

Social Work England Board

Meeting

Friday 26 June 2020,

10.15am - 12.45pm (Public)

Via video conference

Board Members:	Lord Patel of Bradford (KPA)	Chair
	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
	Jonathan Gorvin (JGO)	Non-executive Director
	Mark Lam (MLA)	Non-executive Director
	Colum Conway (CCO)	Chief Executive, Social Work England
Social Work England staff in attendance (for items):	Alison Edbury (AED)	Governance Manager
	Jon Dillon (JDI)	Executive Director, Fitness to Practise
	Greg Ross-Sampson (GRO)	Assistant Director, Corporate
	Leanne Clarke (LCL)	Head of Finance
	Philip Hallam (PHA)	Executive Director, Registration and Quality Assurance
	Sarah Blackmore (SBL)	Executive Director, Strategy, Policy and Engagement
	Tracy Watterson (TWA)	Assistant Director, People and Business Support
Guests:	Felicity Allen (FAL)	Department for Education
	Tom Sutton (TSU)	Department for Education
Public Observers:	Ahmina Akhtar	Regional Engagement Lead, Yorkshire & Humber, Social Work England
	Representative	Professional Standards Authority
	Ian Crawford	Case Examiner Operations Manager, Social Work England
	Jane Marr	Senior HR Business Partner, Social Work England
	Katie Newbould	Policy Manager, Social Work England

	Morwenna Foden	Head of Strategic Engagement, Social Work England
	Rachel Smith	Principal Social Worker, North Lincolnshire Council
	Stacy Walker	Children's Workforce Practice Supervisor, North Lincolnshire Council
Minute taker:	Claudia Thompson (CTH)	Directors' Assistant
Apologies:	none	

AGENDA

Item	Time	Topic	Paper	Board Action	Presented By
1.	10.15am	Call to order			
		1.1 Welcome / Apologies	Verbal	To note	Lord Patel
		1.2 Declaration of interests	Paper	To note	Lord Patel
		1.3 Regional Engagement Update – presentation	- Ahmina Akthar, Regional Engagement Lead Yorkshire and the Humber - Jess McEwen, Regional Engagement Lead Midlands - Morwenna Foden, Head of Strategic Engagement - Rachel Smith, Principal Social Worker, North Lincolnshire Council - Stacy Walker, Children’s Workforce Practice Supervisor, North Lincolnshire Council		
		1.4 Minutes of the previous meeting	Paper	To approve	Lord Patel
		1.5 Action log	Paper	To note	Lord Patel
2.	10.50am	Decisions and Discussions			
		2.1 Audit, Risk and Assurance Committee update	Paper	To approve	Ann Harris
		2.2 External Statutory Audit	Paper	To approve	Ann Harris

		Completion Report 2019-20			
		2.3 Annual Report and Accounts 2019-20	Paper	To approve	Ann Harris
		2.4 Remuneration Committee update	Verbal	To approve	Lord Patel /Mark Lam
		2.5 Board evaluation 2019-20	Verbal	To note	Lord Patel
3.	11.20am	Strategy and Planning			
		3.1 Plan for return to office	Presen tation	To note	Colum Conway
		3.2 Pay Remit Business Case	Paper	To approve	Tracy Watterson
		3.3 Equality, Diversity and Inclusion Strategy	Verbal	To note	Sarah Blackmore
4.	11.50am	Performance Review			
		4.1 Business Plan 2020-21 progress update	Paper	To approve	Colum Conway
		4.2 Business Plan 2019-20 Quarter 4 year-end progress update	Paper	To approve	Greg Ross- Sampson
		4.3 Professional Standards Authority Review Q3 and Q4	Paper	To note	Colum Conway
		4.4 Infrastructure Projects Authority Review	Verbal	To note	Colum Conway
5.	12.20pm	Financial Matters			

		5.1 Management Accounts to May 2020	Paper	To approve	Leanne Clarke
6.	12.35pm	Governance			
		6.1 Data Protection Officer's Annual Report 2019-20	Paper	To note	Colum Conway
		6.2 Terms of Reference	Paper	To note	Tracy Watterson
		6.3 Next meeting date	Verbal	To note	Alison Edbury
7.	12.40pm	Any Other Business			
		TBC			Chair

Next meeting: Friday 18 September 2020

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 1.2 Declaration of Interests

Purpose of the paper:	
The full disclosure of all Social Work England Non-executive directors' and Executive director's business and pecuniary interests in line with good practice governance.	
Actions required by the Board: For information (please select from drop down list)	
Board Report: (please select from drop down list)	Standing Item (Call to Order)
Recommendation(s) to the Board: Members are asked to note the interests and raise any conflicts of interest where appropriate.	
Executive Lead: (please select from drop down list)	Colum Conway
Author:	Alison Edbury, Governance Manager
Appendices: (please list)	

Social Work England Board – Register of Interests

Name of Member: Professor The Lord Patel of Bradford OBE

Date of Appointment: 19 March 2018 – 18 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	Chair of Board
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	President
Westminster Social Policy Forum	Patron
Westminster Health Forum	Patron
Equity Partnership	Patron
Bradford Cyrenians	Patron
Rethink Your Mind	Patron
Awazz Mental Health Care	Patron
Engage Communities CIC	Patron
Intercultural Communication and Leadership School (ICLS)	Patron
Royal Society for 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:

Ann Harris OBE CPFA

Date of Appointment:

19 July 2019 – 18 July 2022

Organisation in which interest exists	Nature of interest
Infrastructure and Projects Authority, Cabinet Office	High Risk Project Review Team Leader
Money and Pensions Service	Non-executive Director
Citizens Advice, Dunstable	Chair

Name of Member:

Baroness Tyler of Enfield

Appointment and length of term:

10 August 2018 – 9 August 2021

Organisation in which interest exists	Nature of interest
Relate	Vice President
Step up to Serve Campaign	Member of Advisory Council
Centrepont	Ambassador
All Party Parliamentary Group on Social Mobility	Co-Chair
All Party Parliamentary Group on Mental Health	Vice Chair
All Party Parliamentary Group on Children	Co- Chair
All Party Parliamentary Group on Wellbeing Economics	Vice Chair
House of Lords Select Committee on Public Service	Member

Name of Member:

Dr Helen Phillips

Appointment and length of term:

10 August 2018 – 9 August 2021

Organisation in which interest exists	Nature of interest
The Chartered Insurance Institute	Chair of Board (from 1 July 2020)
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

Name of Member:

Jonathan Gorvin

Appointment and length of term:

10 August 2018 - 9 August 2021

Organisation in which interest exists	Nature of interest
Royal Institution of Chartered Surveyors	Director of Policy – The Profession
Science Council	Trustee

Name of Member:

Dr Andrew McCulloch

Appointment and length of term:

10 August 2018 - 9 August 2021

Organisation in which interest exists	Nature of interest
GMC Services International	Chair of Board
Healthwatch England	National Committee 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 – 10 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	Private business consultant

Name of Member:

Colum Conway, CEO

Date of Appointment:

1 September 2018

Organisation in which interest exists	Nature of interest
Nil Return	

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 1.4 Minutes of the previous meeting

Purpose of the paper:	
To provide a record of the minutes for the previous meeting held on 21 February 2020.	
Actions required by the Board: For approval (please select from drop down list)	
Board Report:	Standing Item
Recommendation(s) to the Board:	
Board members are asked to review and approve the minutes.	
Executive Lead: (please select from drop down list)	Colum Conway
Author:	Alison Edbury, Governance Manager
Appendices: (please list)	

Social Work England

Minutes of the Board Meeting

Friday 21 February 2020

The 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:	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
Apologies:	Tracy Watterson (TWA)	Assistant Director, People
	Jonathan Gorvin (JGO)	Non-executive Director
	Adnan Bashir (ABA)	Executive Director Finance, Social Work England
Observers (Guests):	Michelle Mann (MMA)	Department for Education
	Representative	Professional Standards Authority

(The meeting commenced at 10.00 am).

1. Welcome and introductions

1.1 . The Chair Lord Kamlesh Patel (KPA) welcomed Board members and guests to the meeting.

1.2 Apologies received from Board members, Jonathan Gorvin (JGO) and Adnan Bashir (ABA) were noted.

2. Declaration of interests

2.1 The Chair (KPA) Claire Tyler (CTY) and Helen Phillips (HPH) noted changes to their Declaration of Interests. The interests registered for other Board members present were 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 13 December 2019 were reviewed. The minutes were approved as an accurate record.

4. Matters Arising

4.1 Actions from the previous meeting, not included on the Agenda, were reviewed and updated as follows:

- Action Log b: The Chair to have one to one review meetings during March with Non-executive Directors for the Board annual performance assessment.
- Action Log c – staff shadowing is being trialled in March and Board members shadowing will follow April / May.
- Action Log f: Andrew McCulloch (AMC) has had the opportunity to follow up on the staff engagement survey.
- Action log h: AED updated on the status of the online GDPR training with Non-executive Directors. She will follow up those yet to complete the training and will assess wider training support required for the new financial year.
- Action log j: AED reported on the plans in development towards Regional Engagement Leads (RELs) hosting a 'meet and greet' early evening 25 June, prior to Board meeting in Birmingham on 26 June.

5. Chief Executive and Executive Directors' Report

5.1 Colum Conway (CCO), Chief Executive, introduced the Chief Executive report which contained information on each directorate area by way of update for the Board following go live in December. Going forward this information will be held in a performance reporting pack on the delivery of the business plan for the Board and the Chief Executives report will be more strategic in content.

Registration and Quality Assurance

5.2 Philip Hallam (PHA), Executive Director, Registration and Quality Assurance confirmed that the application process has settled well following the transfer from the HCPC and the busy start to registration on 2 December 2019. At 21 February 2020, the register holds 98,502 registrants.

5.3 In terms of social work education and training PHA confirmed that at the point at which the regulation of social workers in England was transferred from the HCPC, there were 84 relevant institutions providing 309 courses.

5.4 Onsite inspections that had been conducted had gone well.

5.5 Board members discussion on Registration and Education Quality Assurance focused on the following:

- How Key Performance Indicators (KPIs) will be developed, including a 'dashboard' of KPIs to indicate to what extent we are on target.
- How we measure our performance against the wider strategic and policy context for the sector, so the Board has a 'Board Assurance Framework' dashboard.
- The nature of Training and Education QA approval reports.
- How emerging risks for Registration and Education Quality Assurance are identified.

Fitness to Practise

5.6 Jonathan Dillon (JDI), Executive Director, Fitness to Practise (FtP) confirmed that every part of the FtP strategy was delivering what it set out to achieve.

5.7 JDI confirmed that post go live an operational review had taken place to assess early progress on case management. Capacity has been enhanced in the triage team and good progress is being made on the initial assessment of cases. Alongside this, extra support through our external legal team has been contracted for the investigations team, and a specialist consultant has been appointed for a temporary period.

5.8 The Board discussed the FtP focusing on the following areas:

- What the impact is on increased cost per case to support the accelerated FtP model.
- What quality assurance process was in place in relation to large-scale external contracts.
- How we assure that appropriate cases are coming into the FtP process
- How to ensure that the Board is sighted on any high-profile cases

- How FtP data is presented to the Board to show the distribution curve of cases being processed over time.
- What learning could be published about the FtP process.
- What the assurance mechanism is for FtP.
- How we consult with the profession on collecting data.

5.9 In the discussion JDI confirmed that that the cost per case impact was difficult to assess but the specialist input was more likely to close cases quickly, using our specific tool of just disposal and that quality assurance was assessed in relation to the right level of experience being brought on board that was proportionate to our needs and resources.

5.10 It was agreed that the Board would to be sighted on high-profile cases. The Chair reported that his recent experience providing a witness statement for the independent Inquiry Into Child Sexual Abuse (IICSA) had been supported by Social Work England's Legal Team and this was a good example of how Board members can be advised and supported with regard to high-profile cases.

5.11 JDI said that work is ongoing to set the initial datapoints into our data collection and reporting system and that the quality assurance process on decision outcomes is delivered by the Decision Management Group, chaired by Sarah Blackmore, Executive Director, Strategy, Policy and Engagement.

5.12 Greg Ross-Sampson (GRO), Assistant Director, Corporate confirmed that the Internal Quality Improvement Team deals with quality assurance regarding all our regulatory functions. This team will report to the Board through the performance management reporting pack.

Corporate

5.13 GRO reported that work on performance management reporting pack is well underway for the new business plan for 20/21 with a monthly version for ELT and a Board version for every Board meeting.

5.14 GRO summarised the current project portfolio and the progress being made including the work on the ongoing development of Forge and how it will be supported into the future.

5.15 GRO said that in line with our corporate feedback and complaints policy, it had been reported to the Executive Leadership Team that we had received 10 complaints and four pieces of feedback in December 2019. He said that 20 complaints and seven pieces of feedback had been received in January 2020. He said that 96% of the complaints had been closed within our standard 20-day period.

5.16 GRO said that we provided the Professional Standards Authority (PSA) with our Q3 performance data, our first dataset submission as a regulator will be used for the PSA's annual levy calculations. GRO said that no feedback has yet been received.

5.17 In response to queries from the Board members GRO confirmed work on developing the equality, diversity and inclusion strategy was ongoing as part of the project portfolio and that the Internal and Quality Improvement Team is assessing quality assurance of Social Work England's regulatory functions in line with the PSA's standards of good regulation.

People

5.18 Tracy Watterson (TWA), Assistant Director People highlighted that the organisation now had in post a Partner Contracts and Quality Assurance Manager for our Partners, whose number is greater than the number of employed staff.

5.19 TWA said that the Secretary of State has approved the business case for our 2019/20 pay award and we are now in discussion with the Department for Education (DfE) about changing our pay award date so that it aligns to financial and business planning years.

5.20 TWA said that to support future planning, development and transparency around pay decisions, Hays have been commissioned to undertake an independent job evaluation. In response to queries from the members of the Board TWA confirmed that the pay levels had been set a long time ago, before anyone was recruited, by DfE HR colleagues using notional spot rates as detailed design on organisational structure had not been completed. She confirmed that through the recruitment process some interim adjustments have been made but now we are fully operational we are able to analyse and benchmark existing jobs to assist with annual pay remit work.

Strategy, Policy and Engagement

5.21 Sarah Blackmore (SBL), Executive Director, Strategy, Policy and Engagement presented highlights from her Directorates part of the report.

5.22 SBL said that the remaining two Regional Engagement Leads were now in place, covering the East region and London. SB said that we have talked to over 4,000 contacts across the country.

5.23 SBL said that plans are in place for World Social Work Day on 17 March including the publishing of our corporate strategy and promotion of social work as a joint campaign with other regulators, including OFSTED and Care Quality Commission (CQC).

5.24 The Chair encouraged Board members to get in touch with SBL if they wished to get involved with the events for World Social Work Day.

5.25 SBL said that research contracts have been awarded to provide a snapshot of social work and a baseline on public perceptions of social work at the start of our role as the specialist regulator for the profession. SBL said she expects to see the research results in April 2020.

5.26 The Board, noting the recent change in government and the two White Papers on mental health and social work, asked how our impact on engagement with the social work profession was measured.

5.27 SBL said that impact is measured through the work and feedback via the RELs and our evaluation of events across the country and monitoring our media and social media coverage.

5.28 The Chair proposed that the Board discusses horizon-scanning on social work as part of the strategy day with Executive Directors.

5.29 AED said she could distribute the internal briefing document on the recent changes to government to the Board.

5.30 The Board agreed to discuss horizon-scanning on 24 April as part of the strategy session and to receiving the internal briefing document.

Action: Kamlesh Patel, Colum Conway

Action: Alison Edbury

6. Business Plan Quarter 3, 2019/20

6.1 GRO presented the updates on achieving business plan Q3 targets. He said that except for rescheduling the consultation schedule with social workers on registration fees to 2020/2021, all progress in delivering the business plan was on track for the year end.

6.2 The Board noted the progress reported by GRO on the business plan targets completed for Quarter 3 and towards the final Quarter 4.

7. Management Accounts Quarter 3, 2019/20

7.1 The Chair invited Leanne Clarke (LCL), Finance Manager to present the Management Accounts for Quarter 3.

7.2 LCL reported that at the end of January, there was an overall surplus against budget, and this was broken down against pay costs and non-pay costs.

7.3 LCL said that the surplus pay costs were mainly attributable to the planning assumptions relating to FtP and Legal Directorates. She said that payments have been released and the full year forecast adjusted.

7.4 LCL noted that the non-pay surplus was primarily driven by FtP and the assumptions made concerning the volume and timing of case progression. She said that due to the complexity of cases inherited from the HCPC these costs did not materialise in this period and therefore the forecast has been reduced to reflect what is realistically going to be incurred prior to the year end.

7.5 LCL said that there was an underspend of capital expenditure and this was primarily driven by IT infrastructure. She noted that although there had been a reduction in our capital requirement for our premises, the remainder of the budget will be expended by the year end. She said that we expect to fully utilise the remaining digital budget in the continued development of our CRM system.

7.6 LCL said that the funds transfer from the HCPC in relation to registration fees had been agreed and we expected to receive the funds by early March.

7.7 The Board acknowledged that it is not ideal to have budget surpluses at this time of the financial year it is understood that much of this related to recruitment profiling in the budget.

7.8 JDI confirmed that the assumptions made for FtP case progression had had to change once the case load was transferred and we identified cases had not been ready to progress as initially planned.

8. Business Plan 2020/21 work in progress

8.1 CCO invited GRO to present the work on the new business plan. GRO said that the business planning process had involved the collaboration across the organisation and represented year 1 of the 3 year corporate strategy.

8.2 The Chair invited comments from Board members. The Board made the following recommendations:

- The business plan should include 'smarter' measures of success, both quantitative and qualitative.
- There needs to be a definition of what our top line outcomes are for the year, to understand how our business plan for Year 1 is progressing within our 3-year corporate strategy.

8.3 The Board said they were pleased with the overall direction and approved the business plan.

8.4 The Chair asked Board members to email any further comments on the business plan to CCO to continue to progress towards finalising it.

Action: All Non-Executive Directors /Alison Edbury

9. Revised Financial Forecast 2020/21

9.1 CCO introduced the revised financial forecast 2020/21 as prepared by Adnan Bashir, Executive Director, Finance. He said the paper represents our work in progress as discussed with the DfE and the final figures are anticipated to be signed off the following week.

9.2 The Board asked about the funding model in relation to the conditions that would enable the organisation to become self-financing, including any changes to the registration fee within the context of the changing political and economic landscape.

9.3 CCO said that the conversation is ongoing with DfE about the approach towards becoming self-financing and any outcomes or considerations will be brought to the Board.

9.4 The Board asked for assurances concerning the guaranteed level of registration fee income.

9.5 PHA explained that two thirds of the registration fees are to be collected each year as one-off payments between September to December and the remaining third is through biannual direct debit payments.

10. Audit, Risk and Assurance Committee update

10.1 The Chair invited Ann Harris (AHA), ARAC Chair, to update on the last Audit, Risk and Assurance Committee meeting that took place on 04 February 2020.

10.2 AHA said that the internal auditors, Haines Watts, had provided their final report and given an opinion that they are confident we are on track with the work to complete by the end of March 2020 on Information Governance.

10.3 AHA stated Mazars, are now acting as our external auditors for the National Audit Office (NAO); together, Mazars and NAO have set out our statutory audit plan. She said that Board colleagues should note that the timetable for the audit work and production of the draft accounts is extremely tight to enable us to lay the accounts before summer recess on 21 July 2020.

10.4 The Board reviewed and noted the timetable for the statutory audit.

11. Risk Appetite Statement

11.1 AHA said that ARAC had reviewed the risk appetite statement and recommended it to the Board for approval. She said that in future, this will be reviewed annually by the Board.

11.2 The Chair discussed the Risk Appetite Statement paper with the Board.

11.3 The Board said that they thought the risk scenarios used to prepare the statement were good.

11.4 The Board approved the Risk Appetite Statement.

12. Internal audit strategy (IAS) 2020/23 update

12.1 AHA said that Haines Watts had presented the IAS at the last ARAC meeting and this had enabled committee members to ask questions about their approach.

12.2 AHA said that the Audit Plan for 2020/21 covered everything on the Strategic Risk Register and was due to start in April, subject to approval by the Board.

12.3 The Chair opened questions from the Board.

12.4 The Board said they were pleased with the breadth of the business focus for the internal audits covered in the plan and for the value for money it presented. The Board asked for clarification on:

- What else could be prioritised for internal audit, subject to the budget.
- What was the right sequence for the different internal audits.

12.5 AHA said that the number of days was yet to be specified for some audit areas and so this would determine if our budget could afford additional audits. She said that following the recent ARAC meeting, she now expected a more detailed schedule to follow from Haines Watts.

12.6 The Chair thanked AHA and ABA for their work on the internal audit plan.

12.7 The Board approved for the internal audits for 2020/21 to continue as planned towards working up the detailed briefs and scheduling for each audit area as scoped in the draft update.

Action: Ann Harris /Alison Edbury

13. Statutory external audit plan 2019/20

13.1 AHA introduced the plan and noted the new approach to the fieldwork for this year's audit. AHA said that Mazars have been appointed to support the NAO with the fieldwork. LCL will be working closely with Mazars to deliver against the tight timetable.

13.2 The Board raised questions about the cost of the statutory external audit.

13.3 AHA said that additional costs are being incurred for Year 1 in setting up the statutory external audit but that she anticipated costs will be reduced in Years 2 and 3.

14. Strategic Risk Register

14.1 GRO presented the paper that summarised the risks with the highest residual risk rating taken from the strategic risk register.

14.2 The Chair invited questions from the Board. The Board raised points concerning:

- The external landscape, political and economic that we are vulnerable to and the need to understand how other regulators deal with this.
- The need to reflect the wider horizon, concerning emerging risks, as part of report narrative.
- Ensure that the high-level risks that are germane to ELT colleagues are also linked to strategic outcomes and the relationship with the Board's responsibilities.

14.3 GRO said all risks and their mitigations are currently being aligned to our three-year strategy and we are looking to procure a risk management software solution to better connect strategic and operational risks.

15. Reporting arrangements for the Data Protection Officer

15.1 PHA introduced the paper proposing new reporting arrangements for the Data Protection Officer (DPO), Greg Lawton, Head of Data Protection and Information Governance, as recommended to the Board from the recent ARAC meeting.

15.2 The Board discussed the proposals and approved the following recommendations:

- For the DPO to report regularly as a standing item at ARAC meetings.
- For Information Governance to be a standing item for all Board meetings.
- For the DPO to report annually to the full Board.
- For the Board to support the DPO to independently access and report to the Board at any time.

Action: Ann Harris, Alison Edbury, Greg Lawton

16. Framework Document (draft 24/02/20)

16.1 CCO said that overall, he was happy with the revisions made to the draft Framework Document and there was one outstanding item concerning the DfE's right of access to data that had recently been reviewed and changed.

16.2 The Board agreed for final changes to be signed off by correspondence.

Action: Alison Edbury

17. Any Other Business (AOB): REMCO

17.1 The Chair said that an item concerning the Staff Remuneration Package that had been originally scheduled for discussion at the REMCO meeting, needed to be discussed with the Board.

17.2 The Chair invited TWA to present the paper on the Staff Remuneration Package.

17.3 TWA introduced the details of the pay review that had taken place for the current remit period. The Board agreed with the overall 1.5% pay lift balanced to ensure a higher increase for lower paid staff and the non-consolidated 3.3% for Executive Directors.

17.4 TWA said that we have been working closely with the DfE on work towards developing our total rewards package and resolving anomalies concerning the realignment of our next pay remit period from September to April for 2021/22, in line with our financial year.

17.5 TWA said that the Civil Service Pay Remit guidance is expected to be released in March 2020 and we would need to gear our work towards preparing our Pay Remit business case for the next pay remit period to the DfE pay and reward team for their submission deadline of 24 July 2020.

17.6 The Board agreed to discuss the work on pensions, pay award and total rewards package for the next pay remit period within the Pay Remit business case at the June Board meeting.

Action: Tracy Watterson

17.7 The Chair proposed in light of the updated timetable for the Pay Remit business case, the next REMCO meeting should be rescheduled to follow the Board meeting on 26 June.

17.8 The Board agreed to reschedule the REMCO meeting on 15 May to 26 June 2020.

Action: Alison Edbury

18. Any Other Business (AOB)

18.1 The Board asked for the cover sheets for board papers to clearly reference the agenda item number on the cover sheet.

Action: Alison Edbury

18.2 Alison Edbury (AED) said that the next Board meeting is planned as a strategy meeting (non-public) on Friday 24 April 2020.

(The meeting concluded at 1.50 pm).

TO NOTE: SUMMARY OF ACTIONS

1. Alison Edbury to update the Register of Interests. (Completed 03/03/20).
2. Board members to contact Sarah Blackmore to get involved in events for World Social Work Day.
3. Alison Edbury to email the internal policy briefing re. Ministers to Board members (Completed 28/02/20).
4. Kamlesh Patel and Colum Conway to plan for horizon-scanning discussion on 24 April as part of the Board strategy session.
5. Board members to email comments on the business plan to Colum.
6. The Chair of ARAC Ann Harris to report back on the finalised audit plans and schedule at the June meeting.
7. Alison Edbury to include Information Governance as a standing item on Board and ARAC agendas for future meetings.

8. Alison Edbury to email the final draft of the Framework Document to the Board for sign off.
9. Tracy Watterson to prepare the Pay Remit business case for discussion at 26 June Board meeting.
10. Alison Edbury to reschedule the REMCO meeting on 15 May to 26 June 2020.
(Completed 28/02/20)
11. Alison Edbury to ensure cover sheets for board papers to clearly reference the agenda item number on the cover sheet.

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 1.5 Action Log

Purpose of the paper:	
To provide members with an action log carried forward from the previous Board meeting 21 February 2020.	
Actions required by the Board: For information (please select from drop down list)	
Board Report: (please select from drop down list)	Standing Item
Recommendation(s) to the Board: The Board is asked to review and discuss any work in progress and actions yet to be completed.	
Executive Lead: (please select from drop down list)	Colum Conway
Author:	Alison Edbury, Governance Manager
Appendices: (please list)	

Social Work England

Action Log – from Board Meeting 21 February 2020

	Date of Board Meeting:	Actions:	Owner:	Status/Due Date:
1.	21/02/20	Update register of interests.	Alison Edbury	Completed 03/03/20
2.	21/02/20	Board members to express their interest in getting involved with World Social Work Day	Sarah Blackmore	Completed (alternative format due to COVID-19)
3.	21/02/20	Board members to receive internal policy briefing re. Ministers	Alison Edbury	Completed 28/02/20
4.	21/02/20	Plan horizon-scanning discussion for the Board	Kamlesh Patel / Colum Conway	Completed 24/04/20
5.	21/02/20	Board members to feedback on Business Plan to Colum Conway	Board members	Completed
6.	21/02/20	Update on finalised Audit Plans for 2020 to 2021	Ann Harris / Tracy Watterson	Agenda item 26/06/20
7.	21/02/20	Information Governance standing item at Board and ARAC meetings	Ann Harris / Alison Edbury	Agenda item ARAC 19/06/20; ARAC Chair to report to Board 26/06/20
8.	21/02/20	Update on Framework Document.	Colum Conway / Alison Edbury	Awaiting Ministers signatures
9.	21/02/20	Present the Pay Remit business case	Tracy Watterson	Agenda item 26/06/20
10.	21/02/20	Rescheduled REMCO meeting from 15 May to 26 June 2020	Alison Edbury	Completed 28/02/20
11.	21/02/20	Reformat Board cover sheets	Alison Edbury	Completed

12.	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	On hold due to COVID-19
13.	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	On hold due to COVID-19 To be scheduled following a future Board meeting or as a separate meeting.
14.	13/12/19	Annual complaints report to be presented to the Board.	Greg Ross-Sampson / Ellis Christie	April 2021
15.	13/12/19	Regional meet and greet opportunities to be scheduled alongside Board meetings.	Alison Edbury	Alternative format due to COVID-19 Presentation 26/06/20



Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 4.1 Business Plan 2020/21 progress report

Purpose of the paper:

This is the first progress report to the Board on the 20/21 Social Work England Business Plan based on activity covering April and May 2020.

Actions required by the Board: For information and decision

(please select from drop down list)

Board Report: Business Plan 2020-2021 Objectives

(please select from drop down list)

Recommendation(s) to the Board:

The Board is asked to discuss the progress report.

Executive Lead:

(please select from drop down list)

Colum Conway

Author:

Colum Conway

Appendices: (please list)

Business plan 2020-21 progress update

Business plan 2020-21: progress update

Introduction

This is the first progress report to the Board on the 20/21 Social Work England Business Plan based on activity covering April and May 2020. It is important to note that at this early stage of our development the reporting process is a work in progress and that the executive leadership team is looking to work with the members of the board to develop a reporting process that meets the needs of the Board in carrying out its role of strategic oversight, challenge and holding to account. Very good progress is being made on the management information framework for the organisation to ensure good performance management, and the ongoing development of the Forge system, along with the procurement of a new integrated system for Finance, HR, Procurement and Contract, will further enhance our capacity to collect and analyse timely management information.

There are five key pillars to our strategic plan and each pillar has strategic objectives attached to it, as follows:

Our Regulatory Approach	We will continue to develop and refine our registration systems and processes. Our fitness to practise process will be responsive, collaborative and proportionate. We will seek to influence system-wide improvement by continuing our work with others and contributing to conversations about regulation
the Social Work Profession	We will continue to develop clear guidelines, tools and messages to support professionals to understand the relationship between standards and practice We will gather intelligence, stories and data about social work and the profession through quality conversations and sound research, sharing what we are learning with the sector.
the People we work with and for	We will create spaces for people to support the development of our organisation, including policies, communication, and engagement.
Education and Training	We will work with course providers to make sure our standards are embedded in practice, whilst encouraging innovative and creative approaches to course development.

	We will explore and begin to understand the competence of newly qualified social workers.
Our Organisation	We will establish robust infrastructure, systems and processes that promote trust and confidence. Our culture of innovation, improvement and co-production will be embedded across the organisation.

Each strategic objective has a number of business objectives for the year 20/21 with associated evidence of success measures. It is the progress against these evidence of success measures that is the focus of this report. In all there are 31 business objectives for 20/21 to be reported upon. The measures of success are quantitative and qualitative, some are time bound and some require feedback from key stakeholders. Some objectives for the year will not have been part of the activity for the first two months of the year and some of the measures of evidence are aspirational, in that the systems are not yet fully developed to the point where it is possible to collect sufficiently accurate or reliable data upon which to report.

With improving systems, feedback from the members of the board and management experience of using and developing management information refining the progress reporting process will be an ongoing theme for the year and an important part of the ongoing development of a new organisation.

Overview

If there has been a more unusual set of circumstances for a new organisation to move into delivering on its first full year business plan I have yet to encounter it. Social Work England closed its office on 23rd March and moved all staff and partners to a fully working from home environment. The delivery of the business plan objectives for 20/21 has been entirely within this context to date and is likely to continue for some time. It is inevitable that this in itself is likely to have a significant and disruptive impact on performance.

However, this has also been added to by the need for the organisation to find the capacity to respond to the immediate impact the acute phase of pandemic was having on all key stakeholders in our sector. The response required a high degree of flexibility, collaboration, ingenuity and commitment from our staff and partners. Particular highlights in the response over the past two months are:

- Establishing a temporary register for social workers to return to practice, working in partnership to establish a deployment tool and leading on the communication plan for [Social Work Together](#)
- Maintaining a high degree of responsiveness for registrants and others through the phone lines and email, despite having to amend service availability

- Establishing a process to hold a large number of virtual hearings
- Risk assessing all FtP cases to reduce the investigation burden on employers and social workers
- Rapidly responding to training and education providers to address issues with the delivery of teaching and practice placements, including responding directly to students in relation to their concerns
- Developing and implementing an Education and Quality Assurance inspection process that can be delivered remotely
- Rapidly developing guidance and information for social workers, students, training and education providers, and employers and disseminating this guidance through the website and social media
- Ramping up engagement with key stakeholders across the sector at local regional and national levels
- Working in collaboration with the Principal Social Worker networks to produce a range of practice guidance documents aligned with our professional standards
- Putting in place support measures for all staff working from home ensuring regular formal and informal contact across the organisation underpinned by frequent internal communications
- Establishing a clear command and control management process for the Executive Leadership Team as a specific response to the pandemic – for example we moved to meeting every morning to ensure we had responsive and informed decision making in a rapidly changing internal and external environment.

The level of our response to the pandemic provides an important context for the core work of the organisation on the delivery of the objectives in the business plan as outlined in this progress report.

Key highlights for the first two months are:

- The first Direct Debit payment process for Social Work England completed with over 66,000 registrants making payments
- Maintaining a significant level of progress for FtP cases through to closure or hearings
- Maintaining a significant regional virtual engagement programme through our RELs team
- Delivering against the tight timescale for the year end Annual Report and Accounts
- Preparing for what turned out to be a successful Gateway 5 Infrastructure Projects Authority (IPA) Review
- Maintaining strong progress on the further development of Forge and the procurement of a new integrated corporate system

- Maintaining strong progress on planning for the first Renewals and CPD cycle later this year
- Maintaining a strong presence on social media
- Further developing the strategic direction for the organisation with the leadership team and members of the Board

As we move beyond set up and firmly into business as usual (or as usual as we can make it right now), it is important we have a clear pathway from Strategic Plan to Business Plan to information based performance management and evidence-based progress reporting. I am keen that we can work together to develop and refine this pathway and ensure it is as robust, efficient, and effective for everyone involved. I hope this report presents a useful starting point.

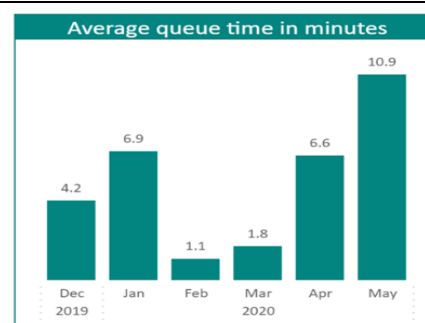
Colum Conway

June 2020

Progress towards delivering our business objectives

1.1: Establish an easy to use and streamlined registration process.

Supporting evidence	Progress update
Registrant satisfaction survey at end of application journey – to be in place by September 2020	Satisfaction survey to be included as part of renewal process and will be in place for the start of the renewal process on 1 September 2020.
Review of all registration guidance, taking into account any feedback received, by December 2020	IQI team undertaking first process review of registration function June-July 2020, and this will be used, along with external feedback from registrants and applicants, to inform review of guidance during Q3.
Named contact at each education provider for provision of pass list, and biannual review of effectiveness of relationship with providers	We have named contacts for each course at each education provider. We sent letters out to each named contact in May 2020. This letter provided updated template for pass lists, referred providers to our relevant guidance and asked them to notify their students when they have sent us the pass lists so they know they can apply
Percentage of UK applications with no investigation required approved within 10 working days	Internal management information is available to the operational teams to help them manage this process, and the applicants' experience, effectively. However, due to the design of our case management system being focused on ensuring efficient and effective processing of applications and a high-quality user experience the extraction of the performance data is inconsistent and requires further refinements Further analysis is underway of the data we have gathered over the first six months of operating the process to ensure we are correctly identifying the cases that require no investigation. Also, some system development is required to enable us to identify when cases are awaiting our action, and when they are awaiting activity from applicants. We will provide further updates on our progress in subsequent reports
Percentage of phone calls answered within 5 minutes	<i>Proxy measure: average call queue time. Direct measure available from Q2 onwards</i> Average call queue time has increased each month since February, with an average waiting time of 10.9 minutes during May 2020. This reflects the move to home working from March 2020, and the reduction of phone service following on from this. The increased wait time in May relates to the increased volume of calls received when the first Direct Debit payment was taken from approximately 67,000 registrants.



Percentage of emails answered within 5 working days	<i>Proxy measure: average days to respond to emails. Direct measure available from Q2 onwards.</i> Average email response time has increased from 2.9 days in April to 4.3 days in May. As with call volumes, this relates to an increased volume of emails relating to first Direct Debit payment collection. The volume of emails also doubled during this period with queries about account set up and payments	Avg days to respond by month <table><tr><th>Month</th><th>Avg days to respond</th></tr><tr><td>February</td><td>2.7</td></tr><tr><td>March</td><td>3.8</td></tr><tr><td>April</td><td>2.9</td></tr><tr><td>May</td><td>4.3</td></tr></table>	Month	Avg days to respond	February	2.7	March	3.8	April	2.9	May	4.3
Month	Avg days to respond											
February	2.7											
March	3.8											
April	2.9											
May	4.3											

1.2: Establish our first annual renewal process.

Supporting evidence	Progress update
Renewal guidance in place by 1 September 2020.	Guidance for registrants (including text for online renewal screens), and process guidance for staff currently being developed to be complete and in place for 1 September 2020.
Registrant satisfaction survey at end of renewal journey – to be in place by 1 September 2020.	Satisfaction survey to be included as part of renewal process and will be in place for the start of the renewal process on 1 September 2020.
EDI and scope of practice questions included at end of renewal application by 1 September 2020.	Earlier in the year, we initiated a project to review and refine our approach to EDI. As part of this project, we are exploring the options for capturing EDI data alongside our renewal process. We will ensure that we are transparent in our rationale for collecting the data. We are also reviewing the options for collecting data on scope of practice.

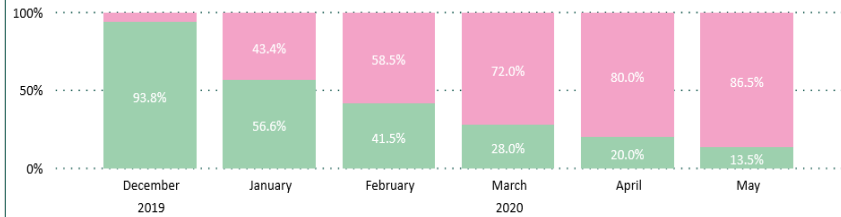
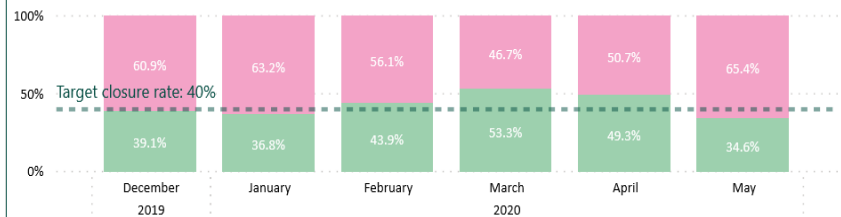
1.3: Introduce annotation for areas of extended practice.

Supporting evidence	Progress update
As part of the consideration of changes to AMHP and BIA/AMCP standards, development of a strategy for enhanced CPD for registrants with these annotations.	A review of the AMHP standards, and creation of BIA/AMCP standards of the standards will take approximately six months. Importantly, the timing of a standards review is subject to the Government's response to the independent review of the Mental Health Act (1983). This review made several recommendations for change which would substantially affect the AMHP role and could therefore require a further review of standards. In January 2020, the Government committed to publish a White Paper "in the next few months", but we acknowledge that this was before the Covid-19 pandemic emergency and that the situation may well have changed. The BIA role is being replaced by that of the approved mental capacity professional (AMCP) on the implementation of the Mental Capacity Amendment Act 2019, as part of the new Liberty Protection Safeguards (LPS) regime. The DHSC plans to accredit conversion courses fast-track BIAs into AMCPs and hand over responsibility once this has been done, clearing the way for us to regulate AMCPs.

	In order to begin our development of standards, we will need the Government's final code of practice for LPS, since this will form the bedrock of the whole AMCP role. Our understanding is that this has been significantly delayed since before the general election in December 2019. At present implementation is set for October 2020 but a delay is unavoidable, and we await clarity from the Government on a new timeline. The work to develop a strategy for enhanced CPD for these roles will take place alongside the development of standards and will be subject to the indicative timeframes above.
Strategy for CPD includes consideration of the appropriateness of extending annotations to include other areas of practice, such as NAAS.	As discussed with the Board in April 2020, consideration of post-qualification CPD framework has now been included in the wider education and training policy strategy that is now being drafted for future discussion.

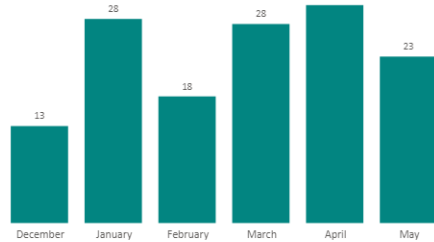
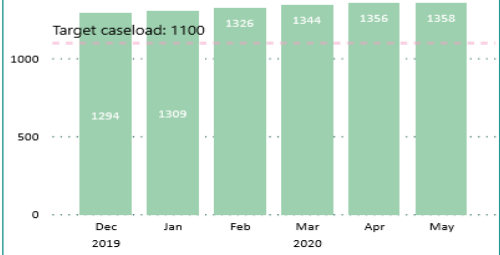
2.1: Fitness to practise cases meeting the triage threshold are investigated thoroughly and collaboratively.

Supporting evidence	Progress update
Percentage of decisions reviewed that receive positive assurance from DRG.	Ten percent of all decisions made at the triage stage are reviewed each month as part of the internal quality assurance framework. 45 decisions have been reviewed so far and 37 (82%) of these have received positive assurance (a green RAG rating). Action points have been identified and completed for the eight decisions where concerns were identified, including further training for decision makers and enhancements to triage guidance. There have been five meetings of the decision review group so far and 24 decisions have been reviewed where the triage test has been applied. This includes decisions made under the Fair and Just Disposal Policy. All of these cases have received a green RAG rating.
All decisions are reviewed and approved by senior triage officers.	All decisions made at triage until the end of May were made by the decision management group (DMG), which includes a senior triage officer, a social worker and a lawyer. Moving forward, cases of lower complexity will be assessed by individual officers rather than the full DMG as part of a service restructure designed to make the process more efficient. Decisions made by individual officers will always be reviewed and approved by senior triage officers.

Percentage of decisions made within 28 days of receiving the case.	During April 2020, 80% of triage decisions took 28 days or more, increasing to 86.5% in May. Days to complete triage Triage decision KPI 28 days or less Over 28 days <table><thead><tr><th>Month</th><th>28 days or less</th><th>Over 28 days</th></tr></thead><tbody><tr><td>December 2019</td><td>93.8%</td><td>6.2%</td></tr><tr><td>January</td><td>56.6%</td><td>43.4%</td></tr><tr><td>February</td><td>41.5%</td><td>58.5%</td></tr><tr><td>March 2020</td><td>28.0%</td><td>72.0%</td></tr><tr><td>April</td><td>20.0%</td><td>80.0%</td></tr><tr><td>May</td><td>13.5%</td><td>86.5%</td></tr></tbody></table> As highlighted above, a service restructure is being implemented to improve performance against this target.	Month	28 days or less	Over 28 days	December 2019	93.8%	6.2%	January	56.6%	43.4%	February	41.5%	58.5%	March 2020	28.0%	72.0%	April	20.0%	80.0%	May	13.5%	86.5%
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Analysis of referral rates against case progression forecast.	During April 2020, 49.3% of cases were closed at triage, falling to 34.6% in May. The closure rate for the period remains close to the target closure rate of 40%. Final triage decisions Final triage decision Failed Triage Test Proceed to Investigation <table><thead><tr><th>Month</th><th>Failed Triage Test</th><th>Proceed to Investigation</th></tr></thead><tbody><tr><td>December 2019</td><td>39.1%</td><td>60.9%</td></tr><tr><td>January</td><td>36.8%</td><td>63.2%</td></tr><tr><td>February</td><td>43.9%</td><td>56.1%</td></tr><tr><td>March 2020</td><td>53.3%</td><td>46.7%</td></tr><tr><td>April</td><td>49.3%</td><td>50.7%</td></tr><tr><td>May</td><td>34.6%</td><td>65.4%</td></tr></tbody></table>	Month	Failed Triage Test	Proceed to Investigation	December 2019	39.1%	60.9%	January	36.8%	63.2%	February	43.9%	56.1%	March 2020	53.3%	46.7%	April	49.3%	50.7%	May	34.6%	65.4%
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Positive assurance from external review of case examiner decisions.	The case examiners have made 16 decisions so far that have been shared with the PSA as part of their review process. Learning points have been received in relation to two of these decisions (13%). These learning points will be reviewed by the Decision Review Group in June 2020.																					
Percentage of cases that are not proven after referral to a final hearing.	23 Cases have been referred by the case examiners to a final hearing, but they have not yet been considered by the adjudicators. The ability to progress cases to hearings has been significantly impacted over the last three months by the Covid-19 related restrictions on physical gatherings.																					

2.2: Develop a case progression strategy that will promote responsive risk assessment and proportionate outcomes.

Supporting evidence	Progress update
Percentage of legacy cases progressed or closed	All 1290 cases received at the investigation stage have been reviewed, risk assessed and allocated case plans. Progression of low risk cases was deprioritised for 10 weeks from March to June in recognition of the pressures the sector was facing in relation to Covid-19.

Supporting evidence	Progress update														
Time taken to secure interim order from date action commenced	We made 5 successful IO applications in April and 3 in May. Our target is to secure orders wherever possible within 28 days of identifying the potential need for an order. This target has been met in the first six months of operation. Avg days from need for IO ID'd to final decision at IO application hearing  <table border="1"> <thead> <tr> <th>Month</th> <th>Avg days</th> </tr> </thead> <tbody> <tr> <td>December 2019</td> <td>13</td> </tr> <tr> <td>January</td> <td>28</td> </tr> <tr> <td>February</td> <td>18</td> </tr> <tr> <td>March</td> <td>28</td> </tr> <tr> <td>April</td> <td>30</td> </tr> <tr> <td>May</td> <td>23</td> </tr> </tbody> </table>	Month	Avg days	December 2019	13	January	28	February	18	March	28	April	30	May	23
Month	Avg days														
December 2019	13														
January	28														
February	18														
March	28														
April	30														
May	23														
Number of open cases	The number of open cases in investigation at end of April 2020 was 1356, rising marginally to 1358 at the end of May. Our ability to progress cases since March has been impacted by the pressures on the sector caused by Covid-19 but case throughput is improving. Caseloads have stabilised and an overall reduction is targeted in the next quarter. Open cases in investigation at EOM  <table border="1"> <thead> <tr> <th>Month</th> <th>Open cases</th> </tr> </thead> <tbody> <tr> <td>Dec 2019</td> <td>1294</td> </tr> <tr> <td>Jan</td> <td>1309</td> </tr> <tr> <td>Feb</td> <td>1326</td> </tr> <tr> <td>Mar</td> <td>1344</td> </tr> <tr> <td>Apr</td> <td>1356</td> </tr> <tr> <td>May</td> <td>1358</td> </tr> </tbody> </table>	Month	Open cases	Dec 2019	1294	Jan	1309	Feb	1326	Mar	1344	Apr	1356	May	1358
Month	Open cases														
Dec 2019	1294														
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Feb	1326														
Mar	1344														
Apr	1356														
May	1358														
Average age of the caseload	<i>Proxy measure: number of open cases by age.</i> At the end of May 2020, 516 cases were over 1 year old. These are all cases that were transitioned to Social Work England from the previous regulator. At the end of May 2020, the average age of open cases received by Social Work England since go live was 85 days. Current open caseload by age  <table border="1"> <thead> <tr> <th>Age Group</th> <th>Caseload</th> </tr> </thead> <tbody> <tr> <td>1) Under 13 weeks</td> <td>48</td> </tr> <tr> <td>2) 13-26 weeks</td> <td>162</td> </tr> <tr> <td>3) 27-39 weeks</td> <td>309</td> </tr> <tr> <td>4) 39-52 weeks</td> <td>323</td> </tr> <tr> <td>5) Over 1 year</td> <td>516</td> </tr> </tbody> </table>	Age Group	Caseload	1) Under 13 weeks	48	2) 13-26 weeks	162	3) 27-39 weeks	309	4) 39-52 weeks	323	5) Over 1 year	516		
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2) 13-26 weeks	162														
3) 27-39 weeks	309														
4) 39-52 weeks	323														
5) Over 1 year	516														
Quarterly workshops with representative steering group	In recognition of the pressures caused during Covid-19 we have increased the frequency of meetings with the representative steering group to every week. A series of workshops will be held across two months from 2 July 2020 to formally review the processes currently in place.														
Feedback from consultation process	The first operational review workshop with the external representatives steering group is scheduled to take place on 2 July 2020.														
Review of statutory guidance complete by the end of the year	The first operational review workshop with the external representatives steering group is scheduled to take place on 2 July 2020.														
Feedback from stakeholders	Work is ongoing to increase the rate of feedback received and to develop the reporting mechanism. The first operational review workshop with the external representatives steering group is scheduled to take place on 2 July 2020.														

2.3: Adjudications will be efficient and fair and will make appropriate use of the full range of disposal options.

Supporting evidence	Progress update																													
Positive assurance from DRG	All 13 final hearing decisions have been reviewed as part of the internal quality assurance framework and 12 have received positive assurance. 20 interim order decisions (50%) have been reviewed, with 19 receiving positive assurance 12 adjudication decisions (final and review decisions) have been selected for further scrutiny by the decision review group and learning points were identified and communicated it wo of these cases.																													
Positive assurance from external review	Learning points have been received from the PSA in relation to 3 substantive or review decisions at hearings so far, which is 4% of all reviewable decisions.																													
All actions identified by DRG and external review are completed	The first four meetings of the DRG have taken place. All six actions identified during these meetings have been allocated and completed. The external review has not yet taken place.																													
Positive outcomes in any judicial review and high court activity	All High Court extensions requested have been granted. No judicial review applications have been received.	High Court extensions requested Accepted – Conditions of Practice Extended Accepted – Suspension Extended <table><thead><tr><th>Month</th><th>Accepted – Conditions of Practice Extended</th><th>Accepted – Suspension Extended</th></tr></thead><tbody><tr><td>January</td><td>0</td><td>3</td></tr><tr><td>February</td><td>0</td><td>1</td></tr><tr><td>March</td><td>0</td><td>3</td></tr><tr><td>April</td><td>4</td><td>11</td></tr><tr><td>May</td><td>2</td><td>7</td></tr></tbody></table>		Month	Accepted – Conditions of Practice Extended	Accepted – Suspension Extended	January	0	3	February	0	1	March	0	3	April	4	11	May	2	7									
Month	Accepted – Conditions of Practice Extended	Accepted – Suspension Extended																												
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May	2	7																												
Trends and analysis of case examiner outcomes to demonstrate all disposal options are being used appropriately	Up to the end of May, Case Examiners made the following split of decisions: Accepted disposal: 16% Referred to hearing: 40% No impairment: 44%	<table><thead><tr><th>Outcome</th><th>Decisions made</th><th>%</th></tr></thead><tbody><tr><td>Accepted disposal - conditions</td><td>1</td><td>2%</td></tr><tr><td>Accepted disposal - NFA (voluntary removal)</td><td>3</td><td>5%</td></tr><tr><td>Accepted disposal - warning</td><td>5</td><td>9%</td></tr><tr><td>No impairment - advice (unpublished)</td><td>6</td><td>10%</td></tr><tr><td>No impairment - NFA</td><td>13</td><td>22%</td></tr><tr><td>No impairment - warning (unpublished)</td><td>7</td><td>12%</td></tr><tr><td>Referred to a hearing</td><td>23</td><td>40%</td></tr><tr><td>Total</td><td>58</td><td></td></tr></tbody></table>		Outcome	Decisions made	%	Accepted disposal - conditions	1	2%	Accepted disposal - NFA (voluntary removal)	3	5%	Accepted disposal - warning	5	9%	No impairment - advice (unpublished)	6	10%	No impairment - NFA	13	22%	No impairment - warning (unpublished)	7	12%	Referred to a hearing	23	40%	Total	58	
Outcome	Decisions made	%																												
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Referred to a hearing	23	40%																												
Total	58																													
Percentage of well-founded cases that require sanctions at hearings.	Out of 13 final hearings concluded so far only one has been not well-founded. None of these cases were referred to a hearing by Social Work England’s case examiners.																													

Supporting evidence	Progress update
Percentage of referrals from case examiners to hearings	Up to the end of May, 40% of substantive cases considered by Case Examiners were referred to a hearing.

3.1: Contribute to and influence conversations about professional regulation.

Supporting evidence	Progress update
Regular meetings with chief social workers, BASW, PSW network and Skills for Care	These meetings have resulted in two joint webinars with the What Works Centre for Children's Social Care with Colum and Sarah. Colum also met with the Faith Reunited forum and Sarah did a live chat with CoProduce #ChatforCare forum. A huge response was received to a request for volunteers for a sub-group of our Education and Training Advisory Forum to look at social work education in the context of Covid-19. A survey has been circulated across all networks to support ongoing work of the Education and Training Advisory Forum.
Guidance developed as a result in partnership with the PSW networks	At the time of reporting, four guides have been co-authored and published in cooperation with the PSW networks, these include guides on: 1) ethical response to Covid-19 2) risk assessing the needs of children and families 3) virtual home visits 4) assessing online risks and harm. This has been supported by a blog from Sarah Blackmore alongside the chairs from the PSW networks. Work is ongoing to produce further guides in line with the needs of the sector.
Collaborated with sector leaders and partners on materials and guidance to support the sector	In response to Covid-19, the policy team alongside operational functions developed guidance on: temporary registration, information for students of social work courses, for educators and employers and contributed to a joint-statement between healthcare regulators on regulation in the light on Covid-19. All have been made available on our dedicated Covid-19 webpage and promoted through social media and comms. We also facilitated a virtual workshop to bring together CAFCASS colleagues with function leads across the organisation.
Strategic positioning paper	A joint strategic planning session took place with DfE colleagues on 05/06/20. Further work is planned to support our positioning in line with the October Spending Review
Monthly reporting on communications, engagement and policy activity	Regular reports are available across our Comms and Regional Engagement Team. Policy summaries are also issued regularly on matters of relevance to the organisation.
Joined together with partners in health and social care regulation to progress shared policy initiatives, particularly in areas of common regulatory risk	We have shared our experience of adapting our statutory functions in light of Covid-19, including in response to a consultation on remote hearings led by the family justice observatory. We attended the PSA's virtual research and policy forum and our Policy Manager carried out a 'virtual shadowing day' with Social Care Wales. The four social work regulators continue to work closely on matters relating the EU exit.
Formed partnerships with regulators (including systems regulators such as CQC, Ofsted)	We have met with and formed a positive relationship with Ofsted and NMC. Memorandum of Understanding documents are in progress across

Supporting evidence	Progress update
to share our approach to regulation and lessons learnt	the FtP and Engagement teams. Four nations joint comms and CEO meeting took place.
Raised the profile of social work in professional regulation in cooperation with the social care regulators across the UK and delivered joint, public facing activities	Joint statement issued on Covid-19 response with UK regulators. We have agreed to deliver a four-nation joint narrative to seize the communication opportunity presented by Covid-19 to find a common language to tell the story of this profession and the unique role it plays alongside health and social care to improve society.

3.2: Develop and deliver plans to share our regulatory activities and knowledge to contribute to a greater understanding of social work regulation.

Supporting evidence	Progress update
Communications, policy and engagement strategies established and guide our work throughout the year	Final drafts to be re-aligned to the new Covid-19 context. However, progress against communication strategy includes: • Clap for our carers social media campaign; 10 'thank you key workers social media posts: 238 retweets and 1,549 likes – 2,000 views on the ‘day in the life’ video • Social Work Together recruitment campaign in partnership with DfE, DHSC and the LGA to bolster local covid-19 workforce plans: 1068 social worker expressed interest. 97 Local authority registrations. 20 into employment. • Four e-shot updates sent directly to 97,674 social workers. • 43.5% increase in LinkedIn followers and 16.1% on Twitter. • Website: 850,367 total page views with top visited pages being online account and record CPD. • 66 media articles secured to broaden our reach. • In house design and launch of corporate strategy and business plan to our people and stakeholders. • Website user testing to improve renewal comms experience. • 11 proactive blogs published to reflect and strengthen our crisis comms in response to Covid-19 with information and advice. • New internal bulletin developed for our people to support Covid-19 remote working. 14 bulletins issued and 5 editions of evolve. 97% of respondents said they found this useful and were satisfied with the information provided. • Corporate statements relating to Black Lives Matter issued outlining our commitment to EDI and anti-racism.
Reflective activities enable us to test and learn from our approaches	We have reflected on the transition to online engagement and adjusted our approach accordingly. We are offering our own national online events to reach social workers beyond local authority employers. We are hosting internal reflective practice sessions in line with our values and have supported a range of our people through lockdown and working from home through this tool.

Supporting evidence	Progress update
Deliver workshops for employers and gather feedback on understanding of regulation	Online workshops for employers around our fitness to practise process have been developed and are being piloted in June.
The data and insight that we have shared about social work and our specialist regulation contributes to a fuller understanding of the profession and our role in it.	We are preparing to publish the two pieces of research commissioned and our first report on social work in England.
Joined up working leads to a more streamlined standards environment for social workers.	We have built strong alliances with key stakeholders which has contributed to a more joined up approach with tangible benefits for the social work profession, for example, joint practice guides with the PSW networks

3.3: Publish our first research findings and key reviews of social work and professional regulation.

Supporting evidence	Progress update
Social Work in England report published	Document to be published in November 2020. Timeline reviewed and unaffected by Covid-19 response work and steering groups resumed. March to June 'Listening' phase progress report for Q1 to be provided at next Board meeting.
Research published on public perceptions of social work and the social work profession	Final drafts are now complete of both research projects and a comms plan for publishing is under development.
Foundations laid for our first "state of the nation" report on social work in England in year 3	Data and intelligence from our engagement work is being amalgamated and analysed on an ongoing basis to support planning for this report.

4.1: Embed our standards to make sure they are relevant, specialist and encourage aspiration in social work.

Supporting evidence	Progress update
Regular engagement events embedding the standards nationally and regionally, in person and online – reflective activities enable us to test and learn from our approaches	Since April we have engaged with over 600 social workers across 100 online engagement events. Local authorities are keen to offer continued learning and development to their staff and social workers are keen to understand regulation and our CPD requirements.
Mapped our standards against other professional frameworks.	In progress and part of broader discussions on the post qualifying framework

4.2: Share our expectations of social workers to undertake and record CPD.

Supporting evidence	Progress update
Percentage of social workers who have uploaded CPD.	As of 16 June 2020, 15.1% (14,823) of social workers had uploaded 47,876 pieces of CPD
Report on annual review of CPD	The procurement process has begun, an ITT is in final draft and expected to be published by the end of June. An evaluation panel is being assembled to consider proposals and includes representation from RELs, procurement, CPD and policy.
Revised guidance	Revised guidance has been issued, this will shortly be followed by a CPD 'Quick Guide' and a 'Top tips for recording CPD' campaign.
Recruitment of CPD assessors	Recruitment of assessors is complete, all ten are appointed: 50% expert, 50% lay. In addition to assessors, we have recruited a CPD Campaigns Manager, a CPD Policy Officer and are underway with recruitment for a Campaign Officer to bolster CPD communications alongside two advisors to support the registration team.

4.3: Lead the way in streamlining the post-qualifying landscape, working with sector leaders and social workers.

Supporting evidence	Progress update
We have explained the role of our professional standards in guidance, their link to registration and set out how they relate to the KSS, PCF and other frameworks for social workers.	As above, see 4.1.
Worked with the National Advisory Forum to review current landscape and propose a way forward	We have had our inaugural National Advisory Forum meeting and in July we will set up task and finish groups, including a Professional Standards group to work with the Policy Team on this objective.

5.1: Establish strong relationships with social workers based on engagement and collaboration.

Supporting evidence	Progress update
100% of social workers have activated their accounts and are completing and uploading CPD	As of 19 June 2020, 66% of social workers have activated their account. Renewed CPD push with recruitment of dedicated comms resource to drive forward campaign activity.
We engage with over 10,000 social workers and people with an interest in social work	Engagement events are now taking place virtually but remain popular and well attended; we are on track to meet this target despite Covid-19.
Social workers from across the sector are involved in the national advisory forum, education and training advisory group and related task and finish groups	The National Advisory Forum and Education and Training Advisory Forum established and underway.

Supporting evidence	Progress update
Deliver our first annual conference	A working group from across the organisation has been formed, including members of the National Advisory Forum, to start planning for our first conference in early 2021.

5.2: We will share stories of social work to showcase the breadth of the role and the value it brings to society.

Supporting evidence	Progress update
We regularly share practice examples across the profession to describe social work	Adjustments made by social work education and training providers in light of Covid-19 are logged in a designated part of the website. We have shared blogs from social workers in front line practice during Covid-19.
Proactive communication via sector journals	We led the media campaign for Social Work Together, which resulted in 20 pieces of positive media coverage. We have established a suite of case studies to proactively explain social work and our role as a specialist regulator going forward, for example, a guest blog post written by Shelley Gill, practice lead for Durham County Council's children's services.

6.1: Establish a national advisory forum to provide expert support, advice and challenge around the ambition in our corporate strategy.

Supporting evidence	Progress update
National advisory forum members recruited, inducted and established in their role	Members recruited and first meeting held
Meeting agendas and minutes	Available
Task and finish groups supporting delivery of our corporate strategy	A strong response has been received for volunteers for the Education and Training subgroup. Members will now be agreed and the group established. The next National Advisory Forum meeting will identify further task and finish groups.
Education and training advisory group underpinning the national advisory forum meet regularly and share learning	The group has met five times, agenda and minutes available.

6.2: To continually and effectively collaborate with those with lived and learned experience of social work.

Supporting evidence	Progress update
People with lived experience of social work are involved in the national advisory forum and education and training advisory group	People with lived and learned experience of social work are active members in both forums

Supporting evidence	Progress update
Examples of work that have been co-produced with those with lived and learned experience can be found across the organisation	We have embedded an approach to user research and testing in the design of our new renewals service: • Three rounds of user research and testing • 13 participants in total - 5 in the first round, 8 in the second round, 9 in the third round (beginning 19 June) • Participants from across the country from a range of social work backgrounds
A pool of professional partners includes those with lived experience of social work; all partners work with the national advisory forum	Phase 1 of the Professional Panel members will be in place by mid-August
People with lived experience represented on decision review group in Fitness to Practise	Work is underway with our regional engagement lead in this area to support achievement of this objective

6.3: Work in partnership by collaborating on opportunities with others who share our ambition to enable positive change in social work.

Supporting evidence	Progress update
Pool of professional partners with subject expertise have been appointed to work with us on key areas of our strategy	Phase 1 of the Professional Panel members will be in place by mid-August
Establish preferred provider framework of key delivery partners to support CPD processes and the social work post-qualifying framework	In progress
National conversation taking place on the future of the profession at the national and regional levels	Initial discussions have taken place with the DfE and DHSC and the PSW network chairs as to how best to progress this
Reflection on our approach to partnerships in the sector and set out our intentions for year 2	Update on progress during Q1 to be provided to next Board meeting

7.1: Establish expectations of the provision of high-quality education and training in social work and the responsibility on all parts of the system to work collaboratively.

Supporting evidence	Progress update
Interim report of activity and learning from 2020-21 education quality assurance activity published March 2021.	Report due end of Q4.

Supporting evidence	Progress update
Annual monitoring completed with all providers by December 2020.	Process to be completed in Q3, outcomes and learning from annual monitoring to be reported upon at end of Q4.
Agreed data strategy for gathering data on students and courses in place by September 2020.	Data strategy to be reported on at end of Q2.
First data collection undertaken November 2020.	Data collection to be conducted during Q3 and initial reporting available from end of Q3.

7.2: Establish a robust approval and reapproval model for social work education and training courses against our standards.

Supporting evidence	Progress update
Reapproval dates for 2021-2025 agreed with all providers by October 2020.	Proposed reapproval schedule now being re-drafted in light of COVID-19 and resulting additional pressure on education providers. New schedule to be in place for July 2020, and dates agreed with providers by October 2020.
Percentage of enquiries responded to within 5 working days	This measure relates to all enquiries received by the Education Quality Assurance team (except Concerns), and the length of time it takes for EQA to send an initial response. That response may be a full answer to the enquiry, or may be a description of how EQA will progress it. We are developing the reporting mechanism, and this will be ready in time for the next Board update. To date, all reports have been published within this timeframe.
Individual approval/reapproval reports published.	To date (from 2 December 2019), two approval reports published, with one further report due to be published by end of June 2020. Published reports: Liverpool John Moores University https://www.socialworkengland.org.uk/media/3101/inspection-report.pdf University of Gloucestershire https://www.socialworkengland.org.uk/media/3099/20200421_ug-final-report.pdf

7.3: Consider, contribute to, and influence public policy around higher education and post-18 education reform.

Supporting evidence	Progress update
Social Work England representation at forums related to social work education and training.	Social Work England staff have attended a number of forums during this period, including: - Strategic Board West Midlands Social Work Teaching Partnership - Cheshire and Merseyside Teaching Partnership

Supporting evidence	Progress update
	- Social Work Educators North East - part of the North East Teaching Partnership. - Social Work Education Committee of the Joint University Council (JUCSWEC) - London Social Work Education Network Our own Education and Training Advisory forum is well attended with broad representation, including students. Regular informal meetings are also taking place with providers
Learning from Social Work England education quality assurance activity is used to inform these forums.	Education quality assurance activity relating to the COVID-19 emergency has been relayed back to education providers and other stakeholders via the Education and Training Advisory Forum and also meetings with individual providers, provider networks such as teaching partnerships, and also with representative groups such as JUCSWEC. Learning from these forums assisted with the creation of guidance, and also promoted information sharing, that has been shared on our website: https://www.socialworkengland.org.uk/coronavirus/information-for-education-and-training-providers/

8.1: Review the models of provision in relation to the competence of newly qualified social workers.

Supporting evidence	Progress update
Research report into competence of newly qualified social workers published March 2021.	To be completed by Q4.

9.1: Establish effective IT systems and digital services.

Supporting evidence	Progress update
Results of annual survey of internal and external users	The survey will be undertaken towards the end of Q3 to allow for all users to have had a chance to interact with the public facing website and Forge.
Quarterly summary of user issues reported through IT support tickets	Rolling quarterly reporting pack to be provided to ELT by end of Q1
Cyber Essential certification by March 2021	Working group established which meet fortnightly. Currently working through the cyber essentials questionnaire to identify gaps.
Identify requirements to gain ISO27001 certification	Priority has been given to cyber essentials activities. Once the initial work on the cyber essentials is complete, focus will be moved towards ISO 27001
Independent assessment of our digital services against the WCAG 2.1 framework	This will be undertaken during Q4

9.2: Establish systems and processes to deliver compliance, good governance, and value for money.

Supporting evidence	Progress update
Quality assurance framework	The framework was agreed with the executive and delivery of activities set out in the framework began in April. The first process review looking at risk assessment and interim order processes was completed in May. The report is currently being considered by the FTP department. An output focused audit of Triage decisions was completed in May. The report is currently being drafted. The review of the processes for updating the register started in May 2020. This is due to be completed in June 2020.
Internal Audit strategy	Revised internal audit strategy to be submitted to ARAC on 19 June. The first two internal audits Online & Social Media and IT health checks have commenced.
Annual Report and Accounts	Draft annual report designed in house and now complete with input from external auditors as planned. Annual Report to be presented to ARAC on 19 June and full board on 26 June.
Commercial strategy	The commercial strategy was agreed by ELT on 3 June 2020. Rollout is planned in Q2
Risk management framework	The strategic risk register will be presented to the ARAC in June 2020, including a summary of Covid-19 specific risks.

9.3: Develop effective systems for financial management and forecasting.

Supporting evidence	Progress update
Budget management	Management accounts discussed on a monthly basis by ELT and with the sponsor team. Meetings in place with budget managers to re-forecast.
Our new corporate systems deliver the benefits	Preferred provider identified, undertaking due diligence. New corporate system (commercial, finance, HR, payroll and learning and development) to be implemented by end of December 2020

9.4: Enhance our organisational analytical capabilities to inform effective decision making.

Supporting evidence	Progress update
Quarterly reporting of management information to Board	An extract of the data from our management information reporting suite is summarised in the table at the end of this document.
Monthly reporting of management information to executive leadership team	A monthly management information pack is submitted to ELT with further information added each edition to reflect developments in the understanding and reporting of organisational data.

Supporting evidence	Progress update
Quarterly reporting of business plan progress to the Board	This report represents the first iteration of the progress report to the Board. Content will be developed during the coming months.

9.5: Establish the legal function as a source of advice, guidance, and support throughout the organisation.

Supporting evidence	Progress update
Legal team have, in partnership with relevant managers across the organisation, developed and delivered bespoke learning activities for Social Work England teams by February 2021.	Members of Legal Team now have responsibility for liaison with different teams within the organisation, and this will assist with identifying learning needs and activities. This has included identification of need for further decision-making training for Registration teams, and this has been scheduled for July 2020.
Scheme of delegation reviewed and revised September 2020.	Work now underway to review governance structures, including schemes of delegation. Paper to be provided to ELT for consideration July 2020.

9.6: Establish the framework, policies, and processes to ensure a robust approach to information governance and data protection.

Supporting evidence	Progress update		
First review of the information governance framework, policies and processes completed by December 2020.	This work to be completed by the end of Q3. Updates to some policies based on initial learning since 2 December 2019, have already taken place.		
Annual GDPR online refresher training completed for all staff, Board and partners by March 2021.	Online GDPR training undertaken with staff teams from May 2020.		
Data Protection Officer’s annual report submitted to the Board by July 2020.	First annual report completed and included with papers for June 2020 Board meeting.		
Percentage of FOI requests responded to within the statutory timeframe (usually 20 working days)		Apr 20	May 20
	Number of FOI requests received	3	5
	Number processed within statutory timeframe	3	5
Percentage of SARs responded to within the statutory timeframe (usually 1 calendar month)		Apr 20	May 20
	Number of SARs received	4	6
	Number processed within statutory timeframe	4	5*
	*One request received in late May has yet to reach the statutory timeframe as at 18 June		

10.1: Establish planning and development processes and systems to recruit, train and retain talented, energised and motivated people.

Supporting evidence	Progress update								
Workforce plan	Our workforce plan for 20/21 is being developed and will be complete by end of June. As at 31 May, we have 178 people of which 79.2% are on permanent contracts. 14 fixed term contracts are due to end this financial year. This includes 2 fixed term maternity cover roles. Of the 14, we anticipate that fixed term contracts may be extended for 9, due to the volume of fitness to practise legacy work.								
Joiners, movers, and promotions	During Covid-19 we moved our recruitment, onboarding and induction to online. New starters have been equipped to work from home. We have had 4 new starters since 1 April. As at 31 May we have 13 vacant roles. We are currently recruiting for 7 of these roles. Six roles are within the IT structure which is currently being reviewed. A pillar of our people strategy is to build not buy and to support our people to grow and develop, both in moving laterally to deepen their experience of regulation/social work and in promotion. In May there was 1 internal promotion, taking the number of internal promotions over the last 12 months to 11. We have also had 2 lateral moves 1 in May and 1 in June taking the total over the last 12 months to 29 lateral moves. Most of these moves are from temporary to permanent roles.								
People survey	The survey closed on 29 May; analysis is underway.								
Learning and development training including evaluation	May 2020 Data Protection: Compliance Following GDPR 70.8% Mandatory online modules with annual refreshers are completed during specific months. There was no refresher due in April but during May GDPR completion was required. Completion rates as at 31 May are detailed. Learning and development activity during April and May adapted to a virtual space, initially through the provision of homeworking resources shared on the intranet covering topics such as remote working, mental well-being and physical wellbeing. Online resources continue to be shared using various channels including a regular feature in Evolve – ‘Learning Lowdown’. Learning and development activity that has taken place during April and May is shown in the table below: <table><tr><th>Month</th><th>No. of courses planned</th><th>No. of courses went ahead</th><th>No. of attendees</th></tr><tr><td>April</td><td>14</td><td>9</td><td>20</td></tr></table>	Month	No. of courses planned	No. of courses went ahead	No. of attendees	April	14	9	20
Month	No. of courses planned	No. of courses went ahead	No. of attendees						
April	14	9	20						

Supporting evidence	Progress update			
	May	16	14	157
	Total	30	23	177
	The courses that were unable to take place were external bookings that had to be cancelled or rearranged due to the impact of Covid-19. Internal courses that have taken place during this period have covered topics such as understanding social work, reflective sessions, bitesize manager sessions and induction. All of these have taken place virtually.			
	Current professional qualifications being undertaken are reflected below.			
	On-going professional qualifications		Commenced	
	CIPD Diploma in Learning and Development Practice		Mar-20	
	IWFM Level 4 Certificate in Facilities Management		Apr-20	
Retention and turnover rates	There have been no leavers in this financial year to date. As at 31 May 11 people are still in their probation period and 3 have had their probation extended, (given the high number of starters, it is important to note 157 people passed their probation in the last 12 months). Probation extensions have clear objectives for areas for improvement and are monitored by HR. All 3 are on track to successfully complete extended probation.			
Sickness absence rate	During the 12 months to the end of May 2020, the average sickness absence per employee was 2.3 days, equating to 0.6% of days lost to sickness absence. This is below the equivalent sickness absence rate for workers within the public sector at 2.7% ¹).			
Applause – e-voucher recognition scheme	The launch was delayed due to Covid-19 to the end of May. The first round of nominations has closed with 39 nominations (individuals and teams). Nominations are monthly; we do not anticipate such high numbers in the future, the number for May reflects the delay in the launch.			

10.2: Develop a reflective, open, and accessible working environment where people are encouraged to share knowledge, learn, and test new ideas.

Supporting evidence	Progress update
EDI strategy	An EDI staff survey was completed in April. We had a 66% response rate. We do not have data for the remaining 34% as completion of equality and diversity data is not a mandatory. We will refresh the data on a bi-annual basis. This data will be automatically updated

¹ Source: Office for National Statistics 2018

<https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/labourproductivity/articles/sicknessabsenceinthelabourmarket/2018>

Supporting evidence	Progress update																																																																																																																										
	once we have a new HR system rather than through standalone surveys. Our current HR system does not enable people to complete their own equality and diversity data via the online self-service portal. This is built into the new HR system currently being procured and people will be encouraged to update their EDI data. Accurate data will ensure our equality and diversity monitoring is consistent and appropriate analysis takes place, so service delivery and workforce initiatives are intelligence-led.																																																																																																																										
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	Strategy agreed by ELT and plan for 2020-21 being reviewed to consider any adjustments due to Covid-19.																																																																																																																										

Supporting evidence	Progress update
Workplace shadowing programme	Programme paused in light of Covid-19

10.3: Determine environmentally sustainable processes, practices and plans to support and engage with local business, initiatives, and charities.

Supporting evidence	Progress update
Sustainability, community, and environmental plan	We are scoping this work building on our sustainable and environmental practices that are aligned to the Greening Government Commitments.

Appendix: Key operational performance measures

The table below provides an overview of some of the key operational performance measures which provide additional insight into how well we are managing core activity that underpins the objectives in our business plan. Whilst these measures do not directly inform how well we are progressing towards achieving our business objectives, they are essential to enable us to identify areas for improvement at an operational level.

Registration	April 2020	May 2020
Number of registered social workers	98,731	98,778
Number of temporarily registered social workers	7,979	8,096
Number of social workers joining the register	181	146
Number of social workers leaving the register	81	99
Number of phone calls received by the Registration and Advice Team	1630	2683
Average call queue time (minutes)	6.6	10.9
Calls answered	62%	44%
Emails received by the Registration and Advice Team	1964	853
Average response time to emails (working days)	2.9	4.3

Fitness to Practise	April 2020	May 2020
Number of concerns received	104	95
Number of cases in pre-triage stage at end of month	56	91
Average time to complete pre-triage (calendar days)	27.6	41.2
Triage cases opened	118	93
Triage cases open at end of month	298	307
Percentage of cases closed at triage	49.3%	42.0%
Percentage of cases taking more than 28 calendar days to complete triage	80.0%	88.4%
Number of cases entering investigation	59	55
Number of cases in investigation stage at end of month	1356	1358
Number of cases closed in investigation	17	28
Substantive hearings concluded/final decisions made	3/3	0/0
Average days from receipt of concern to final hearing decision	739	-
Interim Order application hearings held/decisions made	9/9	5/5
Average days from need for IO identified to decision date	30	23
Interim order reviews held/decisions made	35/34	9/9
Substantive order reviews held/decisions made	3/3	5/5
Number of Final Orders in review	-	61
Number of Interim Orders in review	-	88
Number of Interim Order statutory review periods missed	0	0
Number of Interim Orders that have a High Court extension	-	34/88 (39%)

CPD	April 2020	May 2020
Number of social workers who have completed CPD	12,428	13,843
Percentage of social workers who have completed CPD	12.6%	14.1%

Education and Training	April 2020	May 2020
Enquiries received	48	21
Concerns received	3	3

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 4.2 Business plan 2019 to 2020 Q4 progress update

Purpose of the paper:	
This paper provides an update on the achievements in each directorate and thematic area during Q4 of the 2019 to 2020 business plan.	
Actions required by the Board: For information and decision (please select from drop down list)	
Board Report: (please select from drop down list)	Choose an item.
Recommendation(s) to the Board:	
The Board is asked to note the current position in relation to delivery against the business plan.	
Executive Lead: (please select from drop down list)	Greg Ross-Sampson
Author:	Andy Leverton, Head of Business Planning and Improvement
Appendices: (please list)	

Social Work England

Business Plan Progress Update

Q4 2020

Purpose

1. To provide an update describing progress during January to March 2020 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 final quarter of 2019/20, what we have achieved to date and where relevant, what will carry over to 2020/21.

Thematic Areas

4. Consultation

Objective	Q4 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.	Completed in Q3
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 future consultation schedule

5. Communications

Objective	Q4 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.	Ongoing – business as usual Web stats • 94,932 total users • 85,291 new users • 1,146,751 total page views • Top visited page: online account (158,442 views/13.8%) • Homepage viewed 138,474 times • 32.5% visits direct, 26.6% via online search E-shot (direct mail) • Three e-shot regulator updates sent to 97,579 social workers, including an email to 71,615 direct debit holders Social media • Most popular post: the announcement of Social Work Together in response to Covid-19 to bring more social workers back into the profession. 44,686 impressions, 3,008 engagements. • Twitter growth by +27.9% (7,709) • LinkedIn growth by +141.9% (5,411) • We began our clap for carers campaign with a post that achieved 150 reactions and a high engagement rate of 7.7%.
Develop a programme of proportionate and timely external engagement activity that routinely updates and engages audiences on the evolution of Social Work England.	Ongoing – business as usual - We established a good relationship with Community Care and invited them to visit the office. This ensured a close working relationship upon the outbreak of Covid-19. We used our digital channels to promote the National Advisory Forum including the positive news of 100 applicants wanting to be a part of it and 11 people successfully recruited 43 pieces of media coverage (with BASW magazine, Professional Social Work News reaching 50,000 alone).

	We secured a blog spot from Colum on the Professional Standards Authority website and worked with him on a piece to mark World Social Work Day. We shared a series of you said we did pledges as a result of our engagement survey to show we are actively listening and acting. Engaged with over 6,800 individuals to date through our regional engagement team including reaching people in previously unserved regions (East of England and London). Continue to engage with PSWs, ADASS and ADCS networks at a local and national level. Over 100,000 Twitter impressions (number of times a tweet shows up in somebody's timeline) per month through the regional engagement lead posts. Increased and targeted our engagement with people with lived experience of social work across the country.
Support the directorates to deliver their objectives by creating bespoke communication plans and associated products.	Ongoing – business as usual - We produced content to encourage social workers to activate their new online account and use the new functions. By the end of March, 37% (36,829) had activated their accounts and between them, 7,939 had uploaded 27,446 pieces of CPD. People tweeted about their good experiences. We continued to create a dialogue with our audiences by answering queries about social workers logging into their online accounts, CPD, applications, engagement, and general questions related to the transfer of regulation on our channels. Our focus now turns to refreshing comms plans for CPD and renewals aligned to year one business plan priorities.

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.	Completed in Q3
Establish our media relations function and managing our media output to support emerging business objectives.	Completed in Q3
Develop our internal communication channels to ensure our brand values are realised and embedded throughout the organisation.	Ongoing – business as usual - We are currently developing ways of measuring and refreshing internal communications and the strategic objectives it will need to support aligned to the new business plan. This will include seasonal hooks and moments aligned with our values such as mental health week next quarter. In March we created a strategy to support the transition to remote working and began producing regular bulletins from the CEO to our people alongside corporate news via evolve. We secured approval to recruit an internal comms manager to drive this work forward and ensure it is central to our comms mix going forward.

6. People

Objective	Q4 update
Continue to implement our recruitment plan to increase our overall capacity.	Completed in Q3
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.	Complete – 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 All scheduled training has been undertaken.
Continue to develop our human resources and recruitment policies, ensuring they remain fit for purpose.	Completed in Q3
Continue to review and refine the structure of the organisation to ensure we are	Ongoing – business as usual - The organisational arrangements are reviewed regularly. Realignment of some directorates

effectively managed and appropriately structured.	was undertaken following the departure of the Finance Director in March 2020.
Conduct an employee satisfaction survey to identify good practice and areas for improvement.	Completed in Q3

7. IT and Data Transfer

Objective	Q4 update
Complete the development and delivery of our digital services to support efficient and effective regulatory functions.	Remains in progress - core functions remain in operation. 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.	Completed in Q3
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.	Completed in Q3
By July 2019, develop in partnership with HCPC detailed transition plans for each functional area to ensure we are ready to become the regulator.	Completed in Q3
Ensure the transfer and test of data is managed safely in line with the General Data Protection Regulation legislation.	Completed in Q3
Ensure the safe and effective transfer of fitness to practise casework from HCPC.	Completed in Q3
Ensure that any issues relating to transition are escalated to the sponsoring department.	Completed in Q3

8. Strategy and Planning

Objective	Q4 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.	Remains in progress –The terms of reference for all committees and the board have been reviewed and refreshed. There is now a single set of documents relating to governance.

	A review of the committees and board scheme of delegation (as it relates to regulatory matters) is underway. Internal audit strategy was agreed with ARAC in February 2020.
Develop a three-year strategic plan supported by an annual business planning cycle.	Complete – Corporate strategy and 20/21 business plan published May 2020 after a review due to circumstances regarding COVID-19
Monitor and report on our performance against our project and business plans to ensure successful delivery.	Ongoing – business as usual - Regular reporting to the Board undertaken throughout 19/20 as new objective progress indicators and reporting requirements are being identified, including reporting integration with risk management software
Continue to develop our approach to risk management, generating effective mitigations to support successful delivery of projects, operations and strategy.	Ongoing – business as usual - Operational and strategic risk register in operation and mitigations continually reviewed. Procurement process for risk management software in progress Strategic risk register is being revised to ensure alignment to business plan
Agree with the sponsoring department a final version of the framework document.	Complete – Framework document is complete and signed by the Department for Education minister. Waiting for the Department of Health and Social Care minister to sign.
Continue to work closely with our contractors through to completion to ensure that the ongoing changes to our infrastructure meet our needs.	Ongoing – business as usual - Previously planned changes to workspace completed and work has now begun on identifying further requirements because of COVID-19.

9. Registration and Quality Assurance

Objective	Q4 update
Deliver an online space that will allow applicants and registrants to apply, renew, restore and update their personal details.	Remains in progress - Online application process delivered and being used by applicants. Ability for registrants to update details also delivered. Online restoration process still to be delivered. Work to develop online renewal process continues.

Deliver a front-facing registration and advice customer helpdesk that will deal with all Social Work England initial enquiries by telephone and email.	Completed in Q3
Develop the process and policy for recording and audit of continuous professional development.	Remains in progress -Revisions to the online account and CPD recording functionality have been informed by feedback from the registration and advice team and from CPD email enquiries. The policy remains consistent (for all registrants to record one piece of CPD in the first registration year) and is being communicated through the regional engagement leads and comms. CPD Manager in place and developing the validation process, due to be agreed in Q2 20/21.
Develop the right policies and processes to deliver an effective registration function.	Ongoing – business as usual Policies and procedures in place being developed and refined further from operational understanding.
Draft and consult on guidance to support applicants and registrants.	Complete - 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.	Remains in progress – COVID-19 has impacted and delayed the development of the planned standards. Engagement work continues based on existing standards.
Develop a quality assurance evidence framework that ensures that our quality assurance function is informed by the expertise of the profession and stakeholders.	Remains in progress - 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, for example through Education Advisory Forum, and communication between Social

	Work England staff and a number of course providers and related organisations.
Begin scheduling course inspections and conduct pre-approval assessment for courses requiring approval for academic delivery in 2020.	Complete – COVID-19 has altered the timetable and logistics planning of course inspections, but facility for virtual inspections has been developed.
Appoint and train associate inspectors who will be actively conducting a programme of course approval inspections and course monitoring.	Completed in Q3

10. Fitness to Practise

Objective	Q4 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 - Further work was undertaken in early 2020 to address some omissions found in the data transfer relating to audio transcripts for historical hearings and documents held by the HCPC's external lawyers that had not been migrated to HCPC's system for the transfer. In both cases information sharing agreements are now in place to allow direct access to the documents required.
Establish effective standard operating procedures, which realise the full potential of the new powers available to Social Work England under the rules and regulations.	Completed in Q3 - Following a review of initial effectiveness, a service restructure is underway in the triage team. This is to allow for desk-based decision making in straightforward cases and more efficient streaming from the outset. In March 2020 emergency amendments were made to the Rules and process supporting hearings to allow substantive hearings to be conducted by teleconference. This was in response to restrictions imposed by the Covid-19 lockdown.
Deliver our initial findings about fitness to practise to the profession at a local level through our regional engagement strategy.	Complete - 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 was on 4th February 2020.

	System development was undertaken in March 2020 to allow effective codification of incoming data so that further insight could be drawn. The Decision Review framework and Group were initiated in January 2020 to draw learning and insight from decision-making across the four stages of Fitness to Practise.
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.	Remains in progress – 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. Standards – Strategy, Policy and Engagement

Objective	Q4 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.	Remains in progress - Chaired panel at PSA conference on engagement of people with lived experience in regulation, show-casing Social Work England's specialist approach. Commissioned specialist research into social work and public perceptions of the profession. Steering group established for the first interim 'Social Work in England' report to be delivered in Q3 of 2020/21.
By September 2019, have in place the team of people and the support infrastructure required to take forward our regional engagement strategy.	Complete – All regional engagement leads now recruited and started in their roles.
Publish our professional standards, our standards for education and training and our rules for registration and fitness to	Completed in Q3

practise and publish guidance on the professional standards.	
Ensure that people with lived experience of social work are actively engaged and working with us across all aspects of our work.	Remains in progress – Work continues with Experts by Experience group and their input on the new National Advisory Forum will be developed further.
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.	Complete – Shadowing activities reviewed and a programme developed.
Have established a system of informing and advising the organisation on policy/legislative changes and/or development, and our position in response.	Completed in Q3
Before the end of the year, we have commissioned research into a key area affecting social work or regulatory practice.	Complete - YouGov appointed to undertake research into social work sector. Crag Ross Dawson appointed to undertake public perceptions survey and qualitative interviews with people with lived experience of social work. Kick-starter meetings held in Sheffield offices and workplans agreed for completion before end of financial year.

12. Finance and Procurement

Objective	Q4 update
Provide timely, accurate and insightful management information to support organisational decision making.	Ongoing – business as usual Regular processes and practices in place but continue to be reviewed in line with recent developments to the organisational structure.
Fully develop and test all our systems, processes and controls prior to full implementation.	Completed in Q3
Develop opportunities for user feedback to improve and refine systems and processes.	Complete - Project underway to develop a corporate system that covers finance, HR and commercial that will refine systems and processes.

Identify examples of best practice within the Non-Departmental Public Body (NDPB) sector as well as externally to drive process improvements and ensure value for money.	Ongoing – business as usual Strong links established with forums of different NDPBs that cover commercial, learning and development and HR.
Proactively engage with organisational leaders as business partners to identify information/data requirements and devise Key Performance Indicators (KPIs).	Remains in progress – Performance indicators have been developed within operational teams. For Finance, formal KPIs will be refined following implementation of the corporate system.
Provide financial management training and support to all individuals with financial or decision-making responsibilities.	Remains in progress – Developed new cost centres in preparation for working with budget holders in a different way. Formal training will be deferred until a new corporate system is implemented.
Continually seek to review strategic, business and operational assumptions throughout the financial period and assess their impact of future period forecasts.	Ongoing – business as usual - Management accounts regularly discussed at ELT and monthly finance-related meetings held with the Sponsor team.

13. Legal

Objective	Q4 update
Recruit a team of legal, data protection and information, and internal quality and improvement specialists	Completed in Q3
Fully integrate the legal function into day-to-day operations.	Remains in progress – Legal team are increasingly integrated into day-to-day operations and further opportunities are being identified as part of a developing business objective for 2020/21.
Deliver and manage a contracted bespoke external legal service for fitness to practise investigations, hearings and advocacy.	Completed – Legal team are delivering core legal service as required.
Raise legal awareness across our directorates and provide updates on key legislative developments that affect our regulation or our business activities.	Remains in progress – Work continues to provide legal awareness throughout the organisation. Further training priorities are being identified as part of a developing business objective for 2020/21.
Design and implement policies and procedures to ensure compliance with relevant legislation, particularly in relation	Completed in Q3

to data protection and information governance.	
Establish a programme of internal quality and improvement work in readiness for becoming the regulator.	Completed – Initial programme developed.

14. Board Action

To note the current position in relation to progress made against the business plan objectives during Q4 of 2019/20.

Andy Leverton

Head of Business Planning and Improvement

19 June 2020

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 4.3 Professional Standards Authority Review Report

Purpose of the paper:	
To keep the Board informed of the performance review process we undertake with the Professional Standards Authority towards meeting their Standards of Good Regulation.	
Actions required by the Board: For information (please select from drop down list)	
Board Report: (please select from drop down list)	Choose an item.
Recommendation(s) to the Board:	
Executive Lead: (please select from drop down list)	Colum Conway
Author:	Ellis Christie, Internal Quality and Improvement Manager
Appendices: (please list)	1. PSA data set submission Q3 and Q4 and annual totals

PSA Data set submissions

Professional Standards Authority

The Professional Standards Authority for Health and Social Care (the Authority) is an independent organisation whose role is to help to protect the public by improving the regulation and registration of people who work in health and care. They oversee the work of ten organisations that regulate health and care professionals in the UK, including Social Work England.

Through their performance review process, the Authority look at whether we meet their Standards of Good Regulation. These standards cover our four key functions as a regulator:

- Guidance and standards
- Education and training
- Registration
- Fitness to practise

In addition to the above, there are general standards which look across all of our activities.

More information about the Authority's performance review process can be found on their website [here](#).

The current Standards of Good Regulation can be found [here](#).

Quarterly data sets

Each quarter we provide the Authority with a data set submission. This is primarily focused on data relating to registration and fitness to practise processes. The Authority will use the data provided in these submissions as part of its assessment of our performance against their Standards of Good Regulation.

The annual data set submission provided to the Authority in May 2020, and which relates to Quarters 3 and 4 of 2019/20 is included in Appendix 1 for the Board's information.

1. Registration dataset

Registration			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
1.	Number of registrants (including where applicable students, premises and bodies corporate) in the following categories:	UK graduate	-	-	34	-	-	723	-	-	723
		EU/EEA graduate	-	-	0	-	-	11	-	-	11
		Non-EU/EEA graduate	-	-	1	-	-	21	-	-	21
		Qualification origin tbc	-	-	97,762	-	-	105,821	-	-	105,821
		Premises (GPhC and PSNI)	-	-	n/a	-	-	n/a	-	-	n/a
		Bodies corporate (GOC)	-	-	n/a	-	-	n/a	-	-	n/a
		Students and trainees (GOC and PSNI)	-	-	n/a	-	-	n/a	-	-	n/a
		UK graduate	-	559	559	-	784	784	-	1343	1343

	number of registration appeals:	Withdrawn	-	-	-	-	-	-	-	-	-
8.	Of those appeals concluded and where no new information was presented by the applicant, the number of appeals:	Upheld	-	-	-	-	-	-	-	-	-
		Rejected	-	-	-	-	-	-	-	-	-
		Withdrawn	-	-	-	-	-	-	-	-	-

2. Fitness to Practise dataset

Fitness to practise		Q3			Q4			Annual		
		Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
9.	Number of referrals received:	55	133	188	9	497	506	64	630	694
10.		Total	0	0	35	10	45	35	10	45

Fitness to practise			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
	Number of decisions made by an IC/CE, and with the following outcomes:	No further action (no realistic prospect of impairment)	0	0	0	1	2	3	1	2	3
		No further action (realistic prospect of impairment)	0	0	0	2	0	2	2	0	2
		Advice (not published on the register)	0	0	0	4	1	5	4	1	5
		Advice (published on the register)	0	0	0	0	0	0	0	0	0
		Warning/caution (not published on the register)	0	0	0	4	1	5	4	1	5

Fitness to practise			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
		Warning/caution (published on the register)	0	0	0	1	0	1	1	0	1
		Conditions	0	0	0	0	0	0	0	0	0
		Suspension	0	0	0	0	0	0	0	0	0
		Referral to Fitness to Practise Committee	0	0	0	9	3	12	9	3	12
		Undertakings	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
		Adjourned	2	0	2	14	3	17	16	3	19
11.	Number of cases referred by the IC/CE for a substantive FTPC hearing and that hearing has not yet begun:		0	0	0	9	3	12	9	3	12
12.	Number of decisions made by a final Fitness to	Total	0	0	0	11	0	11	11	0	11
		Final FTP decision made	0	0	0	8	0	8	8	0	8

Fitness to practise			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
	Practise Committee (FTPC), and with the following outcomes:	Adjourned	0	0	0	3	0	3	3	0	3
13.	Time from receipt of referral to the final decision on whether the regulator's legislation gives it the jurisdiction to investigate that referral:	Median	14	3	3	-	25	25	14	22	22
		Longest case	14	23	23	-	91	91	14	91	91
		Shortest case	14	0	0	-	1	1	14	0	0
14.	Time from receipt of referral to the final decision on whether the referral should progress to consideration by an IC/CE:	Median	610	-	610	385	91	290.5	392	91	319
		Longest case	610	-	610	884	111	884	884	111	884
		Shortest case	610	-	610	73	46	46	73	46	46
		Median	-	-	-	413.5	76	371	413.5	76	371

Fitness to practise			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
15.	Time from receipt of referral to final IC/CE decision:	Longest case	-	-	-	667	99	667	667	99	667
		Shortest case	-	-	-	91	69	69	91	69	69
16.	Time taken from final IC/CE decision to final FtPC decision or other final disposal of the case:	Median	-	-	-	256.5	-	256.5	256.5	-	256.5
		Longest case	-	-	-	388	-	388	388	-	388
		Shortest case	-	-	-	196	-	196	196	-	196
17.	Time from receipt of referral to final FTFC determination/or other final disposal of the case:	Median	-	-	-	749	-	749	749	-	749
		Longest case	-	-	-	1,263	-	1,263	1263	-	1263
		Shortest case	-	-	-	290	-	290	290	-	290
18.	Number of open referrals and cases (at the end of the quarter) which are older than:	52 weeks – 103 weeks	353	0	353	415	0	415	415	0	415
		104 weeks – 155 weeks	139	0	139	167	0	167	167	0	167
		156 weeks and above	75	0	75	91	0	91	91	0	91

Fitness to practise			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
19.	Median time to interim order committee decision:	From receipt of referral	79.5	-	79.5	362	44	255.5	203	44	141
		From decision that there is information indicating the need for an interim order	12.5	-	12.5	19	27	21	19	27	19
20.	The number of interim orders which have not been reviewed within the timeframe set by the relevant panel:		0	0	0	0	0	0	0	0	0
21.	The number of High Court extensions to interim orders:	Applied for	4	0	4	25	0	25	29	0	29
		Granted	0	0	0	9	0	9	9	0	9
		Rejected	0	0	0	0	0	0	0	0	0
22.	Total number of registrant appeals in the quarter which are:	Ongoing	3	0	3	3	0	3	3	0	3
		Opened	0	0	0	1	0	1	1	0	1
		Concluded	0	0	0	1	0	1	1	0	1

For those regulators that operate processes for which the following apply, we will ask you to provide this information:

Fitness to practise			Q3			Q4			Annual		
			Legacy	Social Work England	Total	Legacy	Social Work England	Total	Legacy	Social Work England	Total
24.	Number of voluntary erasure/removal applications: Prior to FTP case being considered by an IC/CE	Received	1	0	1	2	0	2	3	0	3
		Granted	0	0	0	2	0	2	2	0	2
25.	Number of voluntary erasure/removal applications: Subsequent to the FTP case being considered by an IC/CE.	Received	0	0	0	2	0	2	2	0	2
		Granted	0	0	0	0	0	0	0	0	0
26.	Number of voluntary erasure/removal applications	Registrar	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
		Case Examiner/Investigating Committee	0	0	0	2	0	2	2	0	2

[illegible]

29.	Number of cases referred back to the IC/CE (following a previous referral to an FTP Committee) and a termination is made where:	The request was made by the regulator	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
		The request was made by the registrant	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a

4. Other data

Other			Q3	Q4	Annual
30.	Number of new judicial review applications (where leave has been given) relating to:	Registration processes and decisions	0	0	0
		Guidance and standards processes and decisions	0	0	0
		Education quality assurance processes and decisions	0	0	0
		FTP processes and decisions	0	0	0
31.	Number of data breaches reported to the Information Commissioner's Office:		1	0	1

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

Agenda Item: 6.1 Data Protection Officer's Annual Report

Purpose of the paper:

The annual report of the Data Protection Officer, relating to the period ending 31 March 2020.

The report is intended to provide information regarding Social Work England's compliance with its legal obligations in respect of personal data, and the governance it adopts in its approach to data protection.

Actions required by the Board: For information

(please select from drop down list)

Board Report:

Choose an item.

(please select from drop down list)

Recommendation(s) to the Board:

The Board is invited to:

Consider and acknowledge the report.

Executive Lead:

(please select from drop down list)

Philip Hallam

Author:

Gregory Lawton, Data Protection Officer & Head of Data Protection and Information Governance

Appendices: (please list)

About Social Work England

Social Work England assumed its role as the regulator of social workers in England on 2 December 2019. The organisation's statutory aims, objectives, powers and responsibilities are set out under the Children and Social Work Act 2017 and the Social Workers Regulations 2018.

In the exercise of its functions, it processes the personal data of social workers, members of the public, education and training providers, its own staff, and third parties such as businesses that provide services under contract. This data is used in a variety of ways. This includes, for example, maintaining the register of social workers, dealing with concerns raised about those on its register, and keeping stakeholders up to date with information about the organisation. In some circumstances, Social Work England shares personal data with other organisations, in accordance with its statutory roles and responsibilities.

Social Work England is registered as a data controller with the Information Commissioner's Office. Its ICO registration number is ZA498223.

Activities and approach

Establishing Social Work England as an organisation has involved building an information governance framework from its foundations, with a requirement to ensure it is sufficiently robust and capable of providing adequate assurance. This has included, amongst other things:

- Providing training and support throughout the organisation
- Creating and implementing a framework of policies and procedures
- Establishing an Information Governance Steering Group (IGSG)
- Responding to individual data rights requests
- Conducting data protection impact assessments
- Responding to and learning from data incidents
- Establishing and reviewing contracts with third parties
- Cataloguing information assets and data processing activities
- Responding to the results of internal audits

- Establishing reporting governance to the Board, the Audit, Risk and Assurance Committee and the Executive Leadership Team.

The organisation's work to develop and embed the above will continue into 2020/21.

Individual data rights requests

Social Work England received 31 individual data rights requests in this reporting period, for which a response was due by 31 March 2020. 30 of these were subject access requests and 1 was a request for erasure. 30 of these requests were responded to within the statutory timeframes.

On the one occasion where the statutory timeframe was not met, two requests were received on the same day from the same person and due to the complexity of one of the requests, a letter was sent out extending the deadline. However, the extension letter was sent out two days after the deadline for responding.

The number of individual data rights requests had been increasing, and significantly so, in the period before the Coronavirus 'lockdown' commenced in the UK. The number of requests decreased at the beginning of the lockdown period, but it is anticipated that this will increase again as restrictions are eased.

Data incidents

26 data incidents were reported to, and investigated by, the organisation.

This figure includes 13 data breaches, 11 'near misses' and 2 non-Social Work England data incidents.

A near miss is defined for these purposes as a data incident that had the potential to cause or amount to a data breach but did not do so; there was no access to personal data outside of the organisation.

'Non-Social Work England data incidents' include, for example, where Social Work England has been sent personal data in error, or a member of staff has found personal data left on the

premises. Such incidents are logged so that, if necessary, the organisation can demonstrate how it dealt with the situation.

Social Work England has adopted an internal response system for data incidents, based on the degree of risk to the rights and freedoms of the data subject(s) and the number of data subjects affected. None of the data incidents have been assessed as resulting in a high risk to those rights and freedoms.

The types of incidents have involved, for example, emails being sent to the wrong email address, or where 'BCC' should have been used on an email instead of 'CC'. The IGSG reviews incidents on a regular basis. Organisational changes designed to reduce the risk of repetition, such as the provision of training or IT measures such as data classification and warnings where an email address comes from an external recipient, have been implemented in response. The IGSG also has oversight and input into the actions taken.

The organisation continues to adopt a policy of notifying the person whose data was involved in the breach if he or she was not already aware. This often goes further than is required in the guidance from the ICO, in that the person will be informed where the guidance does not say it is strictly necessary. This is done with a view to ensuring transparency.

1 incident has been reported to the ICO. This was done within the 72-hour statutory timeframe. No action was taken against Social Work England.

Albeit using a limited dataset, any common themes have been identified and appropriate steps taken to reduce the risks relating to data incidents.

The organisation continues to foster and develop a supportive culture which allows staff to learn from mistakes, encourages transparency and continuous improvement and simultaneously recognises the responsibility that each person has for data protection. It is a "systems first" approach, which recognises that people make mistakes and strives in the first instance to improve the systems and support given to people to help them protect data.

Training

Employees and board members have been asked to complete a GDPR e-learning module. This was completed by 98.2% of employees and 7 out of 9 board members.

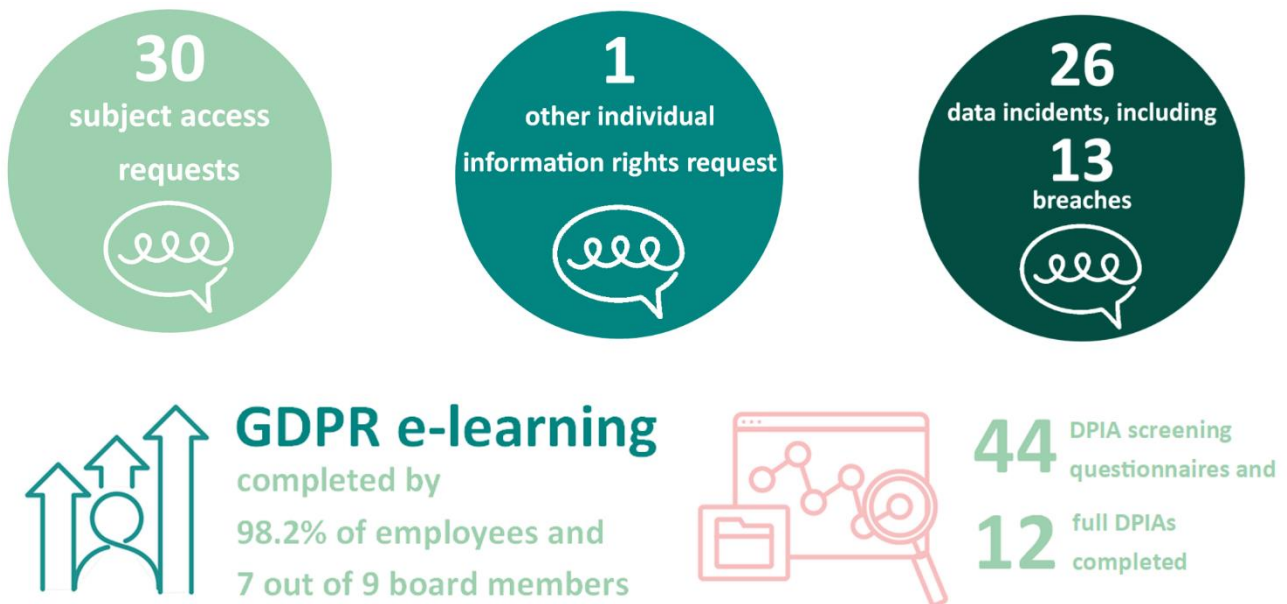
Data Protection Impact Assessments (DPIAs)

A DPIA screening questionnaire is used to help identify the need for a full DPIA, which involves more extensive consideration of the data protection risks and how these can be mitigated.

44 DPIA screening questionnaires and 12 full DPIAs were completed in the period up to 31 March 2020.

The requirement to complete a DPIA screening questionnaire has now been implemented into the organisation's policy and business case procedures, to help ensure that risks are considered at an early stage whenever new procurement is being contemplated, or a new policy is being developed. Towards the end of March 2020, the focus on completing DPIA screening questionnaires and DPIAs was beginning to achieve greater traction within the organisation. However, there is more to do in this regard. Establishing a new regulator involved significant procurement and policy development activities, and work is ongoing to ensure that the risks are captured fully and sufficient mitigation is in place.

The year in numbers – at a glance



Areas of risk and looking to the future

Whilst the organisation assumed its regulatory responsibilities on 2 December 2019, its data processing activities commenced before that time. This included the transfer of a substantial amount of personal data from the Health and Care Professions Council. On occasions where issues or risks have arisen in the use of the data, the organisation's response to address them has been robust, though it continues to face challenges as new risks are identified.

The organisation has made good progress in establishing its information governance framework and will continue to embed this into the new financial year. The Data Protection and Information Governance team has recently recruited an Information Governance Officer, so expects to be better resourced from July 2020 onwards. This will be particularly important as the organisation develops and engages in more complex activities, for example where it develops data sharing arrangements with other organisations. The level of resource in the team will be kept under review so that it continues to meet demand as the organisation evolves.

Areas where further work is needed (and ongoing) include:

- Technical measures to give effect to data classification
- Technical measures to give effect to data retention periods (as the organisation's data ages with it), to ensure that data is kept where it is needed, but for no longer than necessary
- Embedding the process of development and review of DPIAs
- Increasing ownership of information assets.

Final thoughts

First and foremost, our focus and concern is for the rights and freedoms of the people whose personal data we hold. When we get it wrong, these rights and freedoms may be placed at risk and as a consequence, the trust and confidence that people have in Social Work England could be affected. Our focus and energy must continue to be on protecting the rights and freedoms of data subjects, and the trust and confidence people have in the organisation will follow suit.

I am not sure it would ever be possible to provide guarantees in absolute terms as to the protections afforded to personal data, the integrity and quality of it, or the organisation's continued compliance with its legal obligations at all times. None are given with this report. Indeed, there needs to be continued focus on embedding the right governance, policies, processes, protective measures and culture in a young organisation. However, I am satisfied that the organisation is taking appropriate steps to identify and reduce data protection risk, and to learn, develop and improve when the need to do so arises.

Gregory Lawton

Head of Data Protection and Information Governance

Data Protection Officer

Report prepared: 23 June 2020

Social Work England

Board Meeting

Date: Friday 26 June 2020

(please select from drop down list)

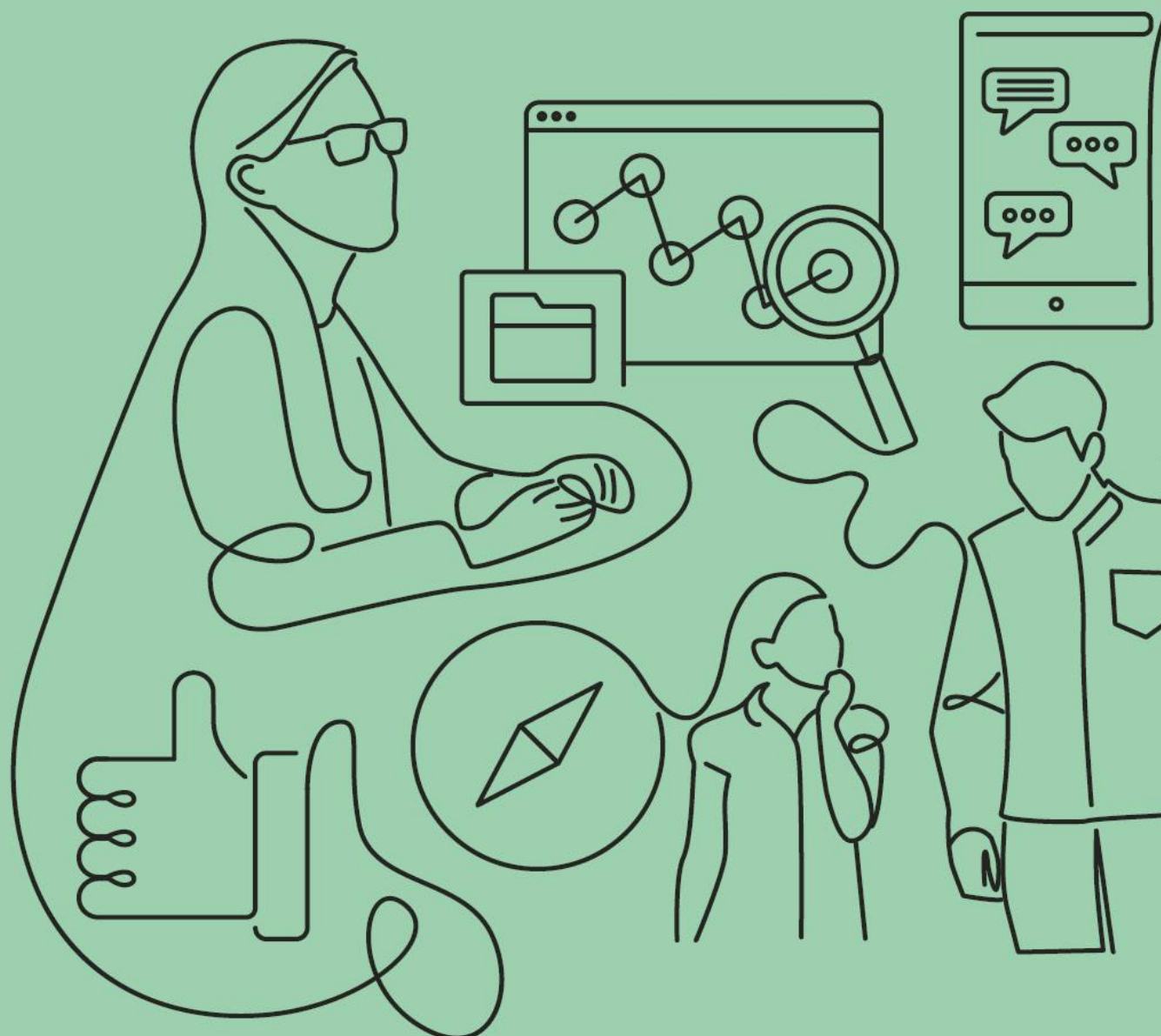
Agenda Item: 6.2 Terms of Reference

Purpose of the paper:	
To present the Board, following the recent review, with the updated Terms of Reference for the Board and its sub-committees.	
Actions required by the Board: For decision (please select from drop down list)	
Board Report: Choose an item. (please select from drop down list)	
Recommendation(s) to the Board:	
The Board is asked to approve the updated Terms of Reference.	
Executive Lead: (please select from drop down list)	Tracy Watterson
Author:	Alison Edbury, Governance Manager
Appendices: (please list)	

VERSION	V0.2
Date	April 2020

Social Work England Board

Terms of Reference



SOCIAL WORK ENGLAND BOARD

TERMS OF REFERENCE

Introduction

Social Work England was established under the Children and Social Work Act 2017 (“the Act”) to be a new single-profession regulator for social workers in England. It is a separate legal entity in the form of a non-departmental public body (“NDPB”) and operates at arm’s length from Government.

Social Work England was established on 1 April 2018. It took on its regulatory functions on 2 December 2019.

Social Work England regulates all social workers in England.

The Board is the governing body for Social Work England.

Purpose

The Board provides leadership, direction and the overall strategy for the organisation. It is responsible for overseeing the full range of Social Work England’s regulatory functions, including setting professional standards and standards for education and training for all social workers; establishing and running a fitness to practise system; and holding a register of social workers in England. The Board ensures effective arrangements are in place to provide assurance on risk management, governance and internal control.

Responsibilities

The Board’s specific responsibilities include:

- establishing and taking forward the strategic aims and objectives of Social Work England
- ensuring that the Department for Education and the Department of Health and Social Care are kept informed of any changes likely to impact on the strategic direction or targets, and determining the steps needed to deal with such changes

- ensuring that any statutory or administrative requirements for the use of public funds are complied with; that the Board operates within the limits of its statutory authority, any delegated authority including conditions related to the use of public funds
- ensuring that the Board receives and reviews regular financial information concerning the management of Social Work England; is informed in a timely manner about any concerns
- demonstrating high standards of corporate governance at all times
- establishing a publicly accessible register to list all the interests of its Board members.

Therefore, the Board will ensure effective arrangements are in place to:

- Provide strategic direction and challenge to the Chief Executive, and through the executive senior leadership team, in running the organisation.
- Ensure Social Work England's strategic direction and corporate objectives are in line with the core purpose.
- Provide assurance and ensure effective systems are in place for managing performance, risk, governance and internal control.
- Maintain probity in, and public accountability for, the exercise of Social Work England's functions and the use of public funds.

Membership

It is the responsibility of the Secretary of State for Education ("Secretary of State"), in consultation with the Department of Health & Social Care (DHSC), to make Chair and Board member appointments to Social Work England's Board.

The Secretary of State may remove a member, by notice in writing. Appointment processes will be carried out in line with the [Governance Code for Public Appointments](#). The Board operates in accordance with the [Code of Good Practice for Corporate Governance](#).

The membership of the Board consists of:

- The Chair
- Non-Executive Directors
- The Chief Executive

There are two sub committees made up from the members of the Board, the Audit, Risk and Assurance Committee (ARAC) and the Remuneration Committee.

Social Work England will comply with all the requirements for an NDPB and the principles of good governance for public bodies in ensuring that non-executive members will always be in the majority on the Board. This is to ensure that the organisation's executive is supported and constructively challenged in their roles.

Decision-making

Decisions by the Board are normally be made by consensus and in accordance with the [Social Work England Board Code of Conduct](#).

The decisions made by the majority of Board members will be considered as if made by the whole group. Decisions and actions will be recorded within the minutes of the meeting.

Meetings

Meeting arrangement are as follows:

- the Board meets six times a year
- the Chair, or Chief Executive, may convene additional meetings, as they deem necessary
- the minimum number of non-executive members for the Board to be quorate is three plus the Chair
- Board meetings will normally be attended by the Executive Leadership Team and the Sponsor Team (DfE/DHSC)
- other members of Social Work England's staff may be invited to attend the Board meetings as and when required
- as part of our commitment to openness and transparency, members of the public are welcome to attend and observe Board meetings held as an open session. Places for members of the public to attend board meetings as a guest will be allocated on a first come first served basis and will be limited according to the meeting room capacity.

Reporting

The Governance Manager will provide secretariat for the Board. The minutes of all Board meetings will be recorded including the recording of decisions made by the Board.

The minutes of the meetings and papers, as appropriate, will be published on the Social Work England website.

The agenda and papers for Board meetings are issued at least three working days before the meeting.

The Chair is asked to agree the minutes before they are presented to the Board for approval at the following meeting.

Access

The internal auditors, external auditors or their representative and the Sponsor Team will have free and confidential access to the Chair of the Board.

Social Work England's Data Protection Officer will have independent access to and will be able to report to the Board at any time.

Information requirements

After the end of each financial year, the Board must prepare and publish an Annual Report and Accounts (ARA), which sets out its activities together with its audited accounts.

Review and Evaluation

The Chair will review the effective working of the Board and its members on an annual basis as set out in the [Code of Good Practice for Corporate Governance](#). The Chair will usually do this annually.

The Board will undertake a regular review of its own performance against an appropriate evaluation framework.

The terms of reference of the Board shall be reviewed regularly.

AUDIT, RISK and ASSURANCE COMMITTEE

TERMS OF REFERENCE

Purpose

The Board has established an Audit, Risk and Assurance Committee (ARAC) as a sub-committee of the Board to support them in their responsibilities for issues of risk, control and governance.

Responsibilities

The ARAC advises the Board and Accounting Officer on:

- the strategic processes for risk, control and governance and the Governance Statement
- the accounting policies, the accounts, and the annual report of the organisation
- management's letter of representation to the external auditors
- planned audit activity and results of both internal and external audit
- adequacy of management response to issues identified by audit activity, including external audit's management letter
- assurances relating to the management of risk and corporate governance requirements for the organisation
- the proposals for tendering and appointment of internal auditors or for purchase of non-audit services from contractors who provide audit services
- the strategy, remuneration and the work of the National Audit Office (NAO) for the audit work undertaken on the annual accounts
- compliance with [Government Financial Reporting Manual](#) (FReM) and HMT [Managing Public Money](#)
- anti-fraud policies, whistle-blowing processes, and arrangements for special investigations.

Membership

The Chair of the Board is responsible for appointing the Chair of the ARAC. The membership consists of:

- The Chair (a Non-Executive Director who is independent of the Chair of the Board and the Chair of the REMCO).
- Non-Executive Directors who are not existing members of the Remuneration Committee, and
- The Chief Executive (Accounting Officer).

The ARAC may also:

- procure specialist ad-hoc advice at the expense of the organisation, subject to budgets agreed by the Board.

Meetings

Meeting arrangement for the ARAC will be as follows:

- the ARAC meets at least four times a year. The Chair of ARAC may convene additional meetings, as they deem necessary
- a minimum of two non-executive director members of the ARAC will be present for the meeting to be deemed quorate, including the Chair
- ARAC meetings will normally be attended by the:
 - Internal auditors
 - National Audit Office (External Audit) or their representatives
 - Sponsor Team (DfE/DHSC)
- ARAC may ask any other post holder within Social Work England to attend to assist it with its discussions on any particular matter.
- ARAC may ask any or all of those who normally attend but who are not members to withdraw from a meeting to facilitate open and frank discussion of particular matters
- the Board or the Accounting Officer may ask the Audit, Risk and Assurance Committee to convene further meetings to discuss particular issues on which they want the Committee's advice.

Decision-making

The Audit, Risk and Assurance Committee acts only in an advisory capacity and has no executive or decision-making powers.

Reporting

The ARAC will report to the Board.

The minutes of meetings will be confidential and will not be reported at the public element of any full Board meeting.

Access

The internal auditors, external auditors or their representative and the Sponsor Team will have free and confidential access to the Chair of ARAC.

Social Work England's Data Protection Officer (DPO) will have free and confidential access to the Chair of ARAC.

Review and Evaluation

The ARAC will also periodically review its own effectiveness and report the results of that review to the Board.

The terms of reference of the ARAC shall be reviewed and reapproved periodically.

REMUNERATION COMMITTEE

TERMS OF REFERENCE

Purpose

The Board has established a Remuneration Committee (REMCO) as a sub-committee of the Board to support the Board and the Chair of Social Work England.

The purpose of the Board's REMCO is to:

- Advise the Board who then advises the Secretary of State for Education annually on the remuneration of the Chief Executive.
- Support the succession planning for the Chief Executive.
- Advise the Board on appointing Chief Executives subsequent to the first Chief Executive.

The Board and the REMCO should have regard to Chapter 5 of the [Cabinet Office's Public Bodies: A Guide for Departments](#) that provides guidance on staff issues in public bodies including the Chief Executive.

Decision-making

The REMCO acts only in an advisory capacity and has no executive or decision-making powers.

Membership

The Chair of the Board is responsible for appointing the Chair of the Remuneration Committee.

The membership of the REMCO is comprised of:

- The Chair (a Non-Executive Director who is independent of the Chair of the Board and the Chair of ARAC).
- Non-Executive Directors who are not existing members of the Audit, Risk and Assurance Committee.

The Chair of the Board should attend meetings, as appropriate, to discuss the Chief Executive's remuneration and performance.

Meetings

- the REMCO will meet at least once a year
- the Chair of the REMCO may convene additional meetings, as they deem necessary
- a minimum of three non-executive director members of the REMCO will be present for the meeting to be deemed quorate, including the Chair.

The Department of Education's ("DfE") Director of HR may attend meetings, as the Secretary of State's representative to advise on senior remuneration policy across the public sector and how this has been applied to other NDPBs.

The REMCO Chair, on behalf of the REMCO members may:

- invite the Chief Executive to attend any parts of its meetings excluding when the Committee is discussing the Chief Executive's own remuneration, and to take part in discussions excluding REMCO's decision-making process
- ask any other post holder within Social Work England to attend to assist it with its discussions on any particular matter
- ask any or all of those who normally attend, but who are not members, to withdraw from a meeting to facilitate open and frank discussion of particular matters.

The Chair of the Board may ask the REMCO to convene further meetings to discuss particular issues on which they want the Committee's advice.

Reporting

The REMCO Chair will report to the Chair of the Social Work England Board after each meeting.

The minutes of meetings will be confidential and will not be reported at the public element of any full Board meeting.

Access

The Department will have free and confidential access to the Chair of REMCO.

The internal and external audit teams will have access to the Chair of the REMCO and its members.

Review and Evaluation

The REMCO will periodically review its own effectiveness and will report the results of that review to the Board.

The terms of reference of the REMCO will be periodically reviewed and reapproved.