the social worker.	Amended. Change to Rule number and referencing only due to deletion of Rule 34 - no material change.

44. Where the social worker does not attend a hearing and is not represented, the Regulator or adjudicators, as the case may be, may proceed to determine the matter, including in circumstances where the social worker has previously indicated they wished to attend, if they are satisfied that notice of the hearing has been served in accordance with these Rules.	43. Where the social worker does not attend a hearing and is not represented, the Regulator or adjudicators, as the case may be, may proceed to determine the matter, including in circumstances where the social worker has previously indicated they wished to attend, if they are satisfied that notice of the hearing has been served in accordance with these Rules.	Amended. Change to Rule number only due to deletion of Rule 34 - no material change.
45.(a) A notice or communication to the social worker under these Rules must be: (i) placed on the Social Work England Portal where the social worker has agreed to accept notices or communications from the Regulator via the Social Work England Portal; or (ii) sent by next day delivery service or ordinary post to an address provided by the social worker to the Regulator. (b) Service of any notice or communication may be proved by: (i) (a) A signed statement from a person causing the notice or communication to be placed on the Social Work England Portal; and (b) A certified copy of a message sent by electronic mail to the social worker informing the social worker of the placement of the notice or communication on the Social Work England Portal. (ii) a confirmation of posting issued by or on behalf of the Post Office, or other postal operator or delivery service; or	44. (a) A notice or communication to the social worker under these Rules must be served: (i) by being placed on the Social Work England Portal where the social worker has agreed to accept notices or communications from the Regulator via the Social Work England Portal; (ii) by being sent by next day delivery service or ordinary first class post to an address provided by the social worker to the Regulator; or (iii) by being sent by next day delivery service or ordinary first class post to the address of a solicitor, professional body, or trade union nominated by the social worker to accept service on their behalf. (b) Service of any notice or communication may be proved by: (i) (a) a signed statement from a person causing the notice or communication to be placed on the Social Work England Portal; and (b) a certified copy of a message sent by electronic mail to the social worker informing the social worker of the	Amended. Change to Rule number only due to deletion of Rule 34 - no material change.

(iii) a signed statement from the person sending by ordinary post or delivering the notice or document in accordance with this rule.	placement of the notice or communication on the Social Work England Portal. (ii) a confirmation of posting issued by or on behalf of the Post Office, or other postal operator or delivery service; or (iii) a signed statement from the person sending by ordinary post or delivering the notice or document in accordance with this Rule.	
46. Where any notice or communication is sent or otherwise served under these Rules, it must be treated as having been served: (a) where the notice or communication is placed on the Social Work England Portal, on the day an electronic message is sent to the social worker informing them of the placement of the notice or communication on the Social Work England Portal; (b) where the notice or communication has been left at an address, on the day it was left; (c) where the notice or communication has been sent by next day delivery service, the day after the date it was sent; or (d) where the notice or communication has been sent by ordinary post, two days after it was sent.	45. Where any notice or communication is sent or otherwise served under these Rules, it must be treated as having been served: (a) where the notice or communication is placed on the Social Work England Portal, on the day an electronic message is sent to the social worker informing them of the placement of the notice or communication on the Social Work England Portal; (b) where the notice or communication has been left at an address, on the day it was left; (c) where the notice or communication has been sent by next day delivery service, the day after the date it was sent; or (d) where the notice or communication has been sent by ordinary post, two days after it was sent.	Amended. Change to Rule number only due to deletion of Rule 34 - no material change.
47.(a) The social worker may, in writing, nominate a solicitor, professional body, or trade union to accept service on their behalf of any notice or communication sent under these Rules.	46. (a) The social worker may, in writing, nominate a solicitor, professional body, or trade union to accept service on their behalf of any notice or communication sent under these Rules.	Amended. Change to Rule number and referencing only due to deletion of Rule 34 - no material change.

(b) Where the social worker makes a nomination under Rule 47(a), service may be proved by delivery to the nominee under the provisions of Rule 46.	(b) Where the social worker makes a nomination under rule 46(a), service may be proved by delivery to the nominee under the provisions of rule 46.	
48.(a) Where an investigator, case examiner or adjudicator becomes ineligible under the provisions of the Social Worker England (Investigators, Case Examiners, Adjudicators and Inspectors) Rules 2019, or if they are suspended or removed from office under the Social Work England (Appointment and Functions of Advisers and Constitution of Panel of Advisers) Rules 2019, the Regulator may replace them with another investigator, case examiner or adjudicator as the case may be. (b) Where the Regulator makes a replacement under Rule 48(a), a registrant must be replaced with a registrant and a lay person must be replaced by a lay person.	47. (a) Where an investigator, case examiner or adjudicator becomes ineligible under the provisions of the Social Work England (Investigators, Case Examiners, Adjudicators and Inspectors) Rules 2019, or if they are suspended or removed from office under the Social Work England (Appointment and Functions of Advisers and Constitution of Panel of Advisers) Rules 2019, the Regulator may replace them with another investigator, case examiner or adjudicator as the case may be. (b) Where the Regulator makes a replacement under rule 47(a), a registrant must be replaced with a registrant and a lay person must be replaced by a lay person.	Amended. Change to Rule number and referencing only due to deletion of Rule 34 - no material change.
49. Where case examiners or adjudicators make a direction to give advice or a warning to a social worker under the provisions of paragraphs 9(3), 12(3) or 13(1)(d) of Schedule 2, they must specify a period of 1, 3 or 5 years for which the warning or advice must remain on the register in accordance with the provisions of regulation 9(5)(b).	48. Where case examiners or adjudicators make a direction to give advice or a warning to a social worker under the provisions of paragraphs 9(3), 12(3)(a) or 13(1)(d) of Schedule 2, they must specify a period of 1, 3 or 5 years for which the warning or advice must remain on the register in accordance with the provisions of regulation 9(5)(b).	Amended. Change to Rule number only due to deletion of Rule 34 - no material change.
50. Subject to Rule 51 after the expiry of an interim order, conditions of practice order or suspension order, or after restoration following a removal order, the	49. Subject to rule 50 after the expiry of an interim order, conditions of practice order or suspension order, or after restoration following a removal order, the	Amended. Change to Rule number and referencing only due to

longer period for which information must remain on the register is: (a) in the case of a social worker who was subject to a removal order and is subsequently restored to the register, for as long as the social worker is registered; (b) in the case of a suspension order or a conditions of practice order, for 5 years from the point at which the suspension or conditions of practice order ends; (c) in the case of a finding of impairment with no sanction, for 1 year from the date of determination of impairment.	longer period for which information must remain on the register is: (a) in the case of a social worker who was subject to a removal order and is subsequently restored to the register, for as long as the social worker is registered; (b) in the case of a suspension order or a conditions of practice order, for 5 years from the point at which the suspension or conditions of practice order ends; (c) in the case of a finding of impairment with no sanction, for 1 year from the date of determination of impairment.	deletion of Rule 34 - no material change.
51.(a) Where an interim order has been imposed and the fitness to practise proceedings are concluded without a finding of impairment; or (b) where a final order is made in relation to a finding of adverse physical or mental health; the Regulator must remove the information about the order from the register when the order ceases to be in force.	50. Where an interim order has been imposed and the fitness to practise proceedings are concluded without a finding of impairment, or where a final order is made in relation to a finding of adverse physical or mental health, the Regulator must remove the information about the order from the register when the order ceases to be in force.	Amended. Change to Rule number only due to deletion of Rule 34 - no material change.

Social Work England Board Meeting

Meeting date	Friday 26 July 2019
Agenda item	3.1 Finance plan update
Executive Director/Lead	Adnan Bashir – Executive Director, Finance
Author	Adnan Bashir - Executive Director, Finance

Questions this paper addresses
• Are the financial resources of Social Work England being consumed in line with expectations? • Is Social Work England's cash flow sufficient to meet the operational demands of the organisation? • Are there any indications of financial distress and/or the need for additional resources evident?

Summary
The finance report summarises Social Work England's performance for Q1, providing an analysis by cost category and directorate.

Supporting papers
Q1 Finance Report

Board engagement / input ☒ Information ☒ Discussion ☐ Decision
Explanation of requirement
The Board is asked to review and discuss the content of the Q1 Finance Report.

Key implications or risks for any of the following (provide a brief explanation):	
Perspective	Summary
Financial	Additional revenue and capital resource needs have been identified. Revenue needs will be managed within the annual budget allocation. Capital resource needs will need to be funded via a business case to the DfE.
Innovation and learning	None
Stakeholders	None
Business processes	None

Social Work England

Q1 Finance Report

Executive Summary

The Q1 finance report provides an overview of the financial resources expended by Social Work England for the 3-month period ending 30 June 2019. The report provides the Board with information regarding the overall performance, progress against budget, variance analysis, forecast budget position and liquidity. The information provided is summarised at entity, administrative/programme and directorate (function) levels (Appendix 1) to support the readers understanding of the financial performance of Social Work England.

As at Q1, Social Work England has a positive variance against budget of £138,006 (5.71%) which is comprised as follows at a directorate level:

Directorate	Surplus/(Deficit)	% Surplus/(Deficit) vs YTD Budget
Corporate Services	£98,946	5.39%
Fitness to Practise	£30,042	10.76%
Registration & Quality Assurance	(£3,342)	(2.55%)
Standards	(£1,526)	(1.38%)
Legal	£13,886	22.36%

The Q1 positive variance analysed by administrative/programme and capital categories is as follows:

Expenditure Category	Surplus/(Deficit)	% Surplus/(Deficit) vs YTD Budget
Administrative	£20,027	17.17%
Programme	£174,155	11.71%
Capital	(£56,176)	(6.89%)

The analysis provided within the tables above may appear at odds until we acknowledge that corporate service costs have been classified as programme until such time as Social Work England becomes the official regulator for Social Workers in England.

The total net assets (total assets less current and non-current liabilities) as at Q1 are £1,477,000 and include:

Assets/Liabilities	Value as at Q1
Property, plant and equipment	£1,869,000
Software (including CRM system)	£1,117,000
Current assets (including cash)	£934,000
Total liabilities	(£2,443,000)

Directorate Performance

Individual directorate performance (Appendix 2) is reflective of actual savings realised especially regarding staffing costs and budget phasing assumptions.

At this early stage we have identified several adjustments and reflected these in our full year forecast as at Q1. Other than compensating movements between directorates most material adjustments reside within the corporate services directorate:

Staffing

Savings of £61,669 are expected to be achieved for the full year position, £49,555 having already been realised as at Q1; information technology, business planning and human resource vacancies having contributed to the overall positive variance.

The impact of vacancies is not deemed to have adversely impacted on the performance of the directorate and/or Social Work England as a whole.

Governance

Governance savings of £25,813 are expected to be realised due to a combination of adjustments to realign planning assumptions for governance fees, travel and subsistence and external and internal audit fees.

Support/Overheads

Programme driven support costs, namely regarding staff training are expected to increase materially to accommodate the complex training needs of FTP and Q&A colleagues and partners. This cost is predominantly being driven by the need to commission external service provision, in order to maintain an independent perspective especially for FTP panel members. However, the higher than expected staff training costs are offset in part by operational overhead savings and lower than expected apprenticeship levy fees.

Capital

As at Q1 capital costs provide for a negative variance of £56,176 which has largely been driven by an acceleration of activity around the development of Social Work England's CRM system. The overall project remains within the capital envelope as originally proposed however, additional spend activity has been identified in order to provide an operationally effective system upon assuming regulatory responsibilities as well as continued development of the system up to the end of the current financial year. Forecasts developed have been shared with GDS (Government Digital Service) and our sponsor team in the first instance and will be subject to submission of a formal business case.

Capital expenditure forecasts have also been proposed for property, plant and equipment (PPE) and IT infrastructure.

Additional PPE spend forecasts are reflective of our need in regard to the hearing suites and the office environment which will become evident as and when we start to use the facilities to their

capacity. We believe the additional capital resource capacity and availability is essential for us to operate in an effective and efficient manner.

The same rationale is also applicable regarding our IT infrastructure; Social Work England is committed to ensuring its workforce is resourced with the latest technology resulting in an effective, efficient and agile workforce.

Our IT infrastructure is key and will underpin our future development and as such we continue to develop our network, connectivity and security arrangements to ensure we have a leading-edge solution. The additional capital spend identified provides for a combination of system improvements as well as additional user devices and will form part of our overall capital business case to the DfE.

Appendix 1

Social Work England Summary

	YTD Actual	YTD Budget	Variance	% difference YTD	Full Year Current Budget	Full Year Forecast	Variance
Corporate Services							
Staff	382,580	432,134	49,555	11%	1,821,382	1,759,713	61,669
Agency Staff	50,161	46,666	19,839	43%	280,000	280,000	-
Seconded Staff	154,797	157,265	2,468	2%	390,000	390,000	-
Governance	34,452	57,052	22,600	40%	228,207	202,394	25,813
Premises	101,444	114,398	12,954	11%	457,590	457,590	-
Support	165,954	213,660	47,706	22%	1,061,733	1,082,246	-20,099
Capital	871,176	815,000	-56,176	-7%	1,706,000	3,051,000	-1,345,000
Total Corporate Services	1,760,563	1,836,176	98,946	5.39%	5,944,912	7,222,943	-1,277,617
Fitness to Practice							
Staff	143,027	143,027	-	0%	2,896,701	2,483,987	412,714
Agency Staff	0	0	-	-100%	100,000	100,000	-
Support	106,163	136,205	30,042	22%	2,069,505	2,079,505	-10,000
Total Fitness to Practice	249,190	279,232	30,042	10.76%	5,066,205	4,663,492	402,714
Registration & Quality Assurance							
Staff	97,785	99,133	1,348	1%	961,922	961,922	-
Support	36,680	31,989	-4,690	-15%	219,586	216,662	2,924
Total Registration & Quality Assurance	134,464	131,122	-3,342	-2.55%	1,181,509	1,178,585	2,924
Standards							
Staff	96,019	80,063	-15,956	-20%	305,285	717,998	-412,714
Support	15,681	30,111	14,430	48%	236,004	244,004	-8,000
Total Standards	111,700	110,174	-1,526	-1.38%	541,289	962,002	-420,714
Legal							
Staff	37,474	37,474	-	0%	579,765	579,765	-
Support	10,731	24,616	13,886	56%	100,554	110,554	-10,000
Total Legal	48,205	62,091	13,886	22.36%	680,318	690,318	-10,000
Fee Income	-	-	-		-2,850,000	-2,850,000	-
Total Social Work England	2,304,122	2,418,795	138,006	5.71%	10,564,233	11,867,339	-1,302,693

Administrative/Programme Summary

	YTD Actual	YTD Budget	Variance	% difference YTD	Full Year Current Forecast	Full Year Forecast	Variance
Admin- Staff	58,343	54,058	-4,286	-8%	1,556,232	1,549,329	6,903
Admin Agency Staff	0	0	0		93,333	93,333	0
Admin Seconded Staff	0	0	0		0	0	0
Admin-Non Staff	37,573	61,886	24,313	39%	662,620	629,703	32,917
Admin Sub Total	95,916	115,943	20,027	17.27%	2,312,185	2,272,365	39,820
Programme - Staff	698,541	737,773	39,233	5%	5,008,822	4,954,056	54,766
Programme - Agency Staff	50,161	46,666	19,839	43%	286,667	286,667	0
Programme - Seconded Staff	154,797	157,265	2,468	2%	390,000	390,000	0
Programme - Non Staff	433,532	546,147	112,615	21%	3,710,559	3,763,251	-52,279
Programme Total	1,337,030	1,487,852	174,155	11.71%	9,396,048	9,393,974	2,487
Capital Total	871,176	815,000	-56,176	-6.89%	1,706,000	3,051,000	-1,345,000
Income Total	0	0	0		-2,850,000	-2,850,000	0
TOTAL	2,304,122	2,418,795	138,006	5.71%	10,564,233	11,867,339	-1,302,693

Appendix 2

Directorate Analysis – Corporate Services (Administration)

Administration	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
Staffing							
Salaries	49,125	44,535	-4,590	549,603	549,603	0	
Employers NI	5,886	6,459	573	77,813	70,910	6,903	National Insurance figure incorrectly calculated as 13.8% on total salary, not taking into account LEL/UEL.
Employers Pension	2,456	2,187	-269	26,349	26,349	0	
Bonus Pot	876	876	-0	10,540	10,540	0	Accrued to budget; bonus mechanism to be formally agreed and implemented.
Staffing Total	58,343	54,058	-4,286	664,305	657,402	6,903	
Agency Staff							
Temporary & Agency Staff	0	0	0	93,333	93,333	0	All agency costs incurred up to and including November 2019 are being allocated to Programme. Agency costs will revert to an administration cost as from December 2019.
Total Agency Costs	0	0	0	93,333	93,333	0	
Governance Costs							
Chair and Board Fees	26,237	29,302	3,065	117,207	108,046	9,161	Original budget calculated on the basis of 7 NED; currently there are 5 NED's and 1 Chair. Scheduled for 15 meeting per year; we now anticipate no more than 12. The forecast has been adjusted for a new NED joining 5/12 of the year through and the reduction in the number of meetings.
Travel Costs	715	5,250	4,535	21,000	12,965	8,035	Travel expenses are in surplus savings generated to date £4535. August and December will generate lower costs due to holidays/absence therefore reduced by a further two months forecast.
External Audit	2,917	8,751	5,834	35,000	44,400	-9,400	The external audit has now been completed. The original fee quote has increased by £2,000 however, the budget provided did not include a provision for VAT, this has now been adjusted. The fee estimate has increased by £2,000.
Internal Audit	4,583	13,750	9,167	55,000	36,983	18,017	Forecast based on current IA tender submission for 2019/20.
Annual Report	0	0	0	0	0	0	
Governance Total	34,452	57,052	22,600	228,207	202,394	25,813	
Premises Costs							
FM	0	0	0		0	0	All FM/facilities/premises costs are currently being allocated to Programme area, they will revert to Administration in December.
Service Charge	0	0	0	36,994	36,994	0	
Rent	0	0	0	60,536	60,536	0	
Business Rates	0	0	0	46,667	46,667	0	
Utilities	0	0	0	8,333	8,333	0	
Premises Total	0	0	0	152,530	152,530	0	
Support Costs							
Stationery and Office Supplies	0	0	0	4,000	4,000	0	
Staff Recruitment	0	0	0	20,000	20,000	0	
Staff Training	0	786	786	22,626	22,626	0	
Travel & Subsistence	3,421	3,786	365	21,467	21,467	0	94% increase on spend this month compared to last month. This was due to increase activity on Travel and Subsistence.
Hospitality	199	0	-199	0	0	0	
Bank Charges	0	0	0	733	733	0	
Subscriptions	0	0	0	667	667	0	
Payroll Service	0	0	0	4,000	4,000	0	
Other Software	0	0	0	4,000	4,000	0	
ICT	-500	0	500	149,771	149,771	0	Mis-posting of credit note, should be Programme.
Printing	0	0	0	30,000	30,000	0	
Contractors	0	0	0	3,333	0	3,333	No longer required
Apprenticeship Levy	0	261	261	7,542	3,771	3,771	Annual pay bill not expected to hit £3m threshold until October.
Support Costs Total	3,121	4,833	1,713	268,139	261,035	7,104	
Total Corporate Services - Admin	95,916	115,943	20,027	1,406,514	1,366,694	39,820	

Directorate Analysis – Corporate Services (Programme)

Programme	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
Staffing							
Salaries	273,720	313,218	39,498	963,281	963,281	0	Roles within HR, IT and Business Planning which are still to be filled.
Employers NI	31,104	44,000	12,897	131,470	76,704	54,766	National Insurance budget was incorrectly calculated based on total salary and didn't take account of the LEL/UFL.
Employers Pension	13,453	14,899	1,446	44,518	44,518	0	
Bonus Pot	5,960	5,960	-0	17,807	17,807	0	Bonus accrued in line with expected award.
Staffing Total	324,236	378,077	53,840	1,157,077	1,102,311	54,766	
Agency Staff							
Temporary & Agency Staff	50,161	70,000	19,839	186,667	186,667	0	
Total Agency Costs	50,161	46,666	19,839	186,667	186,667	0	
Seconded Staff							
Seconded Staff DfE	154,797	157,265	2,468	390,000	390,000	0	Phasing anomaly in April 2019. Overall budget still valid.
Total Seconded Costs	154,797	157,265	2,468	390,000	390,000	0	
Premises Costs							
FM	0	0	0		0	0	
Service Charge	22,348	27,746	5,398	73,988	73,988	0	
Rent	41,100	45,402	4,302	121,072	121,072	0	
Business Rates	35,000	35,000	0	93,333	93,333	0	
Utilities	2,997	6,250	3,253	16,667	16,667	0	
Premises Total	101,444	114,398	12,954	305,060	305,060	0	
Support Costs							
Stationery and Office Supplies	2,968	3,000	32	8,000	8,000	0	
Staff Recruitment	14,992	30,000	15,008	80,000	80,000	0	Staff recruitment activity increased significantly this period with a 12% variance overspend on budget this month
Staff Training	2,436	15,234	12,798	72,922	131,445	-58,523	Increase in budget to allow for FTP/Registration and general internal staff training. Detailed breakdown completed.
Other Professional Fees	6,147	0	-6,147	95,000	95,000	0	Activity starting earlier than previously planned
Travel & Subsistence	9,431	4,470	-4,962	13,355	13,355	0	
Bank Charges	348	550	202	1,467	1,467	0	
Subscriptions	208	500	292	1,333	1,333	0	
Payroll Service	3,198	3,000	-198	8,000	8,000	0	
Other Software	60,002	3,000	-57,002	8,000	238,000	230,000	Apian license put on wrong line
ICT	54,521	112,328	57,807	299,541	69,541	-230,000	Correction made on Apian license
Phones	0	0	0		0	0	
Printing	0	0	0	45,000	32,500	12,500	Only 2 MDF devices procured at this stage; budget adjusted by £2500 per month for 5months.
Contractors	0	1,666	1,666	6,667	0	6,667	No longer required
Apprenticeship Levy	0	5,078	5,078	24,307	12,154	12,154	Annual pay bill not expected to hit £3m threshold until October.
Room Hire	2,187	0	-2,187	0	0	0	
Hospitality	788	0	-788	0	0	0	
Support	415	0	-415	0	415	0	
Marketing and Media	5,192	30,000	24,808	130,000	130,000	0	Full year budget remains valid but the delay in expected spend has not yet been reflected in the phasing.
Support Costs Total	162,833	208,826	45,993	793,594	821,211	-27,203	
Total Corporate Services - Programme	793,472	905,233	135,095	2,832,397	2,805,248	27,563	



Directorate Analysis – Corporate Services (Capital)

Capital	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
Capital							
Premises	361,804	365,000	3,196	365,000	440,000	-75,000	Additional £75,000 forecast for completion of premises re-fit and fixtures and fittings.
IT Infrastructure	112,828	150,000	37,172	350,000	529,000	-179,000	Increase in line with spend requirement matched to staffing profile.
Digital	396,544	300,000	-96,544	991,000	2,082,000	-1,091,000	Development sprints required to deliver viable minimum product (this exceeds the £1.975m GDS spend approval). A revised application is to be submitted to GDS in July.
Capital Total	871,176	815,000	-56,176	1,706,000	3,051,000	-1,345,000	
Total Corporate Services - Capital	871,176	815,000	-56,176	1,706,000	3,051,000	-1,345,000	

Directorate Analysis – Fitness to Practise (Administration/Programme)

Administration	YTD Actual	YTD Budget	Variance		Full Year Current Budget	Full Year Forecast	Variance	Comments
£								
Staffing								
Salaries	0	0	0		431,375	431,375	0	
Employers NI	0	0	0		63,697	63,697	0	
Employers Pension	0	0	0		21,569	21,569	0	
Bonus Pot	0	0	0		8,628	8,628	0	
Staffing Total	0	0	0		525,269	525,269	0	
Support Costs								
Subscriptions	0	0	0			0	0	
Employee T&S	0	0	0		7,750	7,750	0	
Support Costs Total	0	0	0		7,750	7,750	0	
Total Fitness to Practice - Admin	0	0	0	0	533,019	533,019	0	
Programme	YTD Actual	YTD Budget	Variance		Full Year Current Budget	Full Year Forecast	Variance	Comments
£								
Staffing								
Salaries	115,881	115,881	0		1,953,099	1,614,159	338,940	Reduction related to Engagement Leads who have been moved to Standards.
Employers NI	12,974	12,974	0		288,395	238,347	50,048	As above
Employers Pension	5,794	5,794	0		97,655	80,708	16,947	As above
Bonus Pot	8,379	8,379	-0		32,283	25,504	6,779	As above
Staffing Total	143,027	143,027	-0		2,371,432	1,958,718	412,714	
Agency Staff								
Temporary & Agency Staff	0	0	0		100,000	100,000	0	Activity initiated before the planned phasing schedule.
Total Agency Costs	0	0	0		100,000	100,000	0	
Support Costs								
Recruitment	65,330	60,000	-5,330		120,000	130,000	-10,000	Original budget omitted advertising costs of £10k.
Legal Fees	0	0	0		666,668	666,668	0	
Contractors (Medical Testing)	0	0	0		20,000	20,000	0	
Panel Fees	0	0	0		350,000	350,000	0	
Panel Expenses	0	0	0		70,000	70,000	0	
Witness Expenses	0	0	0		100,000	100,000	0	
Transcription services	0	0	0		230,000	230,000	0	
External data analysis	0	11,111	11,111		100,000	100,000	0	Phasing to be realigned. Work to be undertaken now go-live date made public.
Volume Variance Salaries	0	0	0		100,000	100,000	0	
CDS -Data Migration	37,572	60,000	22,428		240,000	240,000	0	Surplus is primarily due to activity taking place outside the planned phasing schedule. Spend is expected to increase in the run up to the go-live date.
Catering and hospitality	0	0	0		30,000	30,000	0	
Travel & Subsistence	3,262	5,094	1,833		35,087	35,087	0	
Support Costs Total	106,163	136,205	30,042		2,061,755	2,071,755	-10,000	
Total FTP - Programme	249,190	279,232	30,042		4,533,187	4,130,473	402,714	

Directorate Analysis – Registration (Administration/Programme)

Administration	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
£							
Staffing							
Salaries	0	0	0	67,667	67,667	0	
Employers NI	0	0	0	9,992	9,992	0	
Employers Pension	0	0	0	3,383	3,383	0	
Bonus Pot	0	0	0	1,353	1,353	0	
Staffing Total	0	0	0	82,395	82,395	0	
Support Costs							
Subscriptions	0	0	0		0	0	
Employee T&S	0	0	0		0	0	
Support Costs Total	0	0	0	0	0	0	
Total Registration- Admin	0	0	0	82,395	82,395	0	
Programme	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
£							
Staffing							
Salaries	82,190	82,690	500	722,310	722,310	0	
Employers NI	9,191	10,597	1,406	106,656	106,656	0	
Employers Pension	4,109	4,133	24	36,115	36,115	0	
Bonus Pot	2,294	1,712	-582	14,446	14,446	0	
Staffing Total	97,785	99,133	1,348	879,527	879,527	0	
Support Costs							
Associate/Partner Costs	0	0	0	45,600	45,600	0	
GMC Fees	31,200	30,000	-1,200	30,000	30,000		
Inspection Visits	0	0	0	2,900	7,000	-4,100	Inspection Visit costs increased to allow for unknown variables until first round of inspections is complete.
Operating Costs	0	0	0	93,050	73,050	20,000	Expected overhead/resource savings
Merchant Bank Costs	0	0	0	35,060	35,060	0	Costs to be incurred from December 2019 onwards via GOV.UK.PAY and STRIPE
Travel & Subsistence	5,480	1,989	-3,490	12,976	25,952	-12,976	Increase in visits to other regulators throughout the UK. Regular meetings in London by various staff with HCPC. Expect costs to increase as we approach go live.
Support Costs Total	36,680	31,989	-4,690	219,586	216,662	2,924	
Total Registration - Programme	134,464	131,122	-3,342	1,099,114	1,096,190	2,924	

Directorate Analysis – Standards (Administration/Programme)

Administration	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
£							
Staffing							
Salaries	0	0	0	73,757	73,757	0	
Employers NI	0	0	0	10,891	10,891	0	
Employers Pension	0	0	0	3,688	3,688	0	
Bonus Pot	0	0	0	1,475	1,475	0	
Staffing Total	0	0	0	89,811	89,811	0	
Support Costs							
Subscriptions	0	0	0	1,800	1,800	0	
Employee T&S	0	0	0	1,325	1,325	0	
Support Costs Total	0	0	0	3,125	3,125	0	
Total Standards - Admin	0	0	0	92,936	92,936	0	
Programme	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
£							
Staffing							
Salaries	81,723	65,758	-15,965	176,957	515,897	-338,940	Original budget omitted 1 Strategic Engagement Manager, this role was a FTC and ceased in June. Forecast updated to reflect Engagement Leads x 8 which were previously budgeted under FTP.
Employers NI	8,977	9,710	733	26,130	76,177	-50,048	Uplift to budget for the above
Employers Pension	4,086	3,280	-806	8,848	25,795	-16,947	Uplift to budget for the above
Bonus Pot	1,233	1,315	82	3,539	10,318	-6,779	Uplift to budget for the above
Staffing Total	96,019	80,063	-15,956	215,474	628,187	-412,714	
Support Costs							
T&S	3,889	1,181	-2,708	3,179	11,179	-8,000	Continued use of Experts by Experience group will lead to higher T&S costs; due to distance and accessibility requirements.
Service User T&S/Fees	0	500	500	2,000	2,000	0	
Engagement Dialog/Consultation	2,562	18,750	16,188	125,000	125,000	0	Release of provision from prior financial period.
Subscriptions	0	450	450	2,700	2,700	0	
Contractors	9,230	9,230	0	100,000	100,000	0	Initial element of research; phasing to be realign. Plan being developed to commission further research and analysis
Support Costs Total	15,681	30,111	14,430	232,879	240,879	-8,000	
Total Standards - Programme	111,700	110,174	-1,526	448,353	869,066	-420,714	

Directorate Analysis – Legal (Administration/Programme)

Administration	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
£							
Staffing							
Salaries	0	0	0	159,693	159,693	0	
Employers NI	0	0	0	23,580	23,580	0	
Employers Pension	0	0	0	7,985	7,985	0	
Bonus Pot	0	0	0	3,194	3,194	0	
Staffing Total	0	0	0	194,452	194,452	0	
Support Costs							
Travel & Subsistence	0	0	0	2,869	2,869	0	
Total Support Costs	0	0	0	2,869	2,869	0	
Total Legal- Admin	0	0	0	197,321	197,321	0	
Programme	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance	Comments
£							
Staffing							
Salaries	30,142	30,142	0	316,437	316,437	0	Senior Legal appoints due August 2019
Employers NI	3,465	3,465	-0	46,725	46,725	0	
Employers Pension	1,507	1,507	0	15,822	15,822	0	
Bonus Pot	2,360	2,360	0	6,329	6,329	0	
Staffing Total	37,474	37,474	1	385,312	385,312	0	
Support Costs							
Legal Advice	9,383	18,000	8,617	72,000	72,000	0	Contracted Value/SLA - Unused days to be carried forward if not consumed within the financial year.
Subscriptions	24	3,750	3,726	15,000	25,000	-10,000	Legal subscription - Lexisnexis. Uplifted by £10k to allow for higher anticipated cost.
Professional Fees	206	1,250	1,045	5,000	5,000	0	
Travel & Subsistence	1,119	1,616	497	5,685	5,685	0	Within budget tolerance
Support Costs Total	10,731	24,616	13,886	97,685	107,685	-10,000	
Total Legal - Programme	48,205	62,091	-13,886	482,997	492,997	-10,000	

Social Work England Board Meeting

Meeting date	26 July 2019
Agenda item	3.2 Business plan update
Executive Director/Lead	Colum Conway
Author	Andy Leverton, Head of Business Planning and Improvement

Questions this paper addresses

What has been achieved during the first quarter of 2019/20 in relation to the objectives set out in the 2019/20 business plan.

Summary

This paper provides an update on the achievements in each directorate and thematic area during Q1. Work will continue towards the business plan objectives throughout the remainder of the financial year.

Supporting papers

Business Plan Progress Update July 2019

Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

The Board is asked to note the current position in relation to delivery against the business plan.

Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	

Social Work England

Business Plan Progress Update

July 2019

Purpose

1. To provide an update describing progress during April to June 2019 towards achieving the objectives set out in our 2019/20 business plan.

Background

2. Our business plan for 2019/20 sets out our delivery plans for the period from April 2019 to March 2020. The plan sets out what we will do, how we will do it and how we will know we have succeeded in each of our five directorates and in five cross-functional thematic areas.
3. This report describes what we planned to do during the first quarter of 2019/20, what we have achieved so far and what we plan to do in subsequent quarters.

Thematic Areas

4. Consultation

Objective	Q1 update
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.	Ongoing - the initial part of this work is complete, and the standards and rules have been approved by the Secretary of State. Work is underway on the guidance that will underpin the standards and rules to be completed for go live.
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.	Complete – consultations on some guidance in relation to fitness to practise to be completed in Q2
Publish our professional standards, our standards for education and training and our rules for registration and fitness to practise.	Ongoing – to be completed in Q2
In early 2020, launch consultation on social worker registration fees to enable a revised fee structure to be implemented from September 2020.	Planned - work scheduled to begin in Q4

5. Communications

Objective	Q1 update
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.	In progress – engagement through our website and social media channels continues to grow. In the last quarter, LinkedIn followers increased by 38% to 563 and Twitter followers by 23% to 3,585. There were over 32,000 unique page views of the website during June 2019, more than double that of six months ago.
Develop a programme of proportionate and timely external engagement activity that routinely updates and engages audiences on the evolution of Social Work England.	In progress - stakeholder mapping completed to identify key audiences. Several members of Social Work England staff have attended events across the country to provide updates on our progress. Further activity is planned in Q2 and Q3.
Support the directorates to deliver their objectives by creating bespoke communication plans and associated products.	In progress – supported recruitment activity during Q1. Communications plan produced covering activity Q2 and Q3. Key activities include branding of guidance documents, media plan supporting the publication of standards and rules and ongoing workshops to support teams to understand the importance of brand.
Bridge 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.	In progress - a plan is in place with HCPC and will be activated as required, for example, at the go-live announcement on 4 th July.
Establish our media relations function and managing our media output to support emerging business objectives.	In progress – external relations manager in post. Relationships established with key journalists in sector. Media briefings arranged for CE and Chair. Several pieces of positive coverage reflecting our key messages published in the sector press.
Develop our internal communication channels to ensure our brand values are realised and embedded throughout the organisation.	In progress - a plan is in place, implementation to begin in July

6. People

Objective	Q1 update
Continue to implement our recruitment plan to increase our overall capacity.	In progress - recruitment plan in place and on track
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.	In progress – on track. Training scoped and planned. Procurement underway for occupational health and employee assistance programme.
Continue to develop our human resources and recruitment policies, ensuring they remain fit for purpose.	In progress – on track. Work on the Staff Handbook is ongoing and will be completed and disseminated in Q2
Continue to review and refine the structure of the organisation to ensure we are effectively managed and appropriately structured.	In progress - the organisational structure remains under review and aligned with the recruitment plan
Conduct an employee satisfaction survey to identify good practice and areas for improvement.	In progress – preparatory research and drafting completed in Q1. Dissemination, analysis and subsequent action plan scheduled for Q2.

7. IT and Data Transfer

Objective	Q1 update
Complete the development and delivery of our digital services to support efficient and effective regulatory functions.	Ongoing - development plan in place through to go live and to year end with initial capital bids for further strategic development in progress to align with the strategic plan.
By May 2019, deliver a test version of the full digital services.	In progress - initial testing commenced in Q1. Further testing continues throughout Q2, supported by two dedicated test managers.
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.	In progress - monitoring and testing is ongoing with a code freeze planned for 11 th October and a testing phase through to launch.
By July 2019, develop in partnership with HCPC detailed transition plans for each functional area to ensure we are ready to become the regulator.	In progress - the plans are in place and agreed with HCPC – the transfer and testing programme is ongoing

Ensure the transfer and test of data is managed safely in line with the General Data Protection Regulation legislation.	Complete - GDPR compliance is ensured through the data sharing agreement and supporting transition scheme agreed between HCPC and Social Work England.
Ensure the safe and effective transfer of fitness to practise casework from HCPC.	In progress - The fitness to practise transition plan is in place and is being actively implemented
Ensure that any issues relating to transition are escalated to the sponsoring department.	In progress - escalation processes are in place and were reiterated at a joint DfE, DHSC, HCPC, PSA, and Social Work England meeting in early July 2019

8. Strategy and Planning

Objective	Q1 update
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.	In progress - work is ongoing to refine the format and content of the information provided to the Board and Committees and to ensure that we have appropriate governance structures.
Develop a three-year strategic plan supported by an annual business planning cycle.	In progress - a timeline and plan is in place for the development and delivery of a three-year strategic plan by December 2019.
Monitor and report on our performance against our project and business plans to ensure successful delivery.	In progress - this is the first report to the Board against the business plan. Previous Board meetings have received updates on project plans. The reporting framework will be developed further to align the business plan and the project plan.
Continue to develop our approach to risk management, generating effective mitigations to support successful delivery of projects, operations and strategy.	In progress – our corporate risk register is under review to improve clarity of mitigations and monitoring of progress, taking into account feedback from ARC and the IPA. Management of project level risks is being refined to ensure a more proactive approach to mitigation. Q2 will see increased focus on contingency planning.
Agree with the sponsoring department a final version of the framework document.	Not started – scheduled for Q2 and Q3
Continue to work closely with our contractors through to completion to	In progress - the major work on the premises and infrastructure has been

ensure that the ongoing changes to our infrastructure meet our needs.

completed. Some more minor work to be completed during Q2 and Q3.

9. Registration and Quality Assurance

Objective	Q1 update
Deliver an online space that will allow applicants and registrants to apply, renew, restore and update their personal details.	In progress - Work has continued to develop the functionality for the CRM system, in line with draft Rules and related processes. A number of meetings have taken place to support and progress this work. Registration Officers recruited and have been begun the process of testing.
Deliver a front-facing registration and advice customer helpdesk that will deal with all Social Work England initial enquiries by telephone and email.	In progress - First tranche of registration officers now recruited; telephony procurement activity completed; CRM system development continues.
Develop the process and policy for recording and audit of continuous professional development.	In progress - interviews held for CPD Evaluation role, but recruitment unsuccessful. Options for recruitment into this role now being considered. Work continues to be undertaken to develop CPD recording process and functionality, and feedback from consultation activity have helped to inform this development work
Develop the right policies and processes to deliver an effective registration function.	In progress - registration officers in post and recruitment of registration advisors complete by end of Q1. Consultation events on Rules and Standards provided helpful feedback and suggestions for guidance, and Rules have been amended where appropriate. Development of policies and processes ongoing through Q2 and Q3
Draft and consult on guidance to support applicants and registrants.	In progress – guidance is being drafted by GMC, due to be reviewed in early Q2.
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.	In progress - consultation activity had generated helpful feedback on Rules and Standards, which is now being considered.

Develop a quality assurance evidence framework that ensures that our quality assurance function is informed by the expertise of the profession and stakeholders.	In progress - draft Education Rules out for consultation, and subsequent analysis and amendments to Rules based on feedback. GMC working to deliver process and guidance relating to AMHP courses and commissioned to undertake similar work for BIA courses.
Begin scheduling course inspections and conduct pre-approval assessment for courses requiring approval for academic delivery in 2020.	Planned - Go-live date not announced within Q1, therefore we have worked to manage expectations with relevant institutions. Enquiries relating to education QA activity received during Q1, all of which are ongoing. Scheduling will begin during Q2 and Q3
Appoint and train associate inspectors who will be actively conducting a programme of course approval inspections and course monitoring.	In progress - recruitment activity undertaken 23 April 2019-21 May 2019, and 88 applicants interviewed between 15 and 26 June 2019. 55 offers now made.

10. Fitness to Practise

Objective	Q1 update
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.	In progress – data transfer process has been tested, with only minor issues detected. Further testing planned. Transitional working group established. Operational working reports shared by HCPC in secure environment. Forecasting and resource model created to inform additional resource requirements.
Establish effective standard operating procedures, which realise the full potential of the new powers available to Social Work England under the rules and regulations.	In progress - Consultation completed and suitable revisions made to the Rules and supporting guidance. Further consultation with PSA and department on outstanding issues. Revised documents submitted to Secretary of State for approval. FtP management team fully recruited. Key operational policies drafted and currently under review ahead of consultation
Deliver our initial findings about fitness to practise to the profession at a local level through our regional engagement strategy.	Planned – preparatory activity in progress to enable delivery of this objective in Q4
Design a quality assurance framework, electronic case management system and	In progress - Essential functionality, data capture and reporting requirements have

modern reporting capabilities that enable us to identify key trends and intelligence from fitness to practise activity.	been identified, and reviewed to capture essential requirements. The success of this objective is dependent on the delivery of the functionality in the CRM. Data capture and reporting requirements have been established and delivered to CDS developers. The terms of reference and operational arrangements for the quality assurance framework in FtP have been drafted.
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11. Standards

Objective	Q1 update
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.	In progress –Scoping document for the corporate engagement strategy created. Draft to be developed during subsequent quarters in parallel with the overall corporate strategy. Output of the strategy innovation groups will inform development
By September 2019, have in place the team of people and the support infrastructure required to take forward our regional engagement strategy.	In progress - recruitment to the regional engagement team continued through Q1, with most regional engagement leads and the Head of Strategic Engagement joining during Q2.
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.	In progress - the standards and rules have been approved by the Secretary of State and are due to be published by the end of July. Work is ongoing on guidance, some of which will be consulted on in Q2 and all to be published Q3.
Ensure that people with lived experience of social work are actively engaged and working with us across all aspects of our work.	In progress - worked collaboratively with our experts by experience to inform standards development and support recruitment campaigns. Aiming to establish an integrated advisory group in Q2 and Q3.
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.	Ongoing - workplace shadowing pilot has been successfully completed and the programme will begin implementation through the rest of the year
Have established a system of informing and advising the organisation on	Planned – activity scheduled for Q3 and Q4

policy/legislative changes and/or development, 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.	Planned - activity scheduled for Q3 and Q4

12. Finance and Procurement

Objective	Q1 update
Provide timely, accurate and insightful management information to support organisational decision making.	In progress – efforts continued throughout Q1 to refine systems to ensure provision of accurate and insightful information. Work will continue throughout Q2 and Q3 to ensure alignment with organisational need.
Fully develop and test all our systems, processes and controls prior to full implementation.	In progress - development and testing of systems is ongoing, with further activity planned in Q2 and Q3.
Develop opportunities for user feedback to improve and refine systems and processes.	Planned – activity in Q1 focused on establishing systems and processes, Q2 and Q3 activity will introduce feedback mechanisms
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.	Planned - Activity planned for Q3 and Q4 in preparation for financial year 2020/21.
Engage proactively engage with organisational leaders as business partners to identify information/data requirements and devise Key Performance Indicators (KPIs).	In progress – planned activity continues throughout Q2 and Q3
Provide financial management training and support to all individuals with financial or decision-making responsibilities.	In progress – planned activity to increase during Q2 and Q3 building on efforts during Q1.
Continually seek to review strategic, business and operational assumptions throughout the financial period and assess their impact of future period forecasts.	In progress – ongoing activity throughout each quarter.

13. Legal Directorate

Objective	Q1 update
Recruit a team of legal, data protection and information, and internal quality and improvement specialists	Ongoing – majority of posts recruited to, on track to have all posts filled by end of Q3. Continuing to review team structure to align with business need.
Fully integrate the legal function into day-to-day operations.	Ongoing – beginning integration as roles are filled, focusing on full integration during Q2 and Q3
Deliver and manage a contracted bespoke external legal service for fitness to practise investigations, hearings and advocacy.	Ongoing – Q1 focused on tender process, now complete. Activity in Q2 will focus on finalising contractual arrangements, with Q3 and beyond focused on initiation of provision and ongoing quality control.
Raise legal awareness across our directorates and provide updates on key legislative developments that affect our regulation or our business activities.	Ongoing – work began in Q1 through existing team members. Additional team members will join in Q2 and will be engaging further across the organisation.
Design and implement policies and procedures to ensure compliance with relevant legislation, particularly in relation to data protection and information governance.	Ongoing – interim Head of Data Protection and Information Governance (DP&IG) appointed in Q1 and has started reviewing existing arrangements and identifying areas for improvement. Q2 and Q3 will allow a period of consolidation when the permanent Head of DP&IG Manager of DP&IG start in post.
Establish a programme of internal quality and improvement work in readiness for becoming the regulator.	Planned - Q2 will focus on recruitment of internal quality and improvement manager and officer role, with focus of Q3 on establishing scope of and commencing. the improvement programme.

Board Action

14. To note the current position in relation to progress made against the business plan objectives during Q1 of 2019/20.

Andy Leverton

Head of Business Planning and Improvement

18 July 2019

Social Work England Board Meeting

Meeting date	26 July 2019
Agenda item	3.3 Programme status report
Executive Director/Lead	Colum Conway
Author	Andy Leverton, Head of Business Planning and Improvement

Questions this paper addresses

How well are the projects critical to launch of Social Work England progressing?

Summary

The four critical path projects are progressing well. Recruitment continues to plan and consultation on standards and rules is complete, with ministerial approval now received. The data transfer programme is making good progress, with most data now being tested. CRM development remains on track, with close monitoring of progress in place.

Supporting papers

Programme Status Update

Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

The board are asked to note the current position in relation to progress made on the Social Work England Implementation Programme

Key implications or risks for any of the following (provide a brief explanation):

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	



Social Work England

Programme Status Report

July 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 remains on track to go-live as planned on December 2nd 2019.
8. Sufficient activity is directed at establishing the organisation to ensure delivery of the outputs in the time allowed in the programme plans.
9. Included below are progress updates for the four critical-path projects within the programme: data transfer programme, CRM build, recruitment, and consultation.

Project Name	Data Transfer Programme
Purpose	• Transfer of all relevant regulatory data from HCPC systems to Social Work England systems for the areas of Registration, Fitness to Practise and Education • Transfer live regulatory cases, applications and assessment • Manage the transfer of live FTP cases, Registration applications and Education programme provider assessments at their different stages of their respective regulatory process
Project Status	The transfer of all relevant regulatory data from HCPC's systems to Social Work England's systems is underway. The iterative testing process continues to identify and resolve any further inconsistencies.
Project Progress	• Transfer Scheme and Data Sharing Agreement signed-off • Data Sharing Environment and Access Control Policy in place • GDPR training completed to all staff • Agreed data sharing process with HCPC • Data testing by Social Work England has commenced • Data quality testing manager in post
Planned Key Activities	• Continue to prepare and support staff through the testing phase • Commencement of functional testing to ensure data imported correctly into systems.

Project Name	CRM – Customer Relationship Management
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	Development of the CRM continues. Current plans indicate sufficient capacity and time to deliver all the core functionality. Significant focus will be maintained on this project through to launch to ensure progress remains on track.
Project Progress	• The 12th development cycle completed on July 19th, with the 13th development cycle starting on July 22nd • The system will deliver all core functionality as set out in the project definition • Development has transitioned into the 2nd development phase concentrating on improving functionality and adding additional content • Weekly project reviews continue • A supporting project to manage the creation of web content is underway coordinated by the Communications department

	An IT demand prioritisation group has been established to ensure alignment of requirements and delivery of each development phase.
Planned Key Activities	- Conduct a Data Protection Impact Assessment - Continuation of sprints to deliver functionality and improvements - Continue user testing of system - Testing system with imported data

Project Name	Standards and Rules
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	The standards have been approved and the rules have been reviewed and signed off by the Secretary of State.
Project Progress	Project complete
Planned Key Activities	- The standards and rules will be published at the end of July. - A short consultation on some elements of Fitness to Practise guidance will be launched at the beginning of August

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 achieve its goals.
Project Progress	- Social Work England has 82 people in post as of 15th, July 2019 with a further 35 offers accepted and due to start in the coming months, and 46 posts in the recruitment pipeline - Interviews for registration advisors and EQA inspectors has concluded and offers have been made - Interviews for FtP panel members and legal advisors are ongoing
Planned Key Activities	Recruitment is ongoing with a focus on positions in the Legal, Registration and Quality Assurance and Fitness to Practise directorates

Board Action

10. 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

18 July 2019