

Social Work England Board Meeting

Friday 21 February 2020,

10.00 am – 1.00 pm

Agenda



Social Work England Board Meeting

Friday 21 February 2020, 10.00 am – 1.00 pm

Romney Room, RSA House, RSA, 8 John Adam Street, London WC2N 6EZ

Board Members:	Lord Patel of Bradford (KPA)	Chair
	Colum Conway (CCO)	Chief Executive, Social Work England
	Dr Andrew McCulloch (AMC)	Non-executive Director
	Ann Harris (AHA)	Non-executive Director
	Baroness Tyler of Enfield (CTY)	Non-executive Director
	Dr Helen Phillips (HPH)	Non-executive Director
	Mark Lam (MLA)	Non-executive Director
Social Work England staff in attendance (for items):	Alison Edbury (AED)	Governance Manager
	Greg Ross-Sampson (GRO)	Assistant Director, Corporate
	Jonathan Dillon (JDI)	Executive Director, Fitness to Practise
	Leanne Clarke (LCL)	Finance Manager
	Philip Hallam (PHA)	Executive Director, Registration and Quality Assurance
	Sarah Blackmore (SBL)	Executive Director, Strategy, Policy and Engagement
	Tracy Watterson (TWA)	Assistant Director, People
Apologies:	Jonathan Gorvin (JGO)	Non-executive Director
	Adnan Bashir (ABA)	Executive Director Finance, Social Work England
	Tom Sutton (TSU)	Department for Education
	Duncan Hall (DHA)	Department for Health and Social Care
	Mark Bennett (MBE)	Department for Health and Social Care
Observers (Guests):	Michelle Mann (MMA)	Department for Education
	Representative	Professional Standards Authority

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AGENDA

Item	Time	Topic	Paper	Board Action	Presented By
1.	10.00 am	1.1 Welcome 1.2 Declaration of interests 1.3 Minutes of the previous meeting 1.4 Action log	Verbal Paper Paper Paper	To note To note For approval To note	Lord Patel Lord Patel Lord Patel Lord Patel
2.	10.10 am	Management Reports			
		2.1 Chief Executive and Directors Report	Paper	To discuss	Colum Conway, Greg Ross-Sampson, Philip Hallam Jonathan Dillon, Sarah Blackmore, Tracy Watterson
		2.2 Business Plan Quarter 3 update	Paper	To discuss	Greg Ross-Sampson
		2.3 Management Accounts Quarter 3, 2019/20	Paper	To discuss	Leanne Clarke
	11.00 am	COMFORT BREAK			
3.	11.15 am	Forward Planning			
		3.1 Business Plan 2020/21 (work in progress)	Paper	To discuss and approve	Colum Conway
		3.2 Revised financial forecast 2020/21	Paper	To discuss	Leanne Clarke
4.	11.45 am	Decisions and Discussions			
		4.1 Audit Risk and Assurance Committee Meeting update	Paper	To discuss and approve	Ann Harris
		4.2 Risk Appetite Statement	Paper	To note	Colum Conway /Ann Harris
		4.3 Internal audit strategy 2020/23 update	Paper	To discuss and approve	Ann Harris / Leanne Clarke
			Paper	To note	

		4.4 Statutory external audit plan 2019/20			Ann Harris / Leanne Clarke
5.	12.30 pm	Board Governance			
		5.1 Strategic Risk Register	Paper	To discuss	Colum Conway / Greg Ross- Sampson
		5.2 Reporting arrangements for the Data Protection Officer	Paper	To discuss and approve	Phil Hallam
		5.3 Framework Document (<i>version 28/01/20</i>)	Paper	To note	Colum Conway / Alison Edbury
		5.4 Next meeting date: 10am – 1pm, 24 th April 2020, Sheffield. Note, this will be followed by Forge (CRM) demo, non-public.	Verbal	To note	Alison Edbury
6.	12.45 pm	Any Other Business			Lord Patel

Lunch will be provided at 1.00pm

Social Work England REMCO Meeting

Meeting date	Friday 21st February 2020
Agenda item	1.2 Declaration of Interests
Executive Director/Lead	Lord Patel of Bradford, Chair
Author	Alison Edbury, Governance Manager, Social Work England

Questions this paper addresses

The full disclosure of all Social Work England Non-executive directors' business and pecuniary interests in line with good practice governance.

Summary

Board members interests are declared in the document.

Supporting papers

Social Work England REMCO – Register of Interests

Board engagement / input

☒ Information ☐ Discussion ☐ Decision

Explanation of requirement

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

Perspective	Summary
Financial	X
Innovation and learning	
Stakeholders	
Business processes	X
Explanation	

Social Work England REMCO – Register of Interests

Name of Member: Professor Lord Patel of Bradford OBE

Date of Appointment: 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
The Global Policy Institute at Queen Mary London University	Senior Advisor
KYA GLOBAL Ltd	Director
Community Innovations Enterprise LLP	Chairman
The Expert Reference Group –Mental Health First Aid	Chairman
Mental Health First Aid England	Patron
Advisory Board of the India Sustainability Centre, Oxford Somerville College	Member
The India Centre, Southampton University	Patron
The Asian Sports Foundation	President
New Era Foundation	Member and Trustee
The Tutu Foundation UK	Ambassador
National Men's Health Forum	Patron
Sharing Voices	Patron
The Bridge Project	Patron
Bradford Courts Chaplaincy Service	Patron
Westminster Social Policy Forum	Patron
Westminster Health Forum	Patron
British Muslim Heritage Centre	Patron
Equity Partnership	Patron
Bradford Cyrenians	Patron
Rethink Your Mind	Patron
Awazz Mental Health Care	Patron
Engage Communities CIC	Patron
The Lily Project, international anti-child trafficking charity	Patron
Intercultural Communication and Leadership School (ICLS)	Patron
Royal Society of Public Health UK	Professorial Fellow
The Institute of Mental Health Nottingham	Professorial Fellow
The Cass Foundation	Special Advisor on Higher Education
Advisory Board Institute for Dementia, University of Salford	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
Relate	Vice President
Step up to Serve Campaign	Member of Advisory Council
Centrepont	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:

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	Chair of Board
Legal Services Board	Chair of Board
Barlborough Hall School and Mount St Mary's College	Chair of Governors
Sheffield Business School	Advisory Board Member

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
Family Action	Vice Patron
Healthy Minds: Calderdale Wellbeing	Patron

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 of Trustee Board
Openreach Limited, owned by BT Group plc	Former Chief Technology and Information Officer
Private business consultant	

Social Work England Board Meeting

Meeting date	Friday 21 st February 2020
Agenda item	1.3 Minutes of the previous meeting
Executive Director/Lead	Lord Patel of Bradford
Author	Claudia Thompson, Administrative Assistant Executive Director

Questions this paper addresses
Do the minutes present a fair and accurate record of the Board meeting held on Friday 13 th December 2019?

Summary
The minutes from the previous meeting held on Friday 13 th December 2019

Supporting papers

Board engagement / input ☐ Information ☐ Discussion ☒ Decision
Explanation of requirement
The Board is asked to review and approve the minutes as a fair and accurate record of the meeting.

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

Social Work England

Minutes of the Board Meeting

Friday 13th December 2019, 10.00 am – 12.30 pm

The Don, Social Work England, 1 North Bank, Blonk Street, Sheffield S3 8JY

Board Members Present:

Lord Kamlesh Patel (KPA), Chair
Colum Conway (CCO), Chief Executive, Social Work England
Ann Harris (AHA) – Non-executive Director
Baroness Claire Tyler of Enfield (CTY) – Non-executive Director
Dr Andrew McCulloch (AMC) – Non-executive Director
Dr Helen Phillips (HPH) – Non-executive Director
Jonathan Gorvin (JGO) – Non-executive Director
Mark Lam (MLA) – Non-executive Director
Adnan Bashir (ABA), Executive Director Finance, Social Work England

Social Work England staff in

Attendance: (for specific agenda items)

Alexandra Hayward (AHAY), MI Analyst (Item 7)
Alison Edbury (AED), Governance Manager (All items)
Greg Lawton (GLA), Head of Data Protection and Information Governance (Item 12)
Jonathan Dillon (JDI), Executive Director, Fitness to Practise (All items)
Neil Smith-McOnie (NSM), Insight and Analytics Manager (Item 7)
Rachel McAssey (RMC), Head of Registration (Item 9)
Sarah Blackmore (SBL), Executive Director, Strategy, Policy & Engagement (Item 11)
Tracy Watterson (TWA), Assistant Director, People (Item 7)

Apologies:

Claire Armstrong, Department for Health and Social Care
Greg Ross-Sampson, Assistant Director, Corporate, Social Work England
Philip Hallam, Executive Director, Registration and Quality Assurance, Social Work England

Observers:	Holly Lindley, Department for Education
	Tom Sutton, Department for Education
	Alexandra Taylor, Professional Standards Authority
	Charlotte Carter, Community Care
Minutes:	Claudia Thompson (CTH), Administrative Assistant, Executive Directors

(The meeting commenced at 10.10 am).

1. Welcome and introductions

1.1 The meeting was called to order by the Chair, Lord Kamlesh Patel (KPA). The Chair welcomed Board members and guests to the meeting.

1.2 Apologies received from Greg Ross-Sampson, Assistant Director, Corporate and Philip Hallam, Executive Director, Registration and Quality Assurance were noted.

2. Declaration of interests

2.1 Claire Tyler (CTY) and Helen Phillips (HPH) noted changes to their Declaration of Interests. The Declaration of Interests for other members present was noted. No further declarations were made during the meeting.

2.2 There were no conflicts of interest recorded.

Action Alison Edbury

3. Minutes of the previous meeting

3.1 Minutes of the previous meeting on Friday 25th October 2019 were reviewed. Subject to minor corrections noted in relation to points 4.3, 8.5, 11.3 and 14.1, the minutes were approved as an accurate record.

Action Alison Edbury

4. Matters Arising

4.1 The status and progress of items on the Action Log were discussed. The Board recorded that the ongoing actions were to be discussed as part of the Agenda. No further actions were required.

5. Audit and Risk Assurance Committee (ARAC) Meeting Update

5.1 The Chair of ARAC, Ann Harris (AHA), provided a verbal update for the Board:

- Ann Harris (AHA) has met with the National Audit Office (NAO) and confirmed that Mazars have been commissioned to complete the audit fieldwork.
- The NAO external audit fee has increased significantly and has been challenged by ARAC; it is understood that there is a lot more fieldwork in this first year with an expectation that the fee will be lower in future years.
- The internal auditors, Haines Watts, have met with Executive Directors and are conducting advisory audits for specific areas of the organisation. Further discussions with Haines Watts are planned for the new year.
- The outline plan for the internal audit 2020/21 is not yet completed but will be ready for the next ARAC meeting.
- Following the Government Internal Audit Agency (GIAA) recommendations, there is a final report on Information Governance to be completed; all staff training in this area has been completed.
- Ian Ferguson, DfE Non-Executive Director and DfE ARAC, has invited Ann Harris (AHA) as ARAC Chair to meet with other Arms-Length Bodies' (ALBs) Audit Risk and Assurance Committee Chairs.
- It is expected that the first draft of the Annual Report and Accounts will be presented in May.

Action: Adnan Bashir

6. Risk Strategy Meeting Update

6.1 Adnan Bashir (ABA) reported that the meeting used a devised assessment as the approach to assess risk capacity and risk appetite. Risk appetite was assessed by the Board, ARAC and staff using four broad headings - finance; compliance and regulation; innovation and quality; reputation – and 15 detailed scenarios. Risk appetite generally was calculated as cautious to moderate and will be reviewed in relation to the corporate strategy.

6.2 The Board members who were present at the risk appetite workshop stated that the approach was very thorough and congratulated Adnan Bashir (ABA) and Amy Lamb, Risk and Internal Policy Manager, for their hard work. It was agreed that the risk scenarios should be circulated to all Board members.

Action: Adnan Bashir / Alison Edbury

7. People Engagement Survey Update

7.1 Tracy Watterson (TWA), Neil Smith-McOnie (NSM) and Alexandra Hayward (AHAY) joined the meeting and provided an update regarding the People Engagement Survey conducted in September 2019.

7.2 Following the discussion, the Board requested the following:

- The collection and analysis of diversity data.
- A re-assessment of the core questions in the survey.
- That the questionnaire is shared with the Board before the next scheduled survey.
- The text comments are shared with the Board.

Action: Tracy Watterson and Neil Smith-McOnie

7.3 The Board concluded that excellent work has been conducted on the staff survey and thanked Tracy Watterson (TWA), Neil Smith-McOnie (NSM) and Alexandra Hayward (AHAY) for their hard work.

(Tracy Watterson, Neil Smith-McOnie and Alexandra Hayward left the meeting).

8. Go Live update

8.1 Colum Conway (CCO) reported on go-live, Monday 2 December 2019. He summarised that a safe and effective transition from HCPC had been achieved and both organisations worked well in handling the data transfer and communicating with the sector.

8.3 The Board congratulated all Social Work England employees on their huge achievement.

9. Registration and Quality Assurance, Education Quality Assurance

9.1 Rachel McAssey (RMC), Head of Registration, joined the meeting and presented an update on Registration with key points in response to questions raised by the Board:

- 97,684 social workers were on the register as at 2 December 2019; this has since increased to 97,711 registered social workers, as of 13 December 2019. The increase was due to people having their applications to join or re-join the register accepted.
- 2347 calls were received by Social Work England since go-live.
- The calls are primarily about registration, however there are calls regarding technical support.
- Almost 20% of registered social workers have set up an online account.

9.2 The Chair, Lord Kamlesh Patel (KPA) thanked Rachel McAssey (RMC) for the presentation and for all the hard work by the Registration team.

(Rachel McAssey left the meeting).

10. Fitness to Practise

10.1 Jonathan Dillon (JDI) updated the Board on Fitness to Practise (FtP) noting that overall, FtP has achieved what it set out to, for go-live. The latest data since go-live was presented in response to the Board's questions as follows:

- The FtP team is now fully recruited - 63 employees (30 investigation officers, 14 case examiners, 15 adjudication support officers and 4 case review officers) and 139 partners (36 panel chairs, 38 lay adjudicators, 31 registrant adjudicators and 34 legal advisers).
- Capsticks were appointed in July 2019 as our external legal provider. We have benefited from an extensive programme of value-added support, including employee training, targeted legal advice, guidance and document review.
- A suite of guidance documents and policies has been produced sequentially over several months in consultation with the PSA and other key stakeholders, including Unison, BASW, Unite and several legal firms.
- At the point the HCPC register was preserved for data transfer there were 1545 live fitness to practise cases; 1270 of those cases were at the investigation stage, 190 at the hearings stage and 64 in the case review cycle.
- The FtP team had sifted and made a head start on almost 200 cases during transition.
- The rate of cases received has been about 35 each week, which is as predicted.
- Measuring user satisfaction of our FtP is identified as an important but challenging area currently being developed by the team and is likely to involve a third party.

10.2 The Chair, Lord Kamlesh Patel (KPA) thanked Jonathan Dillon (JDI) for his summary and for all the hard work he and the Fitness to Practise Directorate have delivered.

11. Communications

11.1 Sarah Blackmore (SBL) joined the meeting. She provided the Board with an update on communications and engagement activity and responded to comments as follows:

- For go-live, over 98,000 emails were sent out and 17,641 social workers have opted in to receive online communications.
- Twitter and Linked In followers increased by 11% and 14% respectively in the first 11 days' since go live; our 'welcome' video featuring our Regional Engagement Leads made the top tweet.
- Despite the general election's purdah impact on our media campaign, we still secured 4 pieces of media coverage in 3 target trade titles reaching 248,000 people.

- Overall, there has been positive endorsement from social workers, stakeholders and journalists.
- 6 out of our 8 Regional Engagement Leads are now in post with strong applications received for the remaining vacancies; interviews scheduled for end of December.
- 3 national 'Continuing the Conversation' events have taken place in Maidstone, Nottingham and Preston; 1500 social workers have been reached through regional meetings and events.
- Work is underway to set up a National Advisory Forum and an External Quality Assessment (EQA) Standards forum as well as a workplace shadowing offer for Social Work England staff, and to invite people to shadow us.

11.2 On behalf of the Board, the Chair, Lord Kamlesh Patel (KPA) congratulated Sarah Blackmore (SBL) and her team for their excellent work. The Chair, Lord Kamlesh Patel (KPA) requested that the presentation is circulated via email to Board members.

Action: Sarah Blackmore /Alison Edbury

(Sarah Blackmore left the meeting)

12. Reporting arrangements for the Data Protection Officer

12.1 Greg Lawton (GLA) joined the meeting. Colum Conway (CCO) explained that Greg's role involves the responsibility of being the organisation's Data Protection Officer (DPO) and as such he will have a direct line of reporting to the Board on data protection issues. Greg Lawton (GLA) presented a summary overview of the reporting arrangements of the DPO and noted that the email address specifically used for data breaches.

12.2 The Board requested access to Social Work England's online GDPR training module and noted that a detailed presentation regarding the Board's accountability relating to data protection is on the agenda for the next meeting.

Action: Philip Hallam / Greg Lawton

12.3 The Board agreed that Greg Lawton (GLA) will be invited to Audit Risk and Assurance Committee (ARAC) meetings.

Action: Adnan Bashir / Alison Edbury

(Greg Lawton left the meeting).

13. Corporate Strategy Update

13.1 The Chair, Lord Kamlesh Patel (KPA) tabled the latest version of the Corporate Strategy and asked for comment.

13.2 The Board noted the Corporate Strategy had undergone positive developments since the last iteration and was an accurate, well-pitched reflection of the organisation.

13.3 The Board agreed to feed back any further comments to Sarah Blackmore (SBL) and that they are happy to delegate to the Chair, Lord Kamlesh Patel (KPA) and Colum Conway (CCO) Chief Executive Officer for the final sign off.

14. Annual Budget 2020/21

14.1 Adnan Bashir (ABA) delivered an update on the Annual Financial Plan (AFP) 2020/21. He noted that due to the current political climate, our Sponsors have advised that they are unable to consider and/or approve financial plans exceeding the 2020/21 financial period. Therefore the 2020/21 AFP is presented in isolation for approval by the board before it is sent to the Department for Education (DfE).

14.2 The Board noted that the AFP was very thorough and approved the AFP 2020/21. The Board requested to receive the AFP 2020/21 via email.

Action: Adnan Bashir / Alison Edbury

15. Board Governance

15.1 Adnan Bashir (ABA) noted that the updated draft Framework Document (revise 131119 clean version) has been circulated to the Board and the final draft version will be circulated in due course.

15.2 The Board registered the following points:

- Paragraphs 13 and 14 wording has changed, and it was requested that the previous wording should remain.
- Paragraph 29 references that the Board will meet 8 times annually and this is felt to be overly excessive as a requirement, 6 times annually was recommended.
- Paragraph 30 no longer includes the Financial Director as a member of the board, Adnan Bashir (ABA) confirmed to the Board this is no longer required.

15.3 The CEO, Colum Conway (CCO) requested that Executive Directors attend all future Board meetings where possible.

Action: Colum Conway / Alison Edbury

15.4 Adnan Bashir (ABA) introduced the new Corporate Feedback and Complaints policy as a point of information since this has been in place since go-live.

15.5 The Board discussed the policy and requested an annual report on complaints and for this to include a log of the status of resolved and unresolved complaints.

Action: Adnan Bashir / Alison Edbury

15.6 The Chair, Lord Kamlesh Patel (KPA) noted the provisional meeting scheduled for Friday 17th January 2020 and the Board agreed that this meeting was no longer required; an additional REMCO meeting will follow on from the next Board meeting on Friday 21st February 2020.

15.7 Alison Edbury (AED) noted that future Board meetings will be held at different locations as per the schedule and the Board agreed that this was an excellent opportunity to arrange for Regional Engagement Leads to host an informal 'meet and greet' the evening before in the different regional locations, where possible.

Action: Alison Edbury

(The meeting concluded at 1.00 pm).

TO NOTE: SUMMARY OF ACTIONS

1. Alison Edbury to update the Register of Interests. *(Completed 27/01/20).*
2. Alison Edbury to amend the 25 October 2019 minutes. *(Completed 17/12/19).*
3. Alison Edbury to add the request for a 15-month review to the Action Log.
4. Adnan Bashir to update on revised plans for the Internal Audit Strategy 2020/21.
5. Adnan Bashir / Greg Lawton to report on the final report - Internal Audit: Information Governance.
6. Adnan Bashir / Alison Edbury to email the risk scenarios used for the risk strategy workshop to the Board. *(Completed 20/12/19).*
7. Tracy Watterson / Neil Smith-McOnie to share text comments from previous survey and to report on diversity data, engagement survey core questions and overall draft questionnaire before next survey.
8. Sarah Blackmore / Alison Edbury to email the Communications presentation to Board members. *(Completed 17/12/19).*
9. Philip Hallam / Greg Lawton to make a presentation at the next Board meeting regarding the Board's accountability relating to data protection.
10. Adnan Bashir / Alison Edbury to ensure Greg Lawton is invited to attend ARAC meetings. *(Completed 30/01/20).*
11. Adnan Bashir / Alison Edbury to email the Annual Financial Plan 2020/21 to Board members. *(Completed 20/01/19).*
12. Colum Conway / Alison Edbury to ensure all Executive Directors are invited to attend Board meetings. *(Completed 14/01/20).*

13. Greg Ross-Sampson / Ellis Christie to provide the Board with an annual report on complaints including a status report of resolved and unresolved complaints.
14. Alison Edbury to update the meeting schedule and arrange 'meet and greet' opportunities the night before Board meetings hosted in different regional locations.

Social Work England Board Meeting

Meeting date	Friday 21 st February 2020
Agenda item	1.4 Action log
Executive Director/Lead	Chair, Lord Patel of Bradford
Author	Alison Edbury, Governance Manager

Questions this paper addresses

What are the outstanding items of business from previous meetings?

Summary

Outstanding actions updated from previous meeting, Friday 13th December 2019.

Supporting papers

Board engagement / input

☒ Information ☒ Discussion ☒ Decision

Explanation of requirement

The Board is asked to review the progress status of the Action Log, acknowledge the updates, discuss and approve any proposed actions.

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

Perspective	Summary
Financial	
Innovation and learning	
Stakeholders	
Business processes	
Explanation	

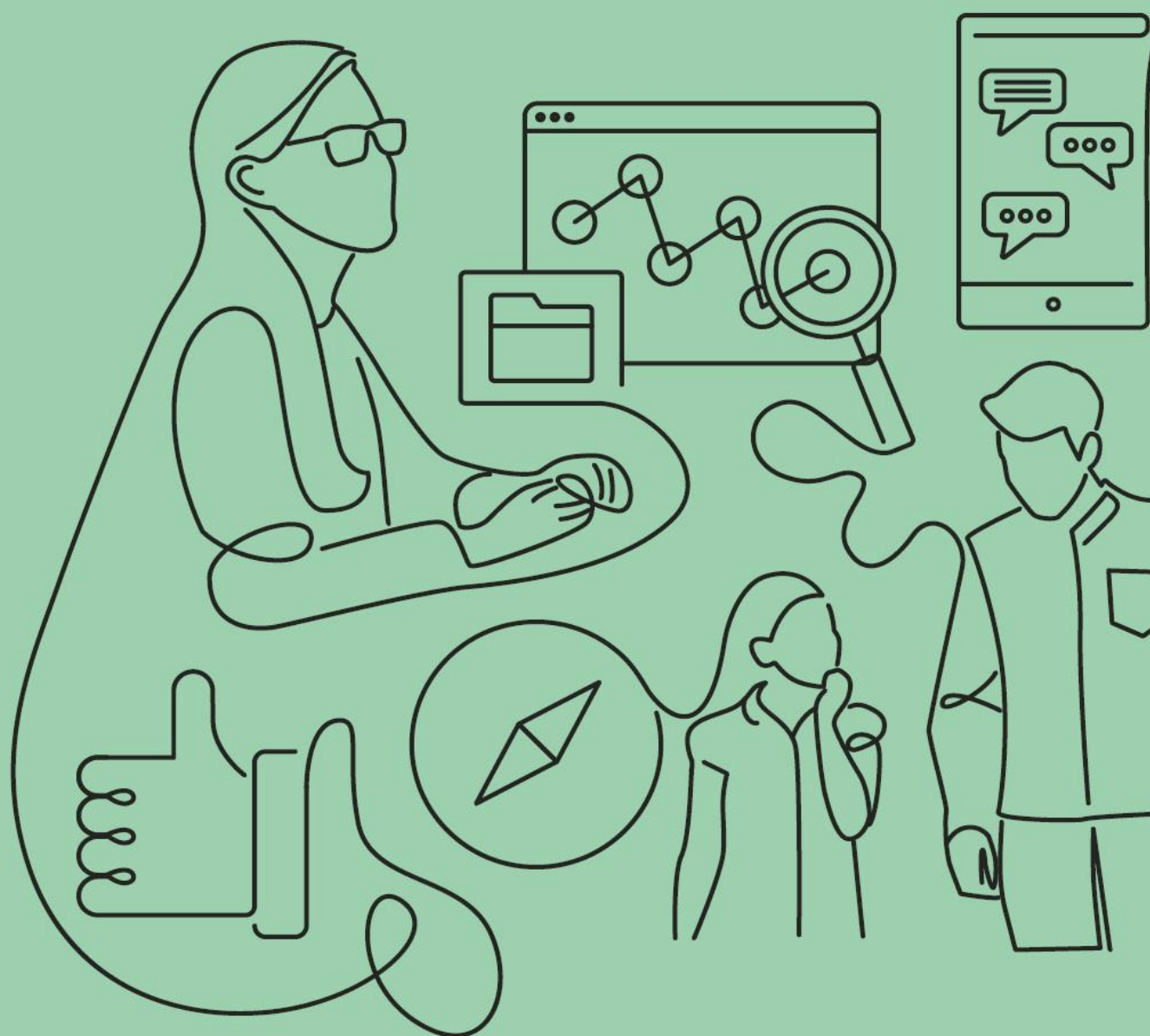
Action Log – from Board Meeting 13 December 2019

	Date of Board Meeting:	Actions:	Owner:	Status/Due Date:
a.	25/10/19	Update on strategic plan to be presented to the Board	Colum Conway / Sarah Blackmore	Presented and discussed at strategy meeting 25/10/19. Completed 13/12/19 Update on Agenda 21/02/20
b.	13/12/19	Arrange a session for Board and Staff to review lessons learnt in 15-months before go-live.	Kamlesh Patel / Colum Conway / Alison Edbury	To be actioned.
c.	25/10/19	Board members will undertake shadowing opportunity with Regional Engagement Leads over the next six months.	Sarah Blackmore / Jack Harrison Policy & Participation Officer	Ongoing – opportunities are being scheduled April 2020 onwards
d.	25/10/19	Board to view a demo of the digital capability of the CRM and Registration system (Forge).	Greg Ross-Sampson and David Bates	Ongoing - To be scheduled for 24/04/20 following the Board meeting.
e.	25/10/19	Board feedback on Framework Document.	Adnan Bashir	Draft Framework Document Update on Agenda 21/02/20
f.	13/12/19	The Board requested the opportunity to engage with the next Staff Engagement Survey.	Tracy Watterson / Neil Smith-McOnie	Ongoing
g.	13/12/19	Programme for 30-month internal audit plan to be discussed with Haines Watts.	Ann Harris / Adnan Bashir	Ongoing Update on Agenda 21/02/20
h.	13/12/19	Board training required on GDPR.	Philip Hallam / Greg Lawton	08/01/20 Online training facility set up.

				Ongoing
i.	13/12/19	Board to be apprised of their accountability relating to data protection.	Philip Hallam / Greg Lawton	Agenda 21/02/20
j.	13/12/19	Annual complaints report to be presented to the Board.	Greg Ross-Sampson / Ellis Christie	December 2021
k.	13/12/19	Regional meet and greet opportunities to be scheduled alongside Board meetings.	Alison Edbury	Ongoing for Board meeting 26/06/20 in Birmingham

Chief Executive and Executive Directors Report

February 2020



Social Work England Board Meeting

Meeting date	Friday 21 st February 2020
Agenda item	2.1 Chief Executive and Executive Directors Report
Executive Director/Lead	Colum Conway, Chief Executive
Author	Executive Leadership Team

Questions this paper addresses
This paper is an update to the Board on the activity of Social Work England since the last Board meeting on 13 December 2019. It provides an overview report from the Chief Executive with key organisational highlights from the Executive Leadership Team.

Summary

Supporting papers

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

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

Introduction

This paper is an update to the Board on the activity of Social Work England since the last Board meeting on 13 December 2019. An overview report from the Chief Executive capturing some key highlights for the organisation between Board meetings will form part of the reporting process for each Board meeting.

This is a detailed and lengthy paper; we think at this early stage in the life of the organisation it may be useful for the Board to receive assurance of the level of activity based on the work of each directorate. We are planning a different approach to performance reporting for the Board more closely aligned to the key objectives in the strategic and business plans which will be in place for the new financial year 2020/21. In this context, the Chief Executive paper will focus more on particular highlights or key issues.

For this report the figures used reflect the position at 31 January 2020.

Registration and Quality Assurance

The Registration and Quality Assurance directorate has responsibility for Registration, Training and Education Quality Assurance, Legal, and Information Governance and Data Protection.

Registration

- 1.1. On 2 December 2019, the Social Work England register opened with 97,684 registrants. As at 31 January 2020, the register comprises 98,210 registrants.
- 1.2. At the point of transfer of regulation, we received 642 applications in progress from the HCPC. Additionally, between 2 December 2019 and 31 January 2020, we have received 844 applications directly to us through the Social Work England online account. We have also received 235 applications to be restored to the register (68 as part of the transfer from HCPC), as well as over 910 requests for change of details from individuals currently registered.
- 1.3. In the period 2 December 2019 to 31 January 2020 we have closed 867 applications and added 470 individuals to the register. Additionally, we have received 8793 phone calls and over 1000 emails on a range of issues not only relating to the registration process.
- 1.4. The overall volume of activity in the early weeks has been higher than anticipated and the registration team have made effective use of staff members across the organisation as a 'surge team' at various points since 2 December 2019 to assist with phone and email queries, and recruited short term temporary staff to add to the team.

Education Quality Assurance

- 1.5. At the point at which the regulation of social workers in England was transferred from the HCPC on 2 December 2019, there were 84 relevant institutions providing 309 courses.
- 1.6. There were seven pieces of outstanding quality assurance activity transferred from the HCPC. These have been progressed with one course receiving approved status, two being concluded as an approved change request, with the remaining activity currently within the quality assurance processes.
- 1.7. In the period 2 December 2019 to 31 January 2020, one request for approval has been submitted with four courses requesting approval prior to this date.
- 1.8. During this period, 11 requests for changes to approved courses have also been received and progressed.
- 1.9. We have conducted two inspections, and reports for those inspections are being drafted and shared with the relevant institution. In the period 1 February 2020 to 31 March 2020, a further two inspections of new courses are scheduled to take place.

Information Governance and Data Protection

- 1.10. In the period 2 December 2019 to 31 January 2020, we received 12 Freedom of Information requests, and 21 individual information rights requests, 19 of which were subject access requests, one of which was a request for erasure, and one other of which was a police request for information.
- 1.11. In this same period, nine data incidents were reported to, and dealt with by, the team. One incident has been reported to the Information Commissioner's Office (ICO) as per the protocol and required no further action.

Legal

- 1.12. A significant proportion of the team's time has been involved in decision making relating to fitness to practise. This has included regular attendance by the team at triage decision making groups, as well as advising on matters that have been listed for a hearing, appeals made by registrants and the Professional Standards Authority relating to Health and Care Professions Council (HCPC) outcomes, giving instructions and advice on fitness to practise cases, and advice on the interpretation of legislation and policy.
- 1.13. Additionally, the legal team have led the preparation of Social Work England's response to a call for evidence from the Independent Inquiry into Child Sex Abuse, completing a lease of additional space at the North Bank premises, and effecting risk-based reviews of supplier and partner contracts for General Data Protection Regulation and legal purposes.

Fitness to Practise

Triage

- 2.1. Since operations began there have been 350 new fitness to practise referrals made to Social Work England. 52 of these cases were received in the final week prior to regulatory transition but were opened and progressed by Social Work England.
- 2.2. Current trends suggest an average referral rate of 43.75 new concerns each week, although it is likely that this figure is inflated because of the draw of making referrals to a new regulator.
- 2.3. The triage team have made decisions in relation to 144 cases since operations began and are currently progressing cases at a rate of 25 each week. The breakdown of decisions so far in the triage teams is as follows:
 - 144 decisions made in total
 - 37 closures because the threshold for investigation was not satisfied
 - 15 adjournments pending further enquiries by the triage team
 - 78 referrals for a full fitness to practise investigation
 - one is on hold due to employer investigation
 - 13 have been closed by triage with blank outcomes
- 2.4. Decisions are currently pending in relation to 80 referrals in the triage team.
- 2.5. An operational review took place in mid-January and the following actions have been implemented to increase capacity on the team:
 - A more intelligent scheduling strategy has been put in place. This involves listing a weekly “quick turnaround” DMG which reviews a higher number of new concerns that are considered quick and easy to review
 - Triage officers have been trained to draft decisions rather than managers. All decisions are reviewed and approved by managers before they are communicated
 - A professional consultant has been appointed until April to assist the team with particularly complex referrals
 - Two case examiners have been temporarily seconded to the triage team to assist until the case examination function reaches full capacity.

Investigations

- 2.6. The fitness to practise investigations team is currently carrying a caseload of 1,310 cases.
- 2.7. The investigations team is resourced to carry a caseload of between 1050-1100 cases on the basis that an ideal caseload per officer is between 50-55 cases. Current caseloads mean that each officer is carrying an average of 65 cases.

- 2.8. All cases held in the investigations team have been assigned an initial risk and complexity rating and all social workers and informants involved in these cases have now received a written update on the progress of their case.
- 2.9. In order to increase the efficiency of case progression and bring caseloads down to a manageable level, the following strategies are in place on the investigations team:
 - The just disposal policy is being employed to ensure that all transition cases are initially assessed against Social Work England's enhanced triage threshold.
 - A full audit of the system performance has taken place by the development team and enhancements have been implemented, which has reduced task processing time
 - Our external legal team (Capsticks) have been allocated a caseload of 110 complex cases to sift and progress as part of the contracted service
 - The option of a six-month secondment of a senior lawyer to provide legal advice to the team around interim orders, investigation planning, risk assessment, and drafting of regulatory concerns has been taken up. This lawyer is progressing a review of 74 lower priority cases to free the investigators up to focus on the higher priority work
 - A professional consultant is supporting the investigations team until April to provide further support and advice on progression in relation to cases of higher risk or complexity
 - Further training has been provided to the investigators on best practice in decision drafting

Case examiner referrals

- 2.10. The case examiner team is resourced to deliver an average of 20 decisions each month. However, only 26 cases have been referred to the team since operations began. This is because transition cases were not in a suitable condition to refer to the decision makers when they were received.
- 2.11. Until the case examination team is up to full capacity, five case examiners have been seconded to other areas of the business, including registrations and fitness to practise triage, to assist with operational challenges in these areas associated with the transition of cases.
- 2.12. A breakdown of the decisions made by the case examiners to date is as follows:
 - four cases have been closed with no further action, advice, or a warning
 - one case has been closed with no further action, advice, a final order, or voluntary removal by virtue of an 'accepted disposal'
 - No cases have yet been referred to the adjudicators to consider at a final hearing
 - The referral rate to the investigators for further information or submissions is 33%
 - 12 interim order applications have been referred to the case examiners

Just disposal

2.13. The just disposal policy has been used actively since operations began to ensure that no injustice is caused to parties as a result of the transition to a new legal and operational framework. A breakdown of decisions made at the pre-case examiner stages using the policy so far is included below:

- 47 just disposal recommendations have been completed by the investigators as a result of the 250 case reviews undertaken so far. Referrals for just disposal are being made in 18% of transition cases at this stage
- 42 cases have been closed under just disposal criteria by the Decision Management Group (DMG)
- 5 cases have been remitted to the investigator by the DMG for progression to the case examiners
- 1035 cases are still awaiting a full review under just disposal criteria. We are targeting completion of all initial reviews by March 2020

Hearings and case review

2.14. There are currently 214 cases held within the adjudications service. Of these, 177 have now been transferred to Capsticks to sift and determine the next steps. It is hoped that up to 30% of these cases may be disposed of without a hearing through the use of the just disposal policy.

2.15. The time it takes to schedule substantive hearings is usually at least three months because of the disclosure schedule. As a result, there has been limited hearing activity in the first two months of operation. However, three substantive hearings were held in January as a result of collaborative work with the HCPC to list cases prior to the transfer of responsibility. Two of these hearings concluded with sanctions and one was adjourned.

2.16. A further 30 hearings (23 interim order hearings, five substantive reviews, one final hearing, and one restoration hearing) are listed to take place in February.

2.17. In addition to this, the hearings team has listed and concluded the following activity in the first two months of operation:

- 13 interim order application hearings (three of these were adjourned by the panel at the hearing)
- 21 interim order reviews (one hearing was postponed shortly before its listed date by way of an application)
- 10 substantive reviews
- Two final hearings (a further final hearing was adjourned to allow the social worker more time to secure legal representation)

2.18. A further eight interim order review hearings are listed to take place on 30 to 31 January.

- 2.19. There are currently 135 cases in the review cycle being managed by the case review team in fitness to practise. Each officer is carrying an average of 45 cases, which is in accordance with resource planning expectations.

Corporate

The Corporate Directorate consists of business planning and improvement, IT and data, and internal quality and improvement.

Business planning and improvement

- 3.1. **Planning:** working with teams across the organisation to build the annual business plan, risk management, and business continuity planning. A summary report of 2019/20 business plan activity for quarter 3 has been prepared for the February 2020 Board meeting.
- 3.2. The development of the 2020/21 business plan is almost complete, and a final draft has been prepared for the February 2020 Board meeting. All senior managers in the organisation met in December and again in February to discuss the approach to building the business plan, so as to further develop its content ensuring it remains aligned with the corporate strategy.
- 3.3. **Projects:** providing support to the organisation to design and deliver projects and overseeing the project management office. The project and programme management methodology are being refined to ensure it remains fit for purpose. The revised methodology will incorporate additional controls to minimise risk and increase project success without delaying the pace of delivery unnecessarily.
- 3.4. A schedule of lessons learned reviews is in progress for the projects that have reached completion.
- 3.5. Key current projects for the months ahead include:
 - Forge – ongoing developments including delivery of the existing list of requirements, delivery of new functionality, and planning for the long-term
 - System replacement – identifying options for the potential replacement of the HR, finance, and commercial systems
 - Equality, diversity and inclusion – reviewing our current capabilities to assess alignment with our values and compliance with statutory obligations
 - Data retention schedule – enhancing GDPR compliance by automating the retention, archival and disposal of data in accordance with our schedule
 - Commercial – review of our current commercial contracts and future requirements
 - Development of the website – conducting user-research to enhance usability and accessibility

- 3.6. **Analytics:** developing the suite of management information reports to provide effective insight to support decision making. Operational level management information reports have been launched to teams during January and work will start in February to develop the corporate reporting framework in alignment with the business plan.
- 3.7. **Risk Management:** Work has continued to develop the organisational risk appetite, based on the scenario modelling session conducted with the Board.
- 3.8. **Business Continuity:** The business continuity plan has been developed over the last year to ensure it provides clear direction to the organisation on contingency plans that will allow operations to continue during an incident.

IT and data

The team has seven main areas of focus:

- The provision, maintenance, and support of the end user devices used by Social Work England staff and the IT equipment in Social Work England's office
- The first line support of Forge, Social Work England's public facing website and case management system
- Contributing to the ongoing development of Forge
- Management of all Forge testing activities
- Monitoring and improving the overall security of Social Work England's systems and data
- The provision and support of Social Work England's Intranet
- The provision and support of Social Work England's communication technologies – phone, video conferencing, email, Teams, and Yammer

Launch of Forge

- 3.9. Since its launch, the public facing website has recorded 100% availability. During the first two months of operation we have deployed five releases to production to remediate a small number of errors, to address some performance issues, and deliver new functionality.
- 3.10. Whilst we have ensured that the website is compatible with current operating systems and browsers, it is apparent that a number of users have out of support software that cause problems with the CPD functionality. We are investigating how we can reduce the number of compatibility issues. However, we will not be supporting software that is out of support by the manufacture, in particular, Internet Explorer 10, which went out of support on 12 January 2016.

Forge – ongoing development

- 3.11. Whilst the version of Forge deployed into production has the functionality required for go-live, we continue development efforts to deliver more functionality, particularly around renewals and financial transactions.
- 3.12. It is anticipated that further development will continue throughout 2020 with innovation and further requirements being supported towards the end of the year and into 2021

IT Strategy

- 3.13. An update to the IT strategy to support Social Work England's strategic objectives will be published in March. The updated strategy will focus on becoming supplier agnostic, change resource requirements, partnering with a cyber security team to provide a full test and coverage service, and liaising with an external subject matter expert at regular intervals to test, challenge, and check progress.

User testing

- 3.14. User testing will be stepped up in 2020 with specific user research expertise being built within the current team.
- 3.15. As we are a non-departmental public body receiving funds from the Crown for the setup of our IT systems and infrastructure, we are mandated to undertake regular reviews with GDS.
- 3.16. We are currently in the process of working with GDS to establish a review process that works for both sides and we are keen to utilise the expertise and knowledge that the team at GDS can provide.

Internal quality and improvement

The team has three main areas of focus:

- Providing quality assurance of Social Work England's regulatory functions to ensure that they are in line with our legislative framework, are consistent with the Professional Standards Authority's (the Authority) standards of good regulation, and promote continuous improvements
- Management of Social Work England's corporate feedback and complaints process
- Coordinating communication between Social Work England and the Authority to ensure that it is clear and consistent

Regulatory quality assurance

- 3.17. Development of a quality assurance framework is underway including mapping of regulatory processes to identify regulatory risks and current first level quality assurance

activities. Anticipated delivery against this framework is due in March 2020.

- 3.18. A small-scale audit of the Fitness to Practise department's application of the just disposal policy to be completed in February 2020.

Corporate feedback and complaints

- 3.19. Monthly reporting to the executive leadership team is being completed in line with the corporate feedback and complaints policy.
- 3.20. 10 complaints and four pieces of feedback were received in December 2019 20 complaints and seven pieces of feedback were received in January 2020.
- 3.21. All complaints received in December 2019 and January 2020 were acknowledged within our published service standards of three working days. 96% of closed complaints received in December and January were responded to within our published service standard of twenty working day.
- 3.22. The first thematic report on corporate feedback and complaints covering December 2019 to February 2020 will be produced in March 2020.

Professional Standards Authority

- 3.23. We have provided the Authority with data for the Authority's annual levy calculations. Provision of Social Work England's first dataset submission to the Authority (covering the last month of Q3).

People

Recruitment and HR

- 4.1. We have successfully recruited 171 people to date and are recruiting to five vacancies. This includes several fixed term appointments to support transition.
- 4.2. The People Handbook and key people policies have been published.
- 4.3. An employee assistance programme is in place, where our people can access free counselling, advice, and signposting services on a variety of issues including wellbeing, finance, relationships, and trauma. This is a 24/7 service available to all our people, which also has a wealth of online self-help resources.
- 4.4. We have an occupational health service to support those in ill health to remain in work and/or support return to work following absence.

- 4.5. A cross organisational Think Well group has been established to develop our work on mental and physical health and wellbeing
- 4.6. We have established a cross organisational People Forum. The forum will play a crucial role in building our culture and the continued engagement of our people.
- 4.7. We have a significant number of people completing their probation in the next two months and have provided colleagues support and guidance on quality one-to-one meetings. We are also developing a streamlined performance development framework that will be rolled out in April to coincide with our 2020/21 business plan.
- 4.8. The Secretary of State recently approved the business case we put forward for our 2019/20 pay award. We are in discussion with the Department for Education about changing our pay award date so that it aligns to financial and business planning years.
- 4.9. We have begun proactive workforce planning, reviewing the business need for our fixed term people resources at least six months ahead of the contract end date to ensure business continuity.
- 4.10. We have commissioned Hays to undertake a job evaluation. An independent analytical job evaluation process will provide transparency around pay decisions and support equal pay, recruitment, retention, career development and succession.

Learning and development

- 4.11. We delivered an extensive learning and development plan to ensure we had a suitably qualified and trained workforce by the time of go-live, including professional advisers, investigators, case examiners, and a full team of independent adjudicators.
- 4.12. In a two-pronged approach, we delivered most of the learning and development, procuring external specialist training to meet specific needs, particularly within fitness to practise. Mandatory training was delivered via our e-learning system, Thrive.
- 4.13. We delivered corporate induction, essential skills for customer service, whilst drawing on other internal experts' specialist knowledge for dealing with difficult calls, complaints and feedback, and safeguarding. We commissioned the Samaritans to provide specialist training on 'Conversations with vulnerable people', 'Building Resilience and Wellbeing', and 'Witness support'.
- 4.14. We commissioned specialist training for fitness to practise training for panel members (130 people), Investigations team (34 people) and an eight-week programme for case examiners.
- 4.15. We delivered a two-day training event for Education Inspectors (53 people) to ensure they were fully prepared to undertake their inspector roles.

- 4.16. We commissioned team coaching to support leadership development for the Senior Leadership Team.

Strategy, Policy and Engagement

Regional engagement team

- 5.1. We have successfully appointed to the regional engagement lead posts in London and the East of England. We will welcome Ioana Roberts (East) and Julie Campbell (London) to the team in the last week of February.
- 5.2. All local authorities and HEIs in the staffed regions have had contact from their regional engagement lead. We have also made contact with 60% of all PSWs. We have attended a wide range of network meetings, including ADCS and ADASS Workforce Development forums. Our focus for January to March 2020 is to identify those key stakeholders who have not engaged and make initial contact. We've also had great traction on Twitter with over 290,000 Twitter impressions across the six RELs and over 900 new followers since September.
- 5.3. The sector is generally very positive about the new regulator. They want to know about registering students, fees, relationship with employers, the role of the regulator, and CPD.
- 5.4. We are working closely in our regions with people with lived experience of social work to continue to co-produce the engagement strategy which will be in place from April 2020.
- 5.5. Over the next two months we will be recruiting to and setting up our national advisory forum with a mixture of people with lived and learned experience of social work as well as representation from key stakeholder organisations. This will be underpinned by a Standards Forum, and an Education and Training Advisory Forum. The latter has now been established and has met for the first time.
- 5.6. The team have been contributing their social work expertise on an ad-hoc basis, sharing real-life experiences of social work through training and case studies etc. They are also supporting Fitness to Practise as members of the Decision-Making Group for Triage and second reviewers of decisions. They have been offering support to Registration by answering emails from the Enquiries inbox and supporting the telephone response.

Communications team

- 5.7. We responded to our first national enquiry around a fitness to practice case and work is ongoing to adapt our messaging within the parameters of the fitness to practice concerns process.
- 5.8. The Social Lives survey in partnership with the Guardian has been launched and we have gained coverage online and in their email bulletins as a result. The survey will

include launch events that give us an increased presence and platform to engage with stakeholders. The survey closed on 7 February and we have already eclipsed last year's responses, with positive endorsements from key stakeholders.

- 5.9. We sent launch content to all core stakeholders to cascade: 57 key organisations and 22 key individual stakeholders engaged on Twitter as a result, with news articles published from HCPC, UNISON, BASW, NMC, and DfE.
- 5.10. Welcome emails were sent out to 97,986 applicants and social workers, as a result 42.12% of online accounts have now been activated.
- 5.11. All our content was successfully delivered in time for the version 2 website including quality assuring 150+ publications and guidance. The website gained 388,081-page views throughout December, with the top three pages being the account login page, home page, and CPD landing page.
- 5.12. For World Social Work Day on 17 March we are planning a series of activities. This will include a joint approach, instigated by us, with the other home nation social work regulators. Alongside these plans, we will publish our corporate strategy.
- 5.13. We will complete a feature article in Community Care - a day in the life with two of our regional engagement leads. We will also complete the previously planned David Brindle Guardian story – a new era for social work regulation.
- 5.14. We will complete the Trademark of our brand and issue logo guidance for key stakeholders (social workers and education providers).

Policy

- 5.15. Following a procurement exercise, YouGov and Cragg Ross Dawson (CRD) were each awarded a contract to undertake our first commissioned research. The two projects are designed to give us a snapshot of social work and public perceptions of it at the outset of our regulation, this includes the views of people who have lived experience of social work. The two projects are on track to be completed by the end of March 2020.
- 5.16. Since December, we've been working with regulation colleagues on a range of cross-cutting initiatives, including a joint-statement on 'just cultures' and a working group on CPD, we've also contributed to the NMC strategy and fed thoughts into the PSA's plans for thematic reviews.
- 5.17. Our online system and associated guidance have begun to support the first waves of social workers to record CPD in their online account. As at 12th Feb 2020, 5,378 registrants have successfully recorded 13,177 items of CPD. We are considering our approach to CPD in support of the three-year strategy.

- 5.18. We hosted the first Education Advisory Forum on 13 January, which saw us bring together a group of experts and leaders in social work education to form a group that will advise us on our education and training standards, and associated policy.

Finance and Corporate Governance

Finance

- 6.1. Following conversations with our Sponsor Team and the DfE's Finance Operations Team, we will be looking to source our own financial management software for implementation during the 2020/21 financial year. The software will form part of a larger systems upgrade involving the HR, learning and development and procurement departments. An indicative capital and revenue resource allocation has been provided within the 2020-21 financial plan. We are currently in the early stages of pulling together our project and resource plan and identify viable routes to market; regular updates are and will continue to feed into the ELT.
- 6.2. Month Management Account (MMA's) are now being consistently produced and shared with the ELT, budget holders and our Sponsor Team. Financial management review meetings are held monthly with the Sponsor Team and our DfE Finance Business Partner, a more formalised structure has been introduced this quarter which is proving to be equally useful and supportive in managing and developing our financial prioritise in collaboration with the DfE.
- 6.3. We submitted our annual and three-year financial forecast during the quarter, in-line with the DfE's financial planning cycle. We expect to receive confirmation of funding in our Grant in Aid letter (GIA) expected early April. The finance department continues to work with ELT and budget holders to review and refine their resource requirements and financial forecasts for the financial year 2020-21.
- 6.4. Finance staff turnover during and by the end of the current financial year will provide an opportunity to investigate how the finance function may better meet the needs of decision makers and those with delegated financial responsibility. The key drivers for any new structure will need to focus on sustainable and flexible structures as well as utilising all the functionality of the new Financial management system when implemented.
- 6.5. The Internal Audit Plan (IAP) 2019-20 has been initiated and all key reviews have now been completed, draft audit findings reports will be made available for initial comment and review during the final quarter and ahead of the 2019-20 financial year end. The Internal Audit Strategy (IAS) 2020-23 has been reviewed by ELT and ARAC and is recommended for approval by the Board.
- 6.6. Early preparation for the 2019-20 financial year end is progressing well. Despite a challenging timeline the Statutory Accounts and Annual Report are scheduled to be completed and laid before Parliament prior to the summer recess (21 July 2020). The NAO and Mazars have now presented their Annual Audit Plan for the financial year 2019-20; ARAC have assessed and reviewed the plan and endorse its approval to the Board.

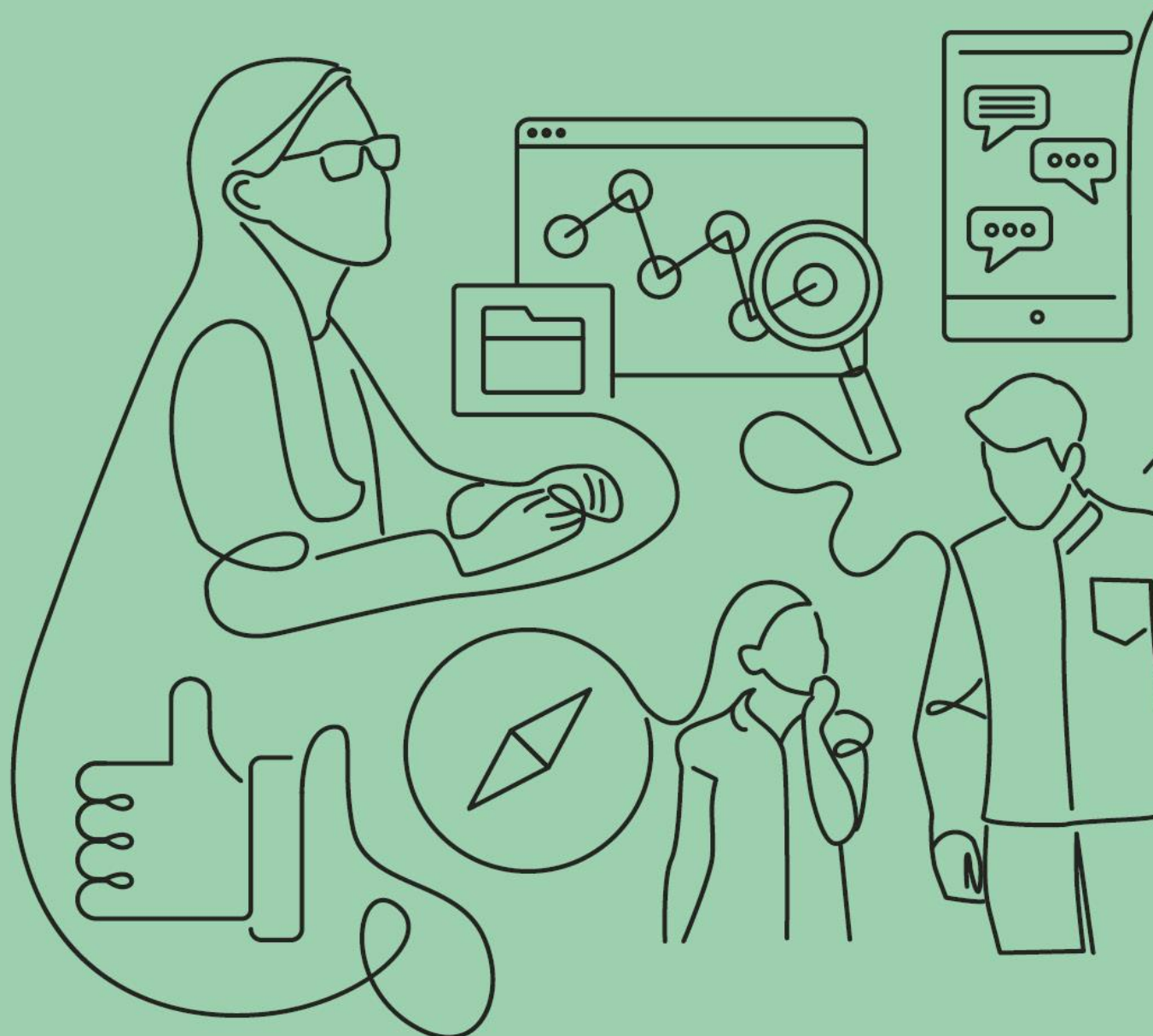
Corporate Governance

- 6.7. The Framework Document (FD) has undergone a number of significant re-drafts since September 2019 and it is now in its final iteration with just one outstanding item - DfE's right of access to data. The process of re-drafting the Framework Document has been very thorough and consultative, involving numerous stakeholder groups. We anticipate having the final FD in place for the start of the 2020-21 financial year.
- 6.8. In line with the requirements of the FD, the Governance Manager has been undertaking a review of the Terms of Reference (ToR) for the Board and its sub-committees (ARAC and REMCO). The revised ToR's will provide a clear and up-to-date specification regarding the role and responsibilities of the Board and its sub-committees and to align with the highest standards of governance. The final drafts of the revised ToR will be available for review and approval by the end of March 2020.
- 6.9. In order to achieve the highest standards of corporate governance, we have undertaken a review of our governance framework, we plan to establish a centralised governance resource (likely to be a digital platform) for the Board which will provide the opportunity to review reports/information and decisions taken, the platform will also allow the review of historic information and decisions supporting a more consistent and informed approach to governance.
- 6.10. Online GDPR training has been made available to the Board as part of our initial corporate governance review programme. Board performance reviews, are to be undertaken towards the end of the current financial/operating year and are expected to highlight the need for a more comprehensive training and development programme. The Board will be provided with regular updates of the review programme.
- 6.11. We have been liaising with the Board and working with the Risk and Internal Policy Manager and the Business Planning and Improvement Officer in assessing our corporate and governance requirements for procuring risk management software that aligns with our governance management and Board reporting functions. The aim is to improve Board assurance and to achieve co-efficiencies of working between risk management and governance. Together, using a bespoke digital platform, we aim to improve on how we support the Board by enabling dynamic reporting – based on a 'push' / actual or forecasted demand system, to meet the Board's need to receive information in a timely manner and at a strategic level. Board members will soon be invited to trial any prospective digital platforms meeting our assessment criteria, in advance of the procurement and implementation of any such system(s).

Business Plan

Quarter 3 Update

February 2020



Social Work England Board Meeting

Meeting date	Friday 21 st February 2020
Agenda item	2.2 Business Plan Quarter 3 update
Executive Director/Lead	Greg Ross-Sampson, Assistant Director, Corporate
Author	Andy Leverton, Head of Business Planning and Improvement

Questions this paper addresses

What has been achieved during the third 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 Q3. Work will continue towards the business plan objectives throughout the remainder of the financial year.

Supporting papers

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

February 2020

Purpose

1. To provide an update describing progress during October to December 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 third quarter of 2019/20, what we have achieved to date and where relevant, what we will do in the final quarter of 2019/20.

Thematic Areas

4. Consultation

Objective	Q3 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.	Completed in Q2
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 – all consultations now finished and reviewed.
Publish our professional standards, our standards for education and training and our rules for registration and fitness to practise.	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.	Rescheduled to plan consultation schedule from 2020/2021

5. Communications

Objective	Q3 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/on track - Welcome emails out to 97,986 applicants and social workers. Created a welcome video featuring the regional engagement leads to mark our arrival which has had over 9000 views on Twitter. Successfully delivered all content in time for the version 2 website including quality assuring 150+ publications and guidance. This had almost 390,000-page views during December.
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/on track - Engaged with over 4000 individuals through our regional engagement team this quarter. Where regional engagement leads are in post, all local authorities and higher education institutes have been contacted as well as 60% of principal social workers.
Support the directorates to deliver their objectives by creating bespoke communication plans and associated products.	In progress/on track - Each key function had a comms plan in place for go live. Following business planning a joint comms and engagement plan will be developed to embed this process further.
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.	Complete - Joint messaging with HCPC continued up until go live and concluded with a 'goodbye' message from HCPC followed by a welcome message from Social Work England the following week.
Establish our media relations function and managing our media output to support emerging business objectives.	Complete - Due to the pre-election period media output for go live was limited; however, 10 articles were secured reaching over 600,000 readers. Successful relationships and media coverage developed with Community Care to provide timely, factual, need to know info for social workers about the transition from HCPC to agreed joint messaging. Social Lives survey in partnership with the Guardian and have gained coverage online and in their email bulletins as a result. The survey will include launch events that give us an increased presence and platform to engage with stakeholders.
Develop our internal communication channels to ensure our brand values are realised and embedded throughout the organisation.	In progress/on track - Corporate strategy launch supported internally with several articles on the intranet to embed into the business planning process. Go-live celebrated with a structured plan that delivered several events, products and activities with positive messaging.

6. People

Objective	Q3 update
Continue to implement our recruitment plan to increase our overall capacity.	Complete - Recruitment and onboarding of 170 staff (including fixed term contracts) and 200 partners complete; contracts signed and handbook disseminated. Future recruitment will be part of normal ongoing business resourcing.
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 - Specialist training providers procured and are now delivering training to core staff and partners. Learning and development plan delivered, including team building, performance development and values workshops. Partner training will be completed in January 2020.
Continue to develop our human resources and recruitment policies, ensuring they remain fit for purpose.	Complete – Cross-organisational group established to develop and raise awareness of the benefits of thinking well (physical and mental health). People forum established to discuss and have oversight of people development, recognition and reward development, talent management, succession planning and championing the understanding and embedding of values and behaviours.
Continue to review and refine the structure of the organisation to ensure we are effectively managed and appropriately structured.	In progress/on track - The organisational arrangements are reviewed regularly, with some changes made in November 2019.
Conduct an employee satisfaction survey to identify good practice and areas for improvement.	Complete – Conducted and analysed Q2/Q3. In process of implementing organisational learning.

7. IT and Data Transfer

Objective	Q3 update
Complete the development and delivery of our digital services to support efficient and effective regulatory functions.	In progress/ on track – core functions were launched at go-live. Work on the system continues to add additional functionality and refinements to existing functionality.
By May 2019, deliver a test version of the full digital services.	Complete – testing of the system continued during Q3 in the run up to go-live.
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.	Complete – systems were launched and functional at go-live.
By July 2019, develop in partnership with HCPC detailed transition plans for each functional	Complete - Data was transferred successfully from HCPC for go-live.

area to ensure we are ready to become the regulator.	
Ensure the transfer and test of data is managed safely in line with the General Data Protection Regulation legislation.	Complete – the controls applied ensured the transfer of data was fully compliant with GDPR.
Ensure the safe and effective transfer of fitness to practise casework from HCPC.	Complete – the transfer of casework was completed successfully.
Ensure that any issues relating to transition are escalated to the sponsoring department.	Complete – issues relating to transition were escalated as appropriate.

8. Strategy and Planning

Objective	Q3 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/on track – All meetings for the Board, ARAC and REMCO committees are now scheduled in the calendar up to March 2021. Sub-committee meetings have been scheduled and have also been communicated to relevant stakeholders including the DfE, DHSC, internal and external auditors. In line with the revisions to the Framework Document, the existing Terms of Reference for the Board, ARAC and REMCO committees and a Scheme of Delegation are currently being reviewed and updated to ensure a fit for purpose governance framework.
Develop a three-year strategic plan supported by an annual business planning cycle.	In progress/on track – corporate strategy signed off by the board in December. Business planning workshop held mid-December, with planning activity continuing during Q4. Business plan for 20/21 to be signed off in Q4 19/20.
Monitor and report on our performance against our project and business plans to ensure successful delivery.	In progress/ on track - Business plan progress continues to be monitored regularly. Updates continue to be provided to the board each quarter.
Continue to develop our approach to risk management, generating effective mitigations to support successful delivery of projects, operations and strategy.	In progress/ on track - Operational risk register now in operation. Training conducted with colleagues across the organisation to raise awareness of their role in risk management. Strategic risk register reconfigured to align to objectives over the next 3 years, with mitigations being allocated to specific years within that timeframe. Mitigations are also being reviewed to ensure they are strategically focused. Several meetings to agree the risk appetite for the organisation have taken place, draft risk appetite statement has been written.

Agree with the sponsoring department a final version of the framework document.	In progress/ on track - Tracking and review undertaken. Ministerial approval scheduled for Q4.
Continue to work closely with our contractors through to completion to ensure that the ongoing changes to our infrastructure meet our needs.	In progress/ on track – pending changes to downstairs space due for completion in Q4.

9. Registration and Quality Assurance

Objective	Q3 update
Deliver an online space that will allow applicants and registrants to apply, renew, restore and update their personal details.	In progress/ on track - Online application process now delivered and being used by applicants. Ability for registrants to update details also delivered. Restoration process still to be delivered. Work to develop online renewal process now underway.
Deliver a front-facing registration and advice customer helpdesk that will deal with all Social Work England initial enquiries by telephone and email.	Complete – the advice function is now operational as part of the Registration and Advice team’s operational activity.
Develop the process and policy for recording and audit of continuous professional development.	In progress/ on track - Process is in place to enable registrants to record CPD online, and guidance to support this published. Audit functionality to be developed.
Develop the right policies and processes to deliver an effective registration function.	In progress/ on track - Policies and processes now in place and operational and are subject to continuous review in the first months of operation.
Draft and consult on guidance to support applicants and registrants.	In progress/ on track - Guidance has now been published and is in use, following consultation.
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/ on track - Work undertaken throughout 2019 to engage with education providers on development of Rules and Standards. Approval activity now being undertaken, and ongoing feedback is being sought from relevant institutions on the effectiveness of the approval process.
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/ on track - Quality assurance framework is in place, supported by Rules and process. Framework has been developed with input from stakeholders and inspectors (for example through standards consultation). Work

	continues to ensure ongoing access to expertise of registrants and other stakeholders.
Begin scheduling course inspections and conduct pre-approval assessment for courses requiring approval for academic delivery in 2020.	In progress/ on track - First inspections have now been undertaken, and scheduling is in place for future inspections.
Appoint and train associate inspectors who will be actively conducting a programme of course approval inspections and course monitoring.	Complete - Contracting and training of inspectors is now complete. Inspectors are now conducting inspections.

10. Fitness to Practise

Objective	Q3 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.	Complete – Final preparations were made for the transfer of cases in October and November. This included submission of a detailed report of the caseload to the IPA team, the handover of all cases queued for adjudication at the case examiner stages at the beginning of November, acceptance of a final control sheet for the remaining caseload in the final week of November and the successful transfer of the full caseload at all stages of the FtP journey directly into the Forge in the final week before go-live. At the time of writing 255 cases have been progressed by social work England from the point of receipt, 20% of the entire caseload.
Establish effective standard operating procedures, which realise the full potential of the new powers available to Social Work England under the rules and regulations.	Complete – Operating procedures and extensive guidance manuals were finalised in November for Triage, Investigations, Case Examination, Hearings and Case Review. 24 front-facing policies and guidance documents were published on 2 December with the launch of the new website. A comprehensive operational review has been planned for July 2020 with a steering group of key external stakeholders.
Deliver our initial findings about fitness to practise to the profession at a local level through our regional engagement strategy.	In progress/on track - Casework teams have been fully recruited and structured on a regional basis to align with the regional engagement leads and information sharing arrangements are in place. The first meeting of the FtP decision review forum was on 30 January 2020 and actions were agreed on the basis of insights gained from the initial sift of the caseload. The Executive Director of FtP has

	joined the DHSC steering group to influence work contributing to future regulatory reform. The first meeting of the group is on 4 th February 2020.
Design a quality assurance framework, electronic case management system and modern reporting capabilities that enable us to identify key trends and intelligence from fitness to practise activity.	In progress/on track - The quality assurance framework, including review and sampling methodology has been designed. The electronic case management system was launched successfully at go-live. All investigations are now being managed within the system. Further enhancements are scheduled for development up to April 2020. Operational reports for all stages of FtP were launched in January 2020. Further enhanced reporting capabilities being developed.

11. Strategy, Policy and Engagement

Objective	Q3 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/ on track - Three events across the country held in November with over 100 attendees and held an online survey which had 230 responses to co-produce the Engagement Strategy. Corporate strategy developed and signed off by the board in December.
By September 2019, have in place the team of people and the support infrastructure required to take forward our regional engagement strategy.	In progress/ on track - Two new regional engagement leads appointed and will start in February 2020. Meanwhile, the rest of the team have been delivering activities in this region as and when required.
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.	Completed - Publications were issued on the changes made to both standards following consultation. The completed standards are available on the Social Work England website.
Ensure that people with lived experience of social work are actively engaged and working with us across all aspects of our work.	In progress/ on track - People from the Experts by Experience group attended events to open proceedings by sharing their story and support us in facilitating table discussions. The group are also helping us design the new National Advisory Forum.
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.	In progress/ on track - review of current shadowing activities planned for Q4. Making contact with potential hosts throughout the country through the regional engagement leads.
Have established a system of informing and advising the organisation on policy/legislative changes and/or development, and our position in response.	Completed - Policy summaries are circulated weekly to ELT members. Policy responses are led on by different members of the policy team

	who draft responses on behalf of the organisation where appropriate.
Before the end of the year, we have commissioned research into a key area affecting social work or regulatory practice.	In progress/ on track – Two pieces of research have been commissioned and will be completed by April 2020.

12. Finance and Procurement

Objective	Q3 update
Provide timely, accurate and insightful management information to support organisational decision making.	In progress/ on track – Monthly management accounts and one to one meeting with Executive Directors and/or budget holders are regularly convened.
Fully develop and test all our systems, processes and controls prior to full implementation.	Complete – All system and manual processes prior to go-live were fully developed and operational. Additional processes and controls post go-live have been identified and introduced to reflect amendments to original go-live assumptions, primarily in regard to registration activity.
Develop opportunities for user feedback to improve and refine systems and processes.	In progress/ on track – Formal opportunities to introduce a feedback loop have been limited post go-live. The decision to invest in a new finance system will assist in securing user feedback on key finance systems in developing the new system specification.
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.	In progress/ on track – Team capacity has limited the opportunity to effectively engage with NDPB's. However, engagement with internal auditors has helped identify process improvements and a review of our procurement procedures has evidenced the assessment of VfM considerations.
Proactively engage with organisational leaders as business partners to identify information/data requirements and devise Key Performance Indicators (KPIs).	In progress/ on track – This quarter period has allowed finance colleagues to work with Executive Directors and budget holders to analyse and forecast the financial outturn position. We have engaged with colleagues at various levels within Social Work England to identify and quantify the financial resource requirements for 2020/21. Ownership of budgets by organisational leaders will help ensure financial management remains a positive and valuable experience/skill.
Provide financial management training and support to all individuals with financial or decision-making responsibilities.	In progress/ on track – Financial management training has been provided via the development of bottom up financial forecasts for

	2020/21. Practical examples of identify and forecasting costs and the impact of phasing and cashflow have been communicated during financial planning sessions. Formal training will be deferred until a new finance system can be implemented.
Continually seek to review strategic, business and operational assumptions throughout the financial period and assess their impact of future period forecasts.	In progress/ on track – financial planning assumptions are reviewed and assessed on a monthly basis and reflected within the financial outturn forecast. The same assumptions a further tested with Executive Directors and form part of the 3-year financial forecasts.

13. Legal

Objective	Q3 update
Recruit a team of legal, data protection and information, and internal quality and improvement specialists	Completed – All members of the team now recruited, with the exception of one Information Governance Officer (need for this role only identified November 2019). Review of resourcing to be undertaken.
Fully integrate the legal function into day-to-day operations.	In progress/ on track – Legal team have provided advice and guidance across all aspects of the organisation, and work continues to integrate their activity into day-to-day operations.
Deliver and manage a contracted bespoke external legal service for fitness to practise investigations, hearings and advocacy.	In progress/ on track – Legal team are already supporting aspects of fitness to practise activity, including triage and appeals. Work to be undertaken to consider resourcing requirements for other activity.
Raise legal awareness across our directorates and provide updates on key legislative developments that affect our regulation or our business activities.	In progress/ on track – Work has begun to provide legal awareness throughout the organisation, most recently on privilege. Training on aspects of relevant case law has also been delivered.
Design and implement policies and procedures to ensure compliance with relevant legislation, particularly in relation to data protection and information governance.	Completed – Policies and procedures in this area have been developed and released.
Establish a programme of internal quality and improvement work in readiness for becoming the regulator.	In progress/ on track – Internal Quality and Improvement Manager and Internal Quality and Improvement Officers recruited and undertaking initial planning work.

14. Board Action

To note the current position in relation to progress made against the business plan objectives during Q3 of 2019/20.

Andy Leverton

Head of Business Planning and Improvement

12 February 2020

Social Work England Board Meeting

Meeting date	Friday 21 February 2020
Agenda item	Item 2.3 Finance Report Q3 2019/20
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 Q3, providing an analysis by cost category and directorate.

Supporting papers
Q3 Finance Report

Board engagement / input
☒ Information ☒ Discussion ☐ Decision
Explanation of requirement
The Board is asked to review and discuss the content of the Q3 Finance Report.

Key implications or risks for any of the following (provide a brief explanation):	
Perspective	Summary
Financial	Are resources sufficient to cover the immediate period before and post go-live period. Is there capacity within Social Work England or are we likely to incur additional on-boarding costs.
Innovation and learning	None
Stakeholders	None
Business processes	None

Social Work England

Finance Report – January 2020

Executive Summary

The report provides the Board with information regarding overall performance, progress against budget, variance analysis and forecast outturn position for the financial year end. The information provided is summarised at corporate and directorate level and by administrative and programme cost categorisation (Appendix 1).

Social Work England had a positive variance against the YTD budget of £1,375,207 (12.63%) which was comprised as follows (directorates level):

Directorate	Surplus/(Deficit)	% Surplus/(Deficit) vs YTD Budget
Corporate Services	£191,064	2.98%
Fitness to Practise	£809,184	31.30%
Registration & Quality Assurance	£144,235	17.03%
Standards	(£82,936)	(16.03%)
Legal	£200,523	38.75%

The overall Q3 positive variance analysed by administrative/programme and capital categories is as follows:

Expenditure Category	Surplus/(Deficit)	% Surplus/(Deficit) vs YTD Budget
Administrative	(£71,176)	(4.04%)
Programme	£1,139,764	17.72%
Capital	£193,482	7.19%

The analysis provided within the tables above may appear confusing until we acknowledge that until December 2019 a significant proportion of our costs were being allocated to a programme category, since then costs have reverted back to their normal categorisation, this has resulted in a number of budget lines being under and over resourced due to early planning assumptions. Unfortunately, we are unable to reallocate unused programme resources to administration categories; but transfers in the opposite direction are permissible.

The total net assets (Total Assets less current and non-current liabilities) as at 31 January 2020 where £3,071,599 and include:

Assets/Liabilities	Value as at Q3
Property, plant and equipment	£1,851,839
Software (including CRM system)	£1,927,094
Current assets (including cash)	£927,853
Total liabilities	(£1,635,187)

Directorate Performance

Corporate Services

Staff costs continue to be allocated across administration and programme budget areas; the forecast outturn position for directorate provides for a total staff cost of £1.750m, resulting in a 4% saving against the original budget.

Agency costs have been proactively managed during the year and as at 31 January 2020 we have reduced our budget requirement by 22.5% to £217K for the year. We expect to achieve further modest savings, despite a temporary increase in agency usage to manage our legacy workload.

Governance costs remain on track and we fully expect to realise the surplus against budget as per our revised outturn position.

Premises costs are broadly in line with expectations and align with our expected outturn position.

Support costs continue in line with expectations and will provide for a small surplus against budget. The position will however be weighted toward a programme surplus and an administration deficit, primarily driven by unsupported planning assumptions regarding IT maintenance costs for the CRM system.

Expenditure regarding room hire and hospitality primarily linked to training events has now stabilised and we do not expect any further material changes to the overall balance. Expenditure on marketing and media activity has been constrained during the current financial year due to Government spend restrictions, we expect to utilise no more than 22.5% of the annual budget and have therefore released the remaining balance.

Capital expenditure as at 31 January 2020 is underspent by £193K primarily driven by IT Infrastructure (£93K). Areas of expenditure previously identified are no longer required due to changes in operating methods and efficiencies in our use of available technology. We have already reduced our capital requirement regarding premises but feel confident that the remaining budget will be utilised by the financial year end. We also carry into the final quarter a 3.5% capital underspend for the year to date in regard to our digital assets. We continue to develop our CRM system in partnership with CDS however, where possible we have sought to bring in house key elements of development work by contracting directly with business analyst and developers and completing our own system testing. However, we do fully expect to utilise the entire digital capital budget of £2.311m by the end of the financial period.

Fitness to Practise

Fitness to Practise expenditure is inclusive of current and legacy work inherited from HCPC; future years financial reports will provide a clear delineation between the categories of work.

Amendments to the staffing structure and deliberate delayed recruitment within the directorate have all contributed to a workforce cost saving which are now estimated to yield potential work force savings of approximately £450K for the financial year 2019/20. These costs savings have previously been communicated to the DfE when seeking approval for changes to the workforce and remuneration structure during the early part of the current financial year. Programme staff expenditure has already been adjusted to reflect the separation of Regional Engagement Officers approximately £677K, this is a balancing adjustment with no impact on the overall programme budget.

The vast majority of expenditure continues to be incurred within a programme definition; proposals will shortly be put forward to the Sponsor Team to redefine all Fitness to Practise expenditure as programme related.

Early estimates of legal fees and hearing related expenditure assumed a much higher volume of capacity would be achieved going into the final quarter of 2019-20. Subsequently, the forecast position has been reduced to £245K. Data analysis and volume variance budgets are unlikely to be utilised at this late stage; due to savings achieved elsewhere. CDS related costs are expected to continue up until the end of the financial year in line with our CRM strategy.

Registration & Quality Assurance

Administration related staffing and support costs are broadly in line with planning assumptions and are expected to remain within the overall budget allocation.

Programme related staffing costs are underspent due to delayed recruitment and changes to the workforce mix within the directorate. The higher than expected volume of legacy work from HCPC has led to the use of temporary/agency staff; the full year forecast for these costs is expected to be approximately £35k which will in part be offset against substantive staff savings.

Partner fees and associated travel and subsistence costs have yet to materially manifest, however, education inspection visits have already commenced and are scheduled up to and post the 2019-20 financial year end. The absence of historic data and lack of prior experience highlights a potential financial risk i.e. insufficient budget. However, we are confident the directorate has sufficient resources to offset all partner and associated travel and subsistence claims for the current financial year.

Standards

The allocation of staffing costs within the directorate is misaligned and incorrectly phased between administration and programme categories. Staffing costs will remain within the full year forecast across the directorate as a whole. Alignment of staffing costs by directorate and

department will be significantly less complicated in 2020-21 due to business as usual and less staff movement across directorates.

Year to date variances across support costs are relatively immaterial and reflect the lack of historic data and prior experience. However, transport and subsistence and consultation costs provide for the largest variances in terms of full year forecasts. Consultation and engagement costs have not aligned to original planning assumption providing the opportunity to offset savings against higher than expected travel and subsistence costs. T&S costs are expected to continue steadily reflective of the work undertaken by regional Engagement Leads.

The full year forecast for contractors relates to market research to be undertaken prior to the financial year end, following a commercial competitive tendering process two contracts for market research have been offered and accepted. Most of the work will be completed prior to the financial year end therefore, we expect to incur costs broadly in line with our financial forecast.

Legal

All legal directorate costs are currently defined as administrative expenditure, a recent review would indicate that the vast majority of work is in fact of a programme nature. Therefore, a proposal has been put forward to the Sponsor Team (DfE) to redefine this area of work as a whole. We hope to receive confirmation by the end of March 2020 at the very latest.

Administration staff costs are in line with the revised full year forecast, we are confident of this figure and do not expect any further changes. Programme staff costs are significantly underspent against the current budget, delayed recruitment has been the core driver of this variance. The underspend has now been released and the forecast aligned to the full year outturn.

Support costs have been assessed and reforecast for the year to date resulting in a reduction of £32.5K. No further material support cost adjustments are expected for the remainder of the 2019-20 financial year.

Appendix 1

Social Work England Summary

Directorates	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	% difference YTD	Full Year Original Budget	Full Year Forecast	Variance
Corporate Services										
Staff	179,089	151,208	-27,881	1,405,931	1,444,373	38,442	3%	1,821,382	1,750,123	71,259
Agency Staff	8,279	7,200	-1,079	138,185	153,867	15,682	10%	280,000	216,987	63,013
Seconded Staff	16,230	16,330	100	331,726	331,805	79	0%	390,000	364,465	25,535
Governance	13,427	21,010	7,583	148,175	166,658	18,483	11%	228,207	209,212	18,995
Premises	38,034	38,354	319	371,201	365,564	-5,637	-2%	457,590	426,162	31,428
Support	122,415	98,889	-23,526	782,505	713,039	-69,466	-10%	1,061,733	1,048,232	13,500
Depreciation	88,952	88,952	0	552,388	552,388	0	0%	730,289	730,289	0
Capital	251,072	292,417	41,345	2,496,685	2,690,167	193,482	7%	3,275,000	3,225,000	50,000
Total	717,499	714,360	-3,139	6,226,796	6,417,860	191,064	2.98%	8,244,200	7,970,469	273,731
Fitness to Practise										
Staff	231,255	341,087	109,832	1,281,441	1,538,077	256,636	17%	2,903,478	2,217,839	685,639
Agency Staff	3,209	5,000	1,791	16,016	30,000.00	13,984	-100%	100,000	50,000	50,000
Support	190,059	346,627	156,568	478,963	1,017,527	538,564	53%	2,069,505	1,696,168	373,337
Total	424,523	692,714	268,191	1,776,420	2,585,604	809,184	31.30%	5,072,984	3,964,008	1,108,976
Registration & Quality Assurance										
Staff	81,722	125,026	43,303	555,792	681,827	126,035	18%	961,922	931,878	30,044
Support	31,265	43,312	12,048	147,042	165,243	18,200	11%	219,586	224,737	-5,150
Total	112,987	168,338	55,351	702,835	847,070	144,235	17.03%	1,181,509	1,156,615	24,894
Standards										
Staff	71,734	22,453	-49,281	540,879	466,589	-74,290	-16%	305,284	643,061	-337,777
Support	4,376	5,380	1,004	59,543	50,898	-8,645	-17%	236,004	218,898	17,106
Total	76,110	27,833	-48,278	600,422	517,487	-82,936	-16.03%	541,288	861,959	-320,671
Legal										
Staff	40,071	48,613	8,542	279,540	444,238	164,698	37%	579,764	362,660	217,104
Agency	-3,086	0	3,086	9,257	12,342	3,085	25%	0	12,342	-12,342
Support	1,588	5,989	4,400	28,107	60,846	32,739	54%	100,554	67,999	32,555
Total Legal	38,573	54,602	16,028	316,903	517,426	200,523	38.75%	680,318	443,001	237,317
Fee Income	73,281	-	73,281	113,137	-	113,137		-2,850,000	-2,850,000	0
Total Social Work England	1,442,975	1,657,846	361,434	9,736,514	10,885,446	1,375,207	12.63%	12,870,299	11,546,052	1,324,247

Administrative/Programme Summary

Expenditure Category	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	% difference YTD	Full Year Original Budget	Full Year Forecast	Variance
Admin- Staff	389,674	347,360	-42,314	897,881	837,154	-60,727	-7%	1,556,231	1,511,797	44,434
Admin Agency Staff	8,279	7,200	-1,079	14,531	7,200	-7,331		93,333	93,333	0
Admin Seconded Staff	0	0	0	0	0	0	0	0	0	0
Admin-Non Staff	255,368	205,270	-50,097	921,223	918,105	-3,118	0%	1,392,909	1,482,617	-89,708
Admin Sub Total	653,321	559,830	-93,491	1,833,635	1,762,459	-71,176	-4.04%	3,042,473	3,087,747	-45,274
Programme - Staff	214,198	341,027	126,829	3,165,702	3,672,118	506,416	14%	5,015,601	4,393,764	621,837
Programme - Agency Staff	123	5,000	4,877	148,927	189,009	40,082	21%	286,667	185,996	100,671
Programme - Seconded Staff	16,230	16,330	100	331,726	331,805	79	0%	390,000	364,465	25,535
Programme - Non Staff	234,750	443,243	208,493	1,646,702	2,174,057	527,356	24%	3,710,559	3,139,080	571,478
Programme Total	465,301	805,600	340,299	5,293,056	6,366,989	1,073,933	16.87%	9,402,826	8,083,305	1,319,521
Capital Total	251,072	292,417	41,345	2,496,685	2,690,167	193,482	7.19%	3,275,000	3,225,000	50,000
Income Total	73,281	0	73,281	113,137	0	113,137	0	-2,850,000	-2,850,000	0
TOTAL	1,442,975	1,657,846	361,434	9,736,514	10,819,615	1,309,376	12.10%	12,870,299	11,546,052	1,324,247

Appendix 2:

Directorate Analysis – Corporate Services (Administration)

	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Original Budget	Full Year Forecast	Variance
Administration									
Staffing									
Salaries	116,906	107,316	-9,590	339,788	334,063	-5,725	549,603	542,555	7,048
Employers NI	12,759	5,800	-6,959	38,278	28,924	-9,354	77,813	49,993	27,820
Employers Pension	5,525	10,350	4,825	16,448	26,566	10,118	26,349	47,266	-20,917
Bonus Pot	2,048	2,048	0	6,442	6,443	1	10,540	10,540	0
Staffing Total	137,239	125,515	-11,724	400,956	395,996	-4,960	664,305	650,354	13,951
Agency Staff									
Temporary & Agency Staff	8,279	7,200	-1,079	14,531	7,200	-1,079	93,333	93,333	0
Total Agency Costs	8,279	7,200	-1,079	14,531	7,200	-1,079	93,333	93,333	0
Governance Costs									
Chair and Board Fees	9,329	9,597	268	91,200	96,653	5,452	117,207	115,847	1,360
Travel Costs	287	602	315	3,321	11,761	8,440	21,000	12,965	8,035
External Audit	3,200	10,200	7,000	30,867	37,867	7,000	35,000	58,800	-23,800
Internal Audit	611	611	0	22,787	20,378	-2,409	55,000	21,600	33,400
Annual Report	0	0	0	0	0	0	0	0	0
Governance Total	13,427	21,010	7,583	148,175	166,658	18,483	228,207	209,212	18,995
Premises Costs									
FM	0	0	0	0	0	0	0	0	0
Service Charge	8,820	8,820	0	9,166	9,166	0	36,994	26,807	10,187
Rent	13,700	13,700	0	27,400	27,400	0	60,536	54,800	5,736
Business Rates	11,472	11,667	195	22,944	23,333	389	46,667	23,333	23,333
Utilities	4,042	4,167	125	7,136	8,333	1,198	8,333	16,667	-8,333
Premises Total	38,034	38,354	319	66,646	68,233	1,587	152,530	121,607	30,923
Support Costs									
Stationery and Office Supplies	0	1,000	1,000	0	2,000	2,000	4,000	4,000	0
Staff Recruitment	0	1,000	1,000	3,240	1,000	-2,240	20,000	20,000	0
Staff Training	0	4,903	4,903	0	11,913	11,913	22,626	21,719	907
Travel & Subsistence	7,250	2,613	-4,637	16,673	15,334	-1,340	21,467	30,334	-8,867
Hospitality	201	0	-201	1,754	0	-1,754	0	0	0
Bank Charges	0	183	183	638	367	-271	733	733	0
Subscriptions	0	167	167	0	333	333	667	667	0
Payroll Service	694	1,000	306	694	2,000	1,306	4,000	4,000	0
Other Software	0	1,000	1,000	0	2,000	2,000	4,000	4,000	0
ICT	98,767	37,443	-61,324	117,659	74,885	-42,774	149,771	299,771	-150,000
Printing	2,909	2,500	-409	2,909	10,000	7,091	30,000	15,000	15,000
Contractors	0	0	0	0	0	0	3,333	0	3,333
Apprenticeship Levy	0	1,710	1,710	0	4,122	4,122	7,542	7,542	-0
Support Costs Total	109,821	53,518	-56,302	143,568	123,955	-19,613	268,139	407,765	-139,626
Depreciation									
Premises	28,181	28,181	0	281,810	281,810	0	338,172	338,172	0
IT Infrastructure	18,630	18,630	0	186,296	186,296	0	223,554	223,554	0
Digital	42,141	42,141	0	84,282	84,282	0	168,563	168,563	0
Depreciation Total	88,952	88,952	0	552,388	552,388	0	730,289	730,289	0
Total Corporate Services - Admin	395,753	334,549	-61,204	1,326,264	1,314,430	-5,583	2,136,803	2,212,560	-75,757

Appendix 2

Directorate Analysis – Corporate Services (Programme)

Programme	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Original Budget	Full Year Forecast	Variance
Staffing									
Salaries	35,848	23,399	-12,449	845,310	876,502	31,192	963,281	923,306	39,975
Employers NI	3,856	1,055	-2,801	90,076	100,357	10,281	131,470	102,467	29,004
Employers Pension	1,792	886	-907	40,818	42,747	1,929	44,518	44,518	0
Bonus Pot	354	354	0	28,770	28,771	0	17,807	29,478	-11,671
Staffing Total	41,851	25,694	-16,157	1,004,975	1,048,377	43,402	1,157,077	1,099,769	57,308
Agency Staff									
Temporary & Agency Staff	0	0	0	123,654	146,667	23,012	186,667	123,654	63,013
Total Agency Costs	0	0	0	123,654	146,667	23,012	186,667	123,654	63,013
Seconded Staff									
Seconded Staff DfE	16,230	16,330	100	331,726	331,805	79	390,000	364,465	25,535
Total Seconded Costs	16,230	16,330	100	331,726	331,805	79	390,000	364,465	25,535
Premises Costs									
FM	0	0	0	0	0	0	0	0	0
Maintenance & Repairs	0	0	0	9,475	9,475	0	0	9,475	-9,475
Service Charge	0	0	0	83,770	83,770	-0	73,988	83,770	-9,782
Rent	0	0	0	109,599	109,599	-0	121,072	109,599	11,473
Business Rates	0	0	0	77,820	77,820	-0	93,333	77,820	15,513
Utilities	0	0	0	23,890	16,667	-7,224	16,667	23,891	-7,224
Premises Total	0	0	0	304,555	297,331	-7,224	305,060	304,555	505
Support Costs									
Stationery and Office Supplies	3,577	0	-3,577	18,799	8,000	-10,799	8,000	15,222	-7,222
Staff Recruitment	500	1,000	500	29,178	29,678	500	80,000	31,678	48,322
Staff Training	3,036	17,080	14,044	100,704	92,768	-7,936	72,922	126,928	-54,006
Other Professional Fees	-1,132	21,250	22,382	33,275	45,000	11,726	95,000	45,000	50,000
Travel & Subsistence	328	266	-62	31,426	33,485	2,060	13,355	34,016	-20,661
Bank Charges	70	0	-70	1,007	1,467	459	1,467	1,467	0
Subscriptions	-641	0	641	1,708	1,748	41	1,333	1,748	-415
Payroll Service	0	0	0	8,333	8,000	-333	8,000	8,000	0
Other Software i.e Appian/HR/ Expenses	0	0	0	300,673	242,000	-58,673	8,000	242,000	-234,000
ICT	-10	0	10	32,394	69,541	37,147	299,541	69,541	230,000
Phones	48	0	-48	30,025	0	-30,025	0	0	0
Printing	0	0	0	1,669	2,000	330	45,000	2,000	43,000
Contractors	0	0	0	0	0	0	6,667	0	6,667
Apprenticeship Levy	5,178	808	-4,370	5,178	10,324	5,146	24,307	9,516	14,792
Room Hire	0	1,423	1,423	16,605	8,538	-8,067	0	18,028	-18,028
Catering & Hospitality	1,462	744	-718	6,735	4,464	-2,271	0	5,952	-5,952
Support	0	0	0	0	0	0	0	0	0
Marketing and Media	180	2,800	2,620	21,227	32,070	10,843	130,000	29,370	100,630
Support Costs Total	12,594	45,370	32,776	638,937	589,084	-49,853	793,593	640,467	153,126
Total Corporate Services - Programme	70,675	87,394	16,720	2,403,847	2,413,264	9,416	2,832,397	2,532,909	299,487

Appendix 2

Directorate Analysis – Corporate Services (Capital)

Capital	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance
Capital									
Premises	2,922	40,667	37,745	370,543	405,667	35,124	487,000	437,000	50,000
IT Infrastructure	28,151	31,750	3,599	320,446	413,500	93,054	477,000	477,000	0
Digital	220,000	220,000	0	1,805,696	1,871,000	65,304	2,311,000	2,311,000	0
Capital Total	251,072	292,417	41,345	2,496,685	2,690,167	193,482	3,275,000	3,225,000	50,000
Total Corporate Services - Capital	251,072	292,417	41,345	2,496,685	2,690,167	193,482	3,275,000	3,225,000	50,000

Appendix 2

Directorate Analysis – Fitness to Practise (Administration/Programme)

	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance
Administration									
Staffing									
Salaries	134,013	107,844	-26,170	256,614	215,688	-40,926	431,375	431,375	0
Employers NI	13,830	13,830	-0	26,086	26,085	-0	63,697	53,745	9,951
Employers Pension	6,350	6,350	-0	12,176	11,742	-434	21,569	23,484	-1,915
Bonus Pot	2,157	2,157	-0	4,314	4,314	-0	8,628	8,628	0
Staffing Total	156,351	130,181	-26,170	299,190	257,829	-41,361	525,268	517,232	8,036
Support Costs									
Subscriptions	0	0	0	0	0	0	0	0	0
Employee T&S	1,122	1,937	815	3,571	3,875	304	7,750	7,750	0
Support Costs Total	1,122	1,937	815	3,571	3,875	304	7,750	7,750	0
Total Fitness to Practice - Admin	157,473	132,118	-25,355	302,761	261,704	-41,057	533,018	524,982	8,036
Programme									
Staffing									
Salaries	63,570	198,738	135,168	832,207	1,106,855	274,648	1,953,099	1,505,039	448,060
Employers NI	6,590	6,590	0	86,589	101,740	15,151	288,395	114,558	173,837
Employers Pension	3,066	3,900	834	40,177	44,356	4,179	97,655	50,356	47,299
Bonus Pot	1,679	1,679	-0	23,279	27,297	4,018	39,062	30,654	8,408
Staffing Total	74,904	210,906	136,002	982,252	1,280,248	297,996	2,378,210	1,700,607	677,603
Agency Staff									
Temporary & Agency Staff	3,209	5,000	1,791	16,016	30,000	13,984	100,000	50,000	50,000
Total Agency Costs	3,209	5,000	1,791	16,016	30,000	13,984	100,000	50,000	50,000
Support Costs									
Recruitment	0	0	0	116,854	130,000	13,146	120,000	130,000	-10,000
Stationery and Office Supplies	88	0	-88	193	0	-193	0	0	0
Legal Fees	151,600	200,833	49,233	193,767	401,666	207,899	666,668	803,331	-136,663
Contractors (Medical Testing)	0	5,000	5,000	0	10,000	10,000	20,000	20,000	0
Panel Fees	6,204	37,500	31,297	77,374	75,000	-2,374	350,000	150,000	200,000
Panel Expenses	7,357	8,750	1,393	27,123	17,500	-9,623	70,000	35,000	35,000
Witness Expenses	0	7,500	7,500	0	15,000	15,000	100,000	25,000	75,000
Transcription services	0	12,500	12,500	0	25,000	25,000	230,000	35,000	195,000
External data analysis	0	15,556	15,556	0	68,889	68,889	100,000	100,000	0
Volume Variance Costs	0	14,286	14,286	0	71,429	71,429	100,000	100,000	0
CDS	20,673	36,000	15,327	20,626	168,000	147,374	240,000	240,000	0
Catering & Hospitality	0	3,750	3,750	7,850	7,500	-350	30,000	15,000	15,000
Travel & Subsistence	3,016	3,016	-0	31,605	23,669	-7,936	35,087	35,087	-0
Support Costs Total	188,937	344,690	155,753	475,391	1,013,652	538,261	2,061,755	1,688,419	373,337
Total FTP - Programme	267,050	560,596	293,546	1,473,659	2,323,900	850,241	4,539,966	3,439,026	1,100,940

Appendix 2

Directorate Analysis – Registration (Administration/Programme)

Administration	December Actual	December Budget	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance
Staffing											
Salaries	16,667	16,917	17,709	16,917	-792	34,375	33,833	-542	67,667	67,667	0
Employers NI	2,002	2,498	2,146	2,498	352	4,148	4,996	847	9,992	9,992	0
Employers Pension	833	846	885	846	-40	1,719	1,692	-27	3,383	3,383	0
Bonus Pot	338	338	338	338	0	676	677	1	1,353	1,353	0
Staffing Total	19,840	20,599	21,078	20,599	-479	40,918	41,197	279	82,395	82,395	0
Support Costs											
Subscriptions	0	0		0	0	0	0	0	0	0	0
Employee T&S	1,483	0	1,712	0	-1,712	3,195	0	-3,195	0	0	0
Support Costs Total	1,483	0	1,712	0	-1,712	3,195	0	-3,195	0	0	0
Total Registration- Admin	21,324	20,599	22,790	20,599	-2,191	44,114	41,197	-2,916	82,395	82,395	0
Programme											
Staffing											
Salaries	48,813	84,799	51,813	84,799	32,986	437,287	529,713	92,426	722,310	699,310	22,999
Employers NI	4,358	13,903	4,815	13,903	9,088	44,142	72,482	28,340	106,656	100,287	6,369
Employers Pension	2,441	4,320	2,611	4,320	1,709	21,884	26,874	4,989	36,115	35,513	603
Bonus Pot	1,406	1,406	1,406	1,406	-0	11,561	11,561	0	14,446	14,373	73
Staffing Total	57,017	104,427	60,644	104,427	43,783	514,874	640,629	125,756	879,527	849,483	30,044
Support Costs											
Associate/Partner Costs	2,340	9,120	310	9,120	8,810	28,210	36,480	8,270	45,600	54,720	-9,120
Temporary & Agency Staff	4,739	0	9,038	9,038	0	13,777	9,038	-4,739	0	35,000	-35,000
GMC Fees	0	0	0	0	0	52,800	52,800	0	30,000	52,800	-22,800
Inspection Visits	0	1,750	0	1,750	1,750	0	3,500	3,500	2,900	7,000	-4,100
Operating Costs	0	11,625	9,672	11,625	1,953	9,672	23,250	13,578	93,050	26,500	66,550
Catering & Hospitality	0		129		-129	3,502	0	-3,502	0	0	0
Merchant Bank Costs	302	8,765	7,370	8,765	1,395	7,672	17,530	9,858	35,060	15,060	20,000
Travel & Subsistence	84	2,894	3,033	3,014	-19	28,214	22,644	-5,570	12,976	33,657	-20,680
Support Costs Total	7,464	34,154	29,553	43,312	13,760	143,847	165,243	21,395	219,586	224,737	-5,150
Total Registration - Programme	64,481	138,581	90,197	147,739	57,542	658,721	805,872	147,151	1,099,114	1,074,220	24,894

Appendix 2

Directorate Analysis – Standards (Administration/Programme)

Administration	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance
Staffing									
Salaries	29,764	18,439	-11,325	57,897	36,878	-21,018	73,757	73,757	0
Employers NI	3,314	2,723	-591	6,402	5,445	-957	10,891	10,891	0
Employers Pension	1,488	922	-566	2,895	1,844	-1,051	3,688	3,688	0
Bonus Pot	369	369	-0	738	738	-0	1,475	1,475	0
Staffing Total	34,935	22,453	-12,482	67,932	44,905	-23,026	89,811	89,811	0
Support Costs									
Subscriptions		450	450	0	900	900	1,800	1,800	0
Employee T&S	1,394	331	-1,062	2,339	663	-1,677	1,325	1,325	0
Support Costs Total	1,394	781	-612	2,339	1,563	-777	3,125	3,125	0
Total Standards - Admin	36,329	23,234	-13,095	70,271	46,468	-23,803	92,936	92,936	0
Programme	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance
Staffing									
Salaries	30,984	58,003	27,019	399,522	347,133	-52,389	176,957	463,140	-286,183
Employers NI	3,460	3,500	40	42,073	40,193	-1,880	26,129	47,193	-21,064
Employers Pension	1,539	3,512	1,973	21,649	24,073	2,424	8,848	31,001	-22,153
Bonus Pot	816	816	0	9,703	10,283	581	3,539	11,916	-8,376
Staffing Total	36,799		29,032	472,947	421,684	-51,264	215,474	553,250	-337,777
Support Costs									
T&S	2,810	4,099	1,289	31,134	27,498	-3,636	3,179	35,695	-32,516
Catering & Hospitality	63	0	-63	1,516	3,378	1,863	0	3,378	-3,378
Stationery	109	0	-109	678	0	-678	0	0	0
Service User T&S/Fees	0	500	500	0	3,000	3,000	2,000	4,000	-2,000
Engagement Dialog/Consultation	0	0	0	14,646	3,529	-11,117	125,000	70,000	55,000
Subscriptions	0	0	0	0	2,700	2,700	2,700	2,700	0
Contractors	0	0	0	9,230	9,230	0	100,000	100,000	-0
Support Costs Total	2,983	4,599	1,616	57,204	49,335	-7,869	232,879	215,773	17,106
Total Standards - Programme	39,782	4,599	30,648	530,151	471,019	-59,132	448,353	769,024	-320,671

Appendix 2

Directorate Analysis – Legal (Administration/Programme)

Administration	January Actual	January Budget	Variance	YTD Actual	YTD Budget	Variance	Full Year Current Budget	Full Year Forecast	Variance
Staffing									
Salaries	33,944	39,923	5,980	75,329	79,847	4,518	159,693	143,047	16,647
Employers NI	3,692	5,895	2,203	7,751	11,790	4,039	23,580	18,580	5,000
Employers Pension	1,637	1,996	359	4,209	3,992	-217	7,985	7,185	800
Bonus Pot	798	798	0	1,596	1,597	1	3,194	3,194	0
Staffing Total	40,071	48,613	8,542	88,885	97,226	-8,341	194,452	172,006	22,447
Support Costs									
Travel & Subsistence	905	717	-188	1,340	1,434	94	2,869	2,869	0
Total Support Costs	905	717	-188	1,340	1,434	94	2,869	2,869	0
Total Legal- Admin	40,976	49,330	8,354	90,225	98,661	-8,435	197,321	174,874	22,447
Programme									
Staffing									
Salaries	0	0	0	160,133	290,437	130,304	316,437	160,133	156,304
Employers NI	0	0	0	17,522	38,139	20,617	46,725	17,522	29,203
Employers Pension	0	0	0	7,972	13,408	5,436	15,822	7,972	7,850
Bonus Pot	0	0	0	5,027	5,027	0	6,329	5,027	1,302
Staffing Total	0	0	0	190,655	347,012	156,357	385,312	190,655	194,658
Agency Staff									
Temporary & Agency Staff	-3,086		3,086	9,257	12,342	3,085	0	12,342	-12,342
Total Agency Costs	-3,086	0	3,086	9,257	12,342	3,085	0	12,342	-12,342
Support Costs									
Legal Advice	975	4,571	3,596	23,095	40,857	17,762	72,000	50,000	22,000
Subscriptions	0	700	700	1,855	8,425	6,570	15,000	10,000	5,000
Professional Fees	0	0	0	231	5,000	4,769	5,000	1,500	3,500
Travel & Subsistence	-292	0	292	1,585	5,130	3,545	5,685	3,630	2,055
Support Costs Total	683	5,271	4,588	26,767	59,412	32,645	97,685	65,130	32,555
Total Legal - Programme	-2,403	5,271	7,674	226,678	418,766	192,087	482,997	268,126	214,871

Reporting arrangements for the Data Protection Officer

February 2020



Social Work England

Meeting date	Friday 21 st February 2020
Agenda item	Reporting arrangements for the Data Protection Officer (DPO)
Author	Greg Lawton, Data Protection Officer & Head of Data Protection and Information Governance
Executive Leadership Team Review	Phil Hallam, Director of Registration and Quality Assurance Colum Conway, Chief Executive Officer

Summary
The paper explains, at a high level, the informational reporting arrangements for the DPO to the Executive Leadership Team (ELT) and the Audit, Risk and Assurance Committee (ARAC), supported by the ARAC at its meeting on 4 February. It also makes proposals on the informational reporting arrangements to the full Board. The Board is invited to approve all of these informational reporting arrangements. Finally, the paper sets out the line reporting arrangements of the DPO, summarises the information provided to the ARAC in this regard and asks the Board to acknowledge and accept the risks, in line with its accountability for data protection.

Supporting papers / documents / appendices / annexes
Appendix 1 – Accountabilities of the Board and the DPO Appendix 2 – <u>Proposed informational</u> and <u>current line</u> reporting arrangements of the DPO

Board engagement / input
☒ Information ☒ Discussion ☒ Decision
Explanation of requirement
The Board is invited to: • Approve the approach to the informational reporting by the DPO to the Executive Leadership Team and the ARAC. • Approve the approach to the informational reporting by the DPO to the Board. • Acknowledge the approach to the line reporting arrangements of the DPO and accept the associated risks, in line with its accountability for data protection.

Key implications or risks for any of the following (provide a brief explanation):	
Perspective	Summary
Risk and governance	x
Explanation	Setting the appropriate reporting arrangements for the DPO will help ensure Social Work England is compliant with its legal obligations and that it adopts appropriate governance in its approach to data protection.

Social Work England – Data Protection Officer Reporting Arrangements

(February 2020)

1.0 Background

The General Data Protection Regulation (“GDPR”) includes provisions about the role of the DPO:

- Recital 97 states, *“data protection officers, whether or not they are an employee of the controller, should be in a position to perform their duties and tasks in an independent manner.”*
- Article 38(2) requires the organisation to support its DPO by *“providing resources necessary to carry out [his/her] tasks and access to personal data and processing operations, and to maintain his or her expert knowledge”*.
- Article 38(3) states that the organisation shall ensure that the DPO *“does not receive any instructions regarding the exercise of [his/her] tasks”* and that *“the data protection officer shall directly report to the highest management level of the controller or the processor.”*
- Article 38(6) provides that the DPO can *“fulfil other tasks and duties”* provided that the organisation ensures that *“any such tasks and duties do not result in a conflict of interests”*.

Whilst the UK continues to observe EU law, the GDPR is directly effective i.e. it can be enforced in national courts. Its provisions were also incorporated into national law by the Data Protection Act 2018, so will persist after the Brexit transition period.

The Information Commissioner’s Office (ICO) has stated, *“You must ensure that the DPO reports to the highest management level of your organisation, ie board level... This doesn’t mean the DPO has to be line managed at this level but they must have direct access to give advice to senior managers who are making decisions about personal data processing.”*¹

¹ The Information Commissioner’s Office, *Data Protection Officers* <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/accountability-and-governance/data-protection-officers/> accessed 2 January 2020

The Article 29 Working Party (now known as the European Data Protection Board) said, *“If the controller or processor makes decisions that are incompatible with the GDPR and the DPO’s advice, the DPO should be given the possibility to make his or her dissenting opinion clear to the highest management level and to those making the decisions. In this respect, Article 38(3) provides that the DPO ‘shall directly report to the highest management level of the controller or the processor’. Such direct reporting ensures that senior management (e.g. board of directors) is aware of the DPO’s advice and recommendations as part of the DPO’s mission to inform and advise the controller or the processor. Another example of direct reporting is the drafting of an annual report of the DPO’s activities provided to the highest management level.”*²

The Confederation of European Data Protection Organisations has said the organisational structure should ensure that *“The DPO has direct and unfiltered access to the top management and there is no intermediate level between the DPO and the top management. This helps to ensure that DPOs have no conflict of interests with regard to their function as DPO and therefore enjoy sufficient protection in performing their tasks. The respective Board or Board Member is acting as functional and administrative supervisor of the DPO with responsibilities for all DPO’s personnel and budget matters. The DPO’s reporting line to the top management can be clearly identified (for example in an organizational chart).”*³

Appendix 1 outlines, at a high-level, the accountabilities of the board and the DPO.

The overall effect of this is that:

- 1. The DPO must report to the board at its highest level. This can be achieved through the direct, unfettered submission of informational reports and direct, unfiltered access to the board.**

² Article 29 Data Protection Working Party, *Guidelines on Data Protection Officers (‘DPOs’)* (5 April 2017) https://ec.europa.eu/newsroom/document.cfm?doc_id=44100 accessed 2 January 2020

³ Confederation of European Data Protection Organisations, CEDPO Position on the DPO in the GDPR (15 February 2017) http://circuitosaljarafe.com/GDPR/20170215_CEDPO-Position_on_DPO_GDPR_Reply_to_WP29-Clean.pdf accessed 2 January 2020

2. The line reporting arrangements for the DPO must also comply with the legal requirements under the GDPR, set out earlier in this paper. Consideration should also be given to the intended effect of the legislation.
3. The organisation must ensure that the tasks and duties undertaken by the DPO avoid conflicts of interest.
4. The above are necessary to ensure that the board is adequately apprised, in full and frank terms, of Social Work England's compliance with its legal obligations, risks to personal data, data incidents and any steps the organisation is taking to address data protection issues. They are also important in ensuring that data protection is given sufficient priority in the organisation. Conversely, in the absence of appropriate reporting arrangements, the board could not assume that it was so apprised.

2.0 Informational reporting

The informational reporting arrangements to the ELT and the ARAC, and those proposed for the Board, are outlined in the form of an organogram in Appendix 2.

In summary, it is proposed that:

- The DPO will report regularly to the Executive Leadership Team (ELT). The frequency and nature of such reporting is to be determined separately by the ELT.
- The DPO will report to each meeting of the ARAC.
- There should be a standing item on each Board meeting agenda for reports from the DPO, even if there is nothing to report. These reports would be provided by the ARAC, based on the reports it receives from the DPO.
- The DPO will report annually to the full Board, independently, and provide ad-hoc reports as required (for example in the event of a serious data breach).
- The mechanism for the DPO to independently access and report to the full board at any time, proposed by the ARAC, was to go via any one of the three non-executive members of the ARAC.

The ARAC recommended this process for the Board to approve.

Decision

The Board is invited to consider and approve the above informational reporting arrangements.

3.0 Line Reporting

A paper was presented by the DPO to the ARAC at its meeting on 4 February 2020. It explained the risks and mitigation applicable to the current line reporting arrangements of the DPO, and compared this to the arrangements in place prior to an organisational restructure in November 2019. It also set out mitigation which could be put in place, but which currently was not. The paper took into account external legal and professional opinions.

The paper indicated that the organisational change had resulted in an increase in data protection risk. No comment was made on the overall magnitude thereof, but the paper illustrated why the risk had increased. This was set in the context that risk exists on a spectrum and that there are a range of other options which could be considered in the future.

The DPO did not provide a personal view on the overall acceptability of the risk presented by the current arrangements; the organisational structure is a decision for the Executive Leadership Team. The focus was on comparing the risks associated with the two different arrangements pre- and post- restructure.

The summary advice was that a dedicated legal/compliance directorate with a legally-qualified and registered executive director offers the lowest degree of risk, of the options considered. In the absence of such an arrangement, the most appropriate directorate for the DPO to report to in the current circumstances and structure is Registration and Quality Assurance.

The ARAC acknowledged the current line management arrangements, the associated risks and the board's accountability for such. It would be for the Board to formally acknowledge and accept these risks.

Greg Lawton

Data Protection Officer & Head of Data Protection and Information Governance

13 February 2020

Appendix 1 – Accountabilities of the Board and the DPO

Accountabilities of the Board

The board as an entity has, and therefore each of its members share, accountability for data protection within the organisation. This means the board must ensure that Social Work England is:

- Compliant with the GDPR and the Data Protection Act 2018
- Able to demonstrate that compliance
- Ensures appropriate technical and organisational measures are in place to achieve that end and provide sufficient risk mitigation.

Further information can be found here:

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/accountability-and-governance/>

The role of the DPO

The role of the DPO in relation to the board is to:

- Assist it to monitor relevant internal compliance and risk
- Inform and advise on its data protection obligations
- Act as a contact point for data subjects and the supervisory authority.

Further information can be found here:

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/accountability-and-governance/data-protection-officers/>

Appendix 2 – Proposed Informational and Current Line Reporting Arrangements of the DPO

