

# Quarter 2 Performance Report for the Board

Item 6b Paper Ref: 04

**October 2020**

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Executive Lead: Greg Ross-Sampson

Reviewed by: Executive Leadership Team



# Executive summary (1/3)

## Fitness to Practise (Jonathan Dillon)

At the end of September the overall fitness to practise caseload was at its highest level since December 2019. This was primarily the result of delays at the triage stage during a service restructure in August and September and progression being frustrated at the final hearings stage due to Covid-19 restrictions. Arrangements are now in place to increase productivity within the triage service as a result of the restructure and to recommence hearings activity using remote technologies. Encouraging progress was made during the quarter within the investigations service, resulting in a reduction in the core caseload and increased productivity across the case examiner stages. The quality assurance framework for decision-making across all stages of the service has provided assurance that decisions remain at a high standard. There have been no appeals of hearing decisions to the High Court during the quarter.

## Education Quality Assurance (Philip Hallam)

All inspections are now undertaken remotely, in order to continue activity in line with Covid-19 restrictions. During the quarter, 5 inspections, 1 extraordinary inspection and 14 requests for changes to courses have been completed. During the quarter, we have also published our first annual monitoring return to all providers. This return includes a voluntary request for some data relating to equality and diversity, enabling us to begin to develop our understanding in this area. Further information on the annual monitoring process can be found [here](#).

## Registration (Philip Hallam)

We have received a very high number of applications in the quarter, with the majority being received from UK graduates across all our approved courses. Alongside this, on 1 September 2020 we commenced our first annual renewal period for all registrants, and this will continue until 30 November 2020. We have continued to support registrants and applicants with a broad range of queries, including assisting with online account creation, CPD and payment queries, and issues relating to overseas applications and restrictions caused by coronavirus in applicants' home countries. We have also undertaken significant work with education providers to ensure the efficient receipt of pass lists for new graduates, to help us process these applications as quickly as possible. The registration team has been expanded on a temporary basis to increase capacity to support the above activity, and this has been achieved with almost all of the team working from home throughout the quarter.

# Executive summary (2/3)

## Information Governance & Legal (Philip Hallam)

The legal team continue to provide support and advice across the organisation, in addition to their work supporting aspects of our regulatory processes. Activity this quarter has included advising on contractual arrangements with suppliers, considering the outcomes for Social Work England as we leave the European Union, and advising on specific areas of our fitness to practise, registration and education quality assurance work. We have also supported the Chair's evidence to Independent Inquiry into Child Sexual Abuse (IICSA) and prepared papers on a variety of issues for the executive leadership team.

We continue to develop and improve our approach to information governance, and activities within the quarter have included: implementing our organisation-wide approach to data sensitivity labels; advising on organisational initiatives which relate to our personal data; and working to prepare for the implementation of our data retention solution to ensure that information is appropriately retained and deleted. Additionally, the team continues to respond to Freedom of Information (FOI) and Subject Access Requests (SARs), with 32 FOI requests and 46 SARs closed during the quarter, and to manage any data incidents which arise. There have been no data breaches reported to the Information Commissioner's Office during the quarter; it has been determined that none met the threshold at which this would be necessary.

## Strategy, Policy and Engagement (Sarah Blackmore)

The focus throughout this quarter has been the continued engagement and dialogue with the sector on continuing professional development (CPD) compliance and renewals. There has been excellent collaborative working across the communications, regional engagement and registration teams to ensure the message is clear. This has borne out through the significant milestone of more than a third of the profession having now uploaded CPD.

We have continued to raise our profile externally through regular articles in trade press (including Community Care and Professional Social Work), attendance at key network events with stakeholders, and developing policy in collaboration with other regulators. Our conversations on the future of social work and our vision for the profession with both departments and the Chief Social Workers are also paving the way for an ambitious new approach to the social work career pathway, including the key new developments in mental health. Our National Advisory and Education and Training Advisory Forum are working well, meeting regularly and similarly developing ambitious plans, such as the first Social Work Week, that will contribute to the effective delivery of our corporate strategy.

# Executive summary (3/3)

## Corporate (Greg Ross-Sampson)

This quarter we have focused on strengthening our resilience and capability of corporate services whilst supporting our people to work remotely, as well as beginning our business planning for next year. Our IT infrastructure has performed well with minimal impact on performance, even with everyone working remotely. Development of Forge continues at pace with online direct debit and renewals services developed over this quarter. Our IT resilience has improved with hires of a systems analysis manager and business analyst. Work has begun on the retendering of the IT digital delivery contract.

Our quality assurance framework has been in place since April 2020 and all audits and process reviews scheduled over this quarter have been completed except for the process review focused on triage. It was due to commence in September and was delayed by 3 weeks, work on this review has now begun.

We received 67 corporate complaints over this quarter. Although this is slightly higher than the to-date average of 54 per quarter, considering the high volume of application-related activities, it should be viewed positively.

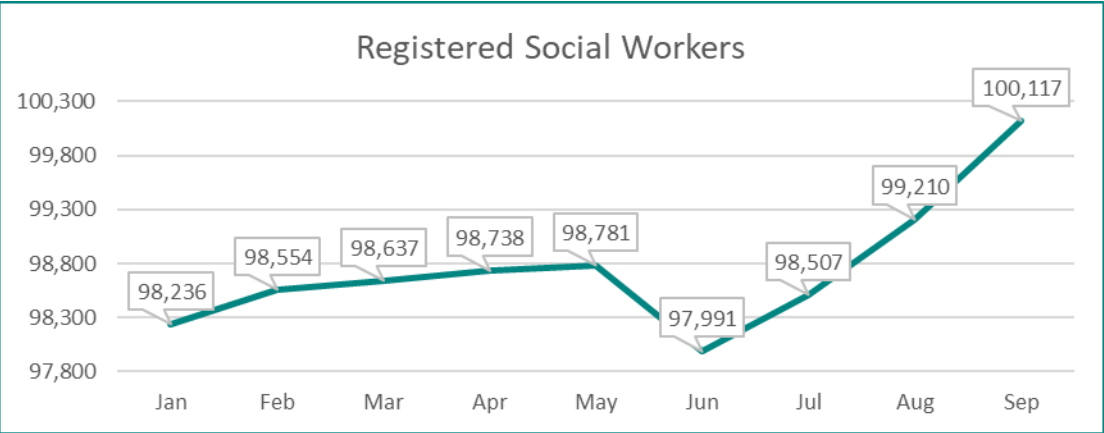
Work has begun on the business planning cycle for next year. Significant work has been undertaken on the strategic risk register. Our data insight and analytic capability has strengthened by the recruitment of an additional management information (MI) analyst. Further recruitment of a senior MI analyst and research manager will occur in quarter 3. We currently have 7 major projects: delivery of Forge, including development of new functionality, long-term planning and upskilling users to maximise usage; implementation of the new corporate system; implementation of our data retention approach; delivery of our approach to CPD; delivery of the renewals period; development and implementation of our EDI strategy; and development of our data strategy.

## People & Business Support (Tracy Watterson)

The focus this quarter has been on continuing to support our people during the Covid-19 changes which saw a successful return to office pilot before shifting focus back to pre-dominant home working. We have continued to adapt our ways of working and have had a busy period of recruitment. This has included changing our induction and learning and development approaches to fully online. The Good Governance Institute have been working with us on a review of board effectiveness that has enabled us to streamline processes and paperwork. We have continued to re-plan our budget and forecast in the light of the changes we have had to make in terms of our operating structures. This has meant while we have found savings in travel and subsistence for instance, while we have needed to recruit additional short-term resources to effectively manage our online hearings. We recently signed a contract for a new corporate service and have begun the deployment work to configure the service for finance, learning and development, HR and commercial.

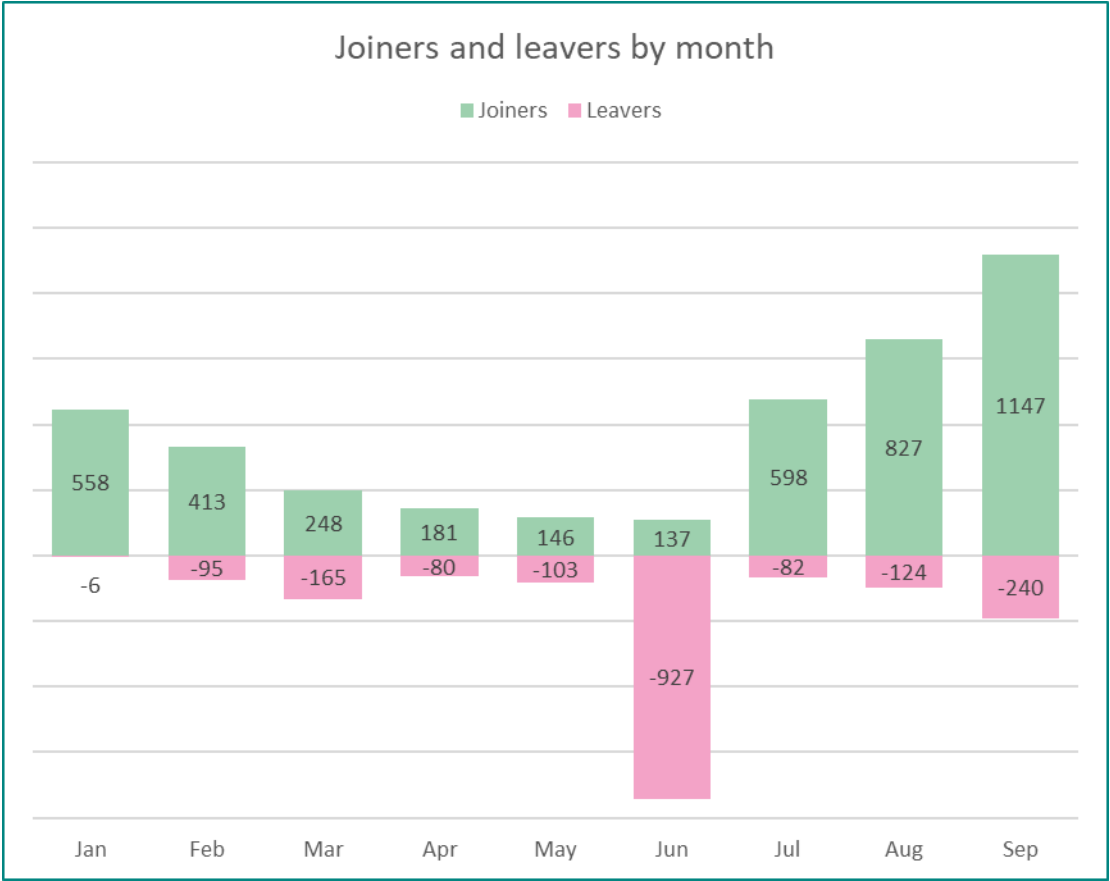
# The register

Between 1 July – 30 September 2020, 3384 applications for registration have been received. 95.57% of these relate to applications from UK qualified applicants and represent the bulk of new graduates for the registration year. The large number of leavers in June was due to non-payment of fees through direct debits. A significant proportion of these leavers re-joined the register in July.



And there are **9,184** social workers with temporary registration

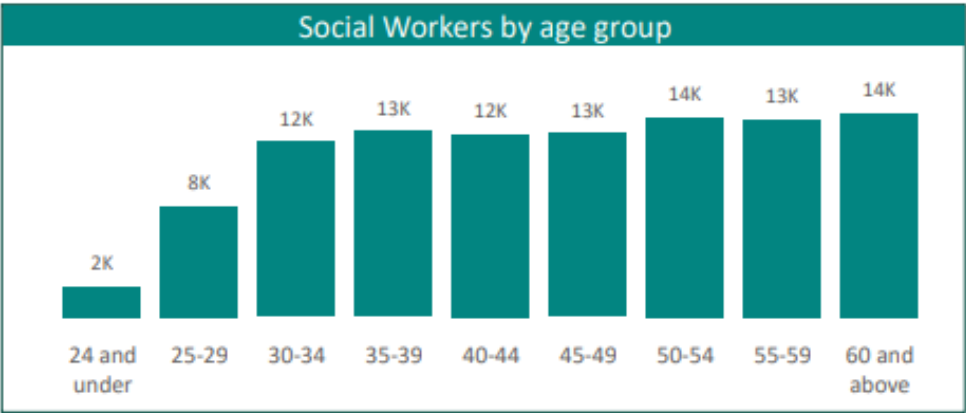
| Social workers by route of entry to the register |                      |
|--------------------------------------------------|----------------------|
| Route                                            | No of social workers |
| UK                                               | 3,277                |
| Overseas                                         | 179                  |
| EEA                                              | 65                   |
| TBC                                              | 96,596               |



# The register - demographics

As part of the 2020 renewal period, we are collecting information on nationality from registrants. This was not previously held. We hope that by the end of the renewal period we will have a complete nationality dataset.

At the end of the 2020 renewal period, we will begin to ask registrants to complete an equality, diversity and inclusion monitoring survey. Due to system development priorities, it has not been possible to begin to collect this information to date.



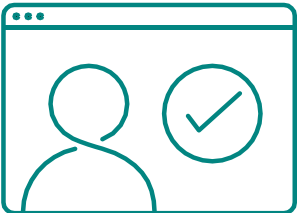
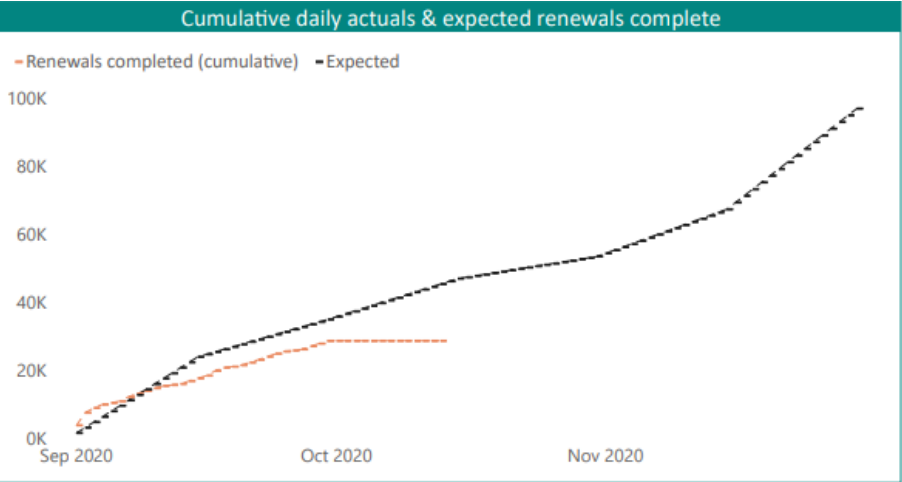
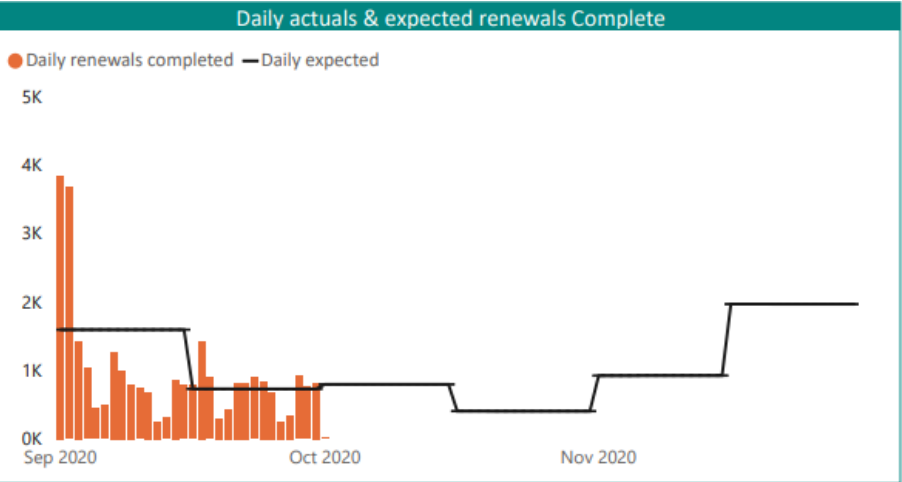
| Gender            |                |
|-------------------|----------------|
| Gender            | Social Workers |
| Female            | 82,567         |
| Male              | 17,535         |
| Prefer not to say | 9              |
| Other             | 6              |

| Nationality          |                |
|----------------------|----------------|
| Nationality          | Social Workers |
| British              | 52,803         |
| Zimbabwean           | 1,335          |
| Irish                | 577            |
| Romanian             | 312            |
| Australian           | 271            |
| Polish               | 269            |
| Nigerian             | 266            |
| Indian               | 255            |
| American             | 246            |
| Portuguese           | 235            |
| South African        | 223            |
| German               | 184            |
| Ghanaian             | 152            |
| Spanish              | 151            |
| Italian              | 103            |
| Canadian             | 92             |
| New Zealander        | 76             |
| Hungarian            | 72             |
| Ugandan              | 72             |
| French               | 69             |
| Greek                | 67             |
| Swedish              | 63             |
| Netherlands Antilles | 55             |
| Lithuanian           | 54             |
| Kenyan               | 52             |
| Other nationalities* | 808            |
| Not recorded         | 41,255         |

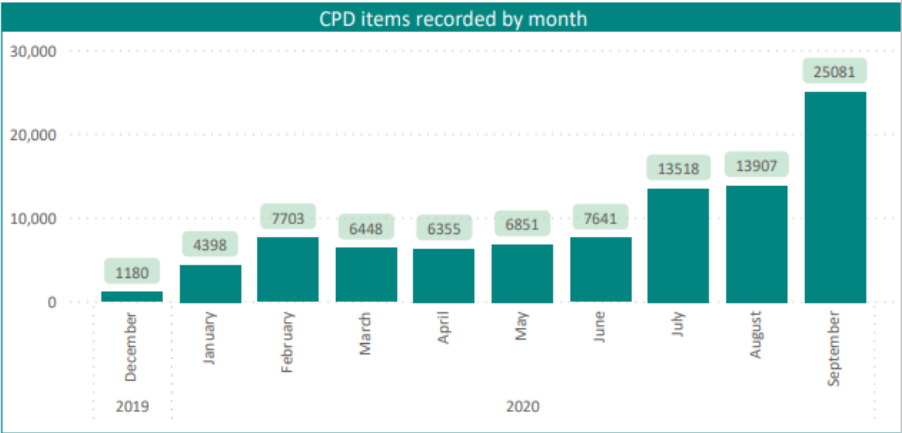
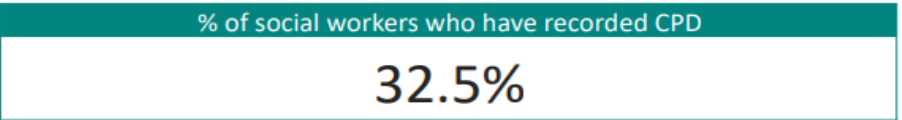
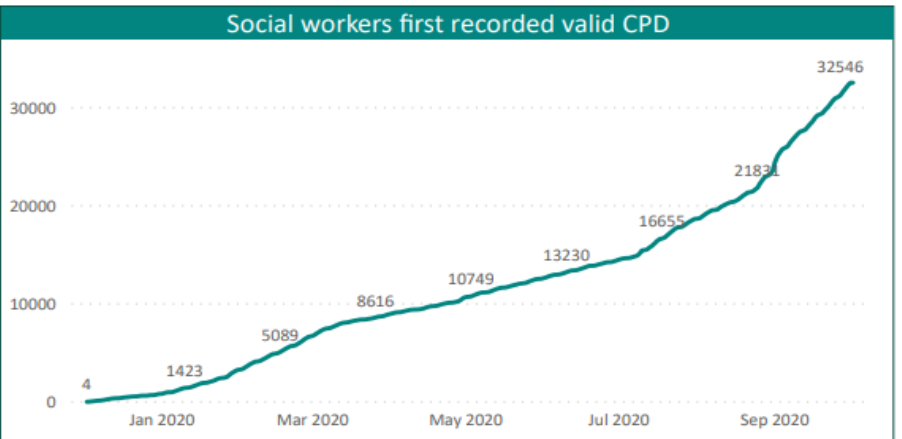
*\*98 other nationalities, fewer than 50 social workers per nationality*

# Renewals and CPD

As of 30 September 2020, 29,164 (29.1%) registrants have completed their application to renew their registration.



Of those who have completed their renewal application, 19,442 (67%) have also completed the CPD requirement.

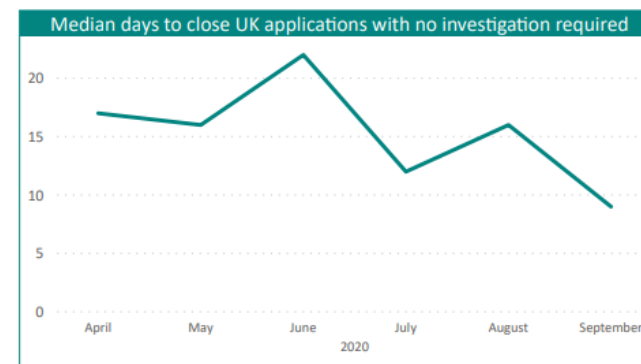
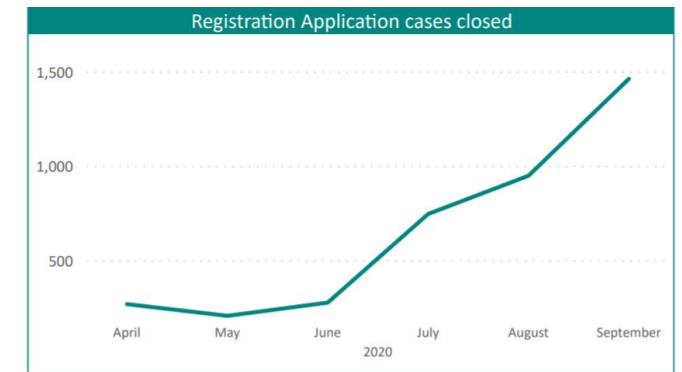
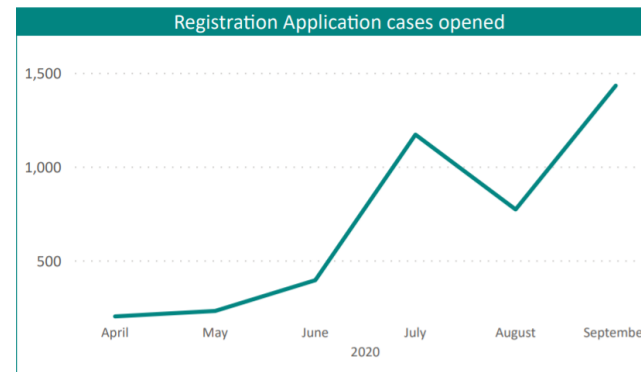
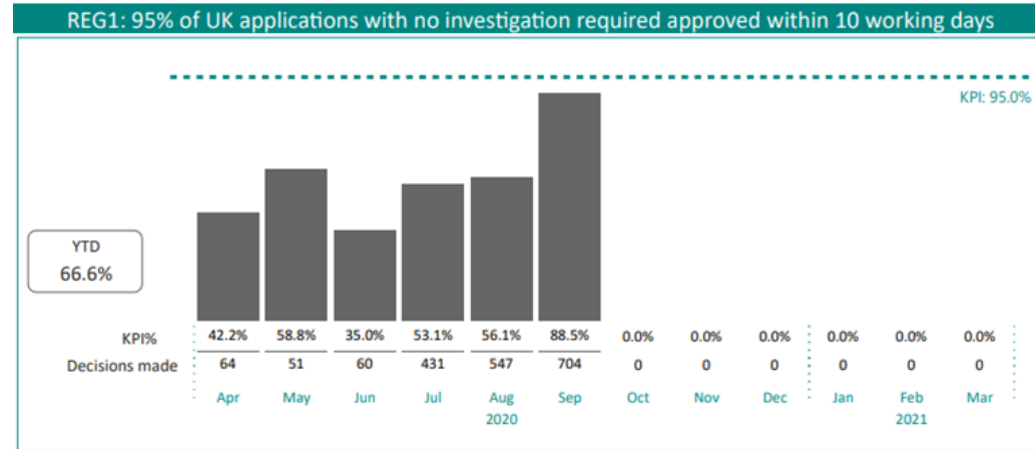


# Regulatory performance dashboard

| KPI Reference | KPI Description                                                                                             | Dec 19 to Mar 20 | 2020/21 |      |      |      |      |      |      |
|---------------|-------------------------------------------------------------------------------------------------------------|------------------|---------|------|------|------|------|------|------|
|               |                                                                                                             |                  | YTD     | Apr  | May  | Jun  | Jul  | Aug  | Sep  |
| REG1          | 95% of UK applications with no investigation required approved within 10 working days                       | 39%              | 67%     | 42%  | 59%  | 35%  | 53%  | 56%  | 88%  |
| REG2          | 90% of calls answered within 5 minutes                                                                      | 73%              | 43%     | 58%  | 37%  | 39%  | 42%  | 50%  | 40%  |
| REG3          | 95% of emails answered within 5 working days                                                                | 39%              | 55%     | 89%  | 66%  | 34%  | 34%  | 18%  | 65%  |
| TRI1          | 80% of cases progress through Triage under 28 days following establishing the case concerns a social worker | 51%              | 14%     | 20%  | 10%  | 7%   | 8%   | 15%  | 25%  |
| TRI2          | 100% of cases progress to initial review and get streamed within 10 working days                            | 75%              | 52%     | 53%  | 67%  | 66%  | 52%  | 51%  | 29%  |
| TRI3          | Target case load: 300                                                                                       | -                | -       | 298  | 307  | 429  | 442  | 439  | 543  |
| TRI4          | Target closure rate: 40%                                                                                    | 45%              | 42%     | 52%  | 49%  | 46%  | 46%  | 28%  | 25%  |
| INV1          | Target caseload: 1,100                                                                                      | -                | -       | 1356 | 1358 | 1357 | 1354 | 1372 | 1351 |
| INV2          | 80% of Social Work England cases progressed to case examiners within 6 months                               | 100%             | 62%     | 100% | 100% | 80%  | 48%  | 48%  | 43%  |
| INV3          | 80% of HCPC cases closed or progressed by 3 December 2020 (within 12 months)                                | -                | -       | 8%   | 11%  | 13%  | 17%  | 19%  | 22%  |
| CE1           | 100% of cases: 10 working days to make an initial decision                                                  | 92%              | 94%     | 100% | 78%  | 100% | 94%  | 100% | 91%  |
| CE2           | 40% of HCPC case examiner cases referred to hearing                                                         | 43%              | 48%     | 50%  | 75%  | 50%  | 50%  | 44%  | 40%  |
| CE3           | 25% of Social Work England case examiner cases referred to hearing                                          | 43%              | 15%     | 29%  | 0%   | 8%   | 0%   | 40%  | 19%  |

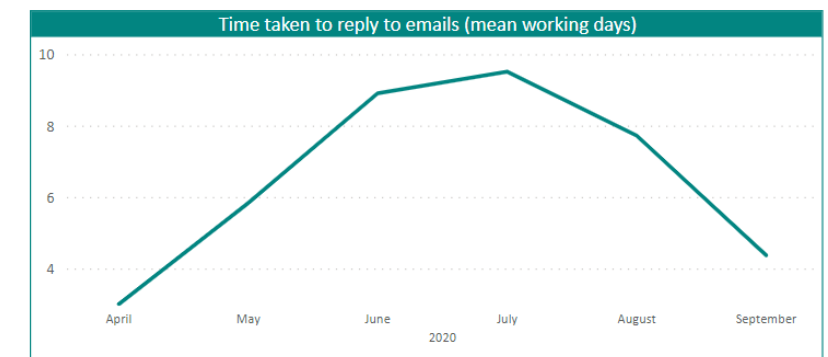
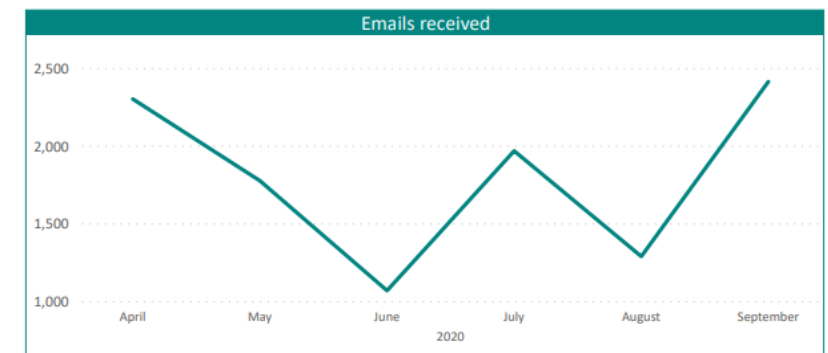
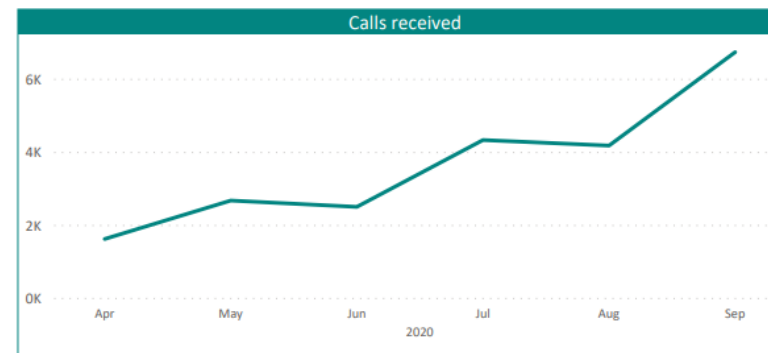
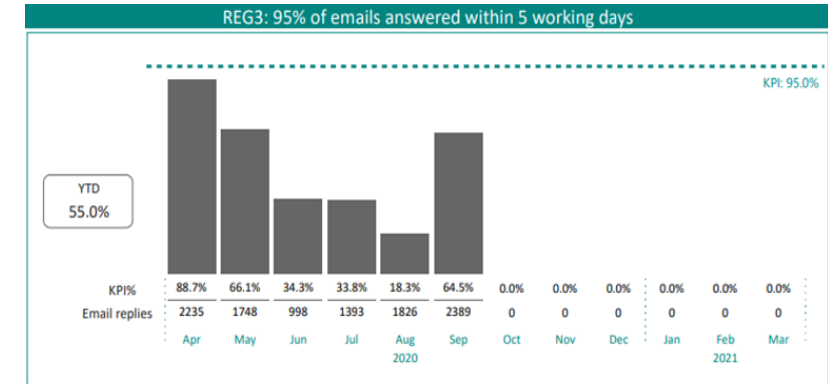
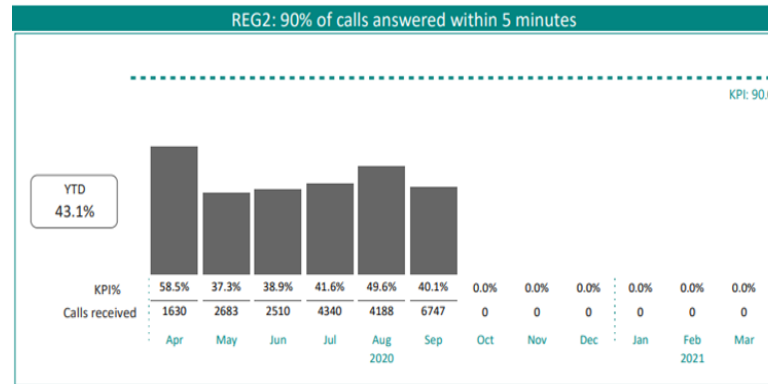
# Registration

- Our aspiration, as demonstrated by the KPI REG1, is to be able to process 95% of UK applications from receipt to decision within 10 working days by the end of the financial year. As at the end of September 2020, achievement is 88.5%.
- As can be seen from the opened and closed applications progress, there has been a significant increase in the number of applications received, and a commensurate increase in applications being closed.
- The number of registration officers has been increased from 13 FTE to 19 FTE, with 6 FTE on a fixed-term basis to provide extra capacity for the following activities: helping registrants create their online accounts for the first time; responding to queries relating to CPD and applications; and processing the high volume of UK applications received in Q2. This has helped reduce the median time to close UK applications to nine days in September 2020 despite the increase in applications received.
- Additionally, further development work in Forge has been undertaken, allowing (from 1 October 2020) registration officers to put applications 'on hold' whilst awaiting further information from applicants. The median time for Quarter 2 does not include this functionality, and therefore will be affected by applications where the officer has had to await the receipt of further information (for example identity documents or confirmation of qualification from an education provider), before completing work on the application.



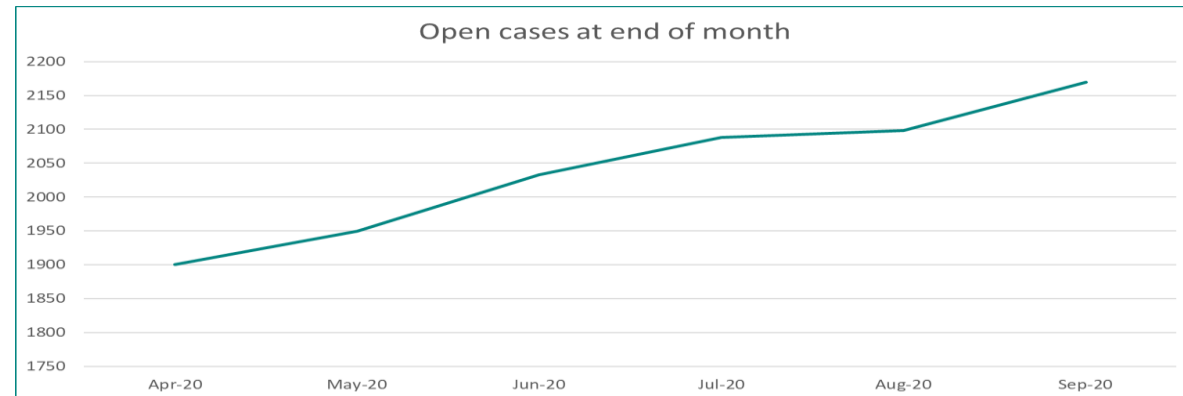
# Registration

- Our aspiration, as demonstrated by the KPIs REG2 and REG3, is to be able to answer 90% of calls within five minutes and respond to 95% of emails within five working days by the end of the financial year. We continue to work towards these KPIs, within the context below.
- Call volumes remain high with 6,747 calls received in September alone. Most of these calls relate to registration matters (as opposed to calls regarding fitness to practise), with significant volumes relating to online account creation, renewal enquiries, and issues relating to fee payment and CPD. For quarter 2, the mean queue time was between 8-10 minutes. Automated messages on our telephone system advise callers that there is a longer wait time and recommend that enquirers email us.
- Alongside this, there has been a significant variation in emails received in quarter 2, with 2,347 emails received in September 2020. As with phone calls, most emails relate to online account creation, renewal enquiries, and issues relating to fee payment, people enquiring about how to leave the register and CPD. There is information on our website that guides people – but they are keen to get a personal response. Notwithstanding the increased volume, in September 2020 the mean time to respond to email enquiries is four working days.

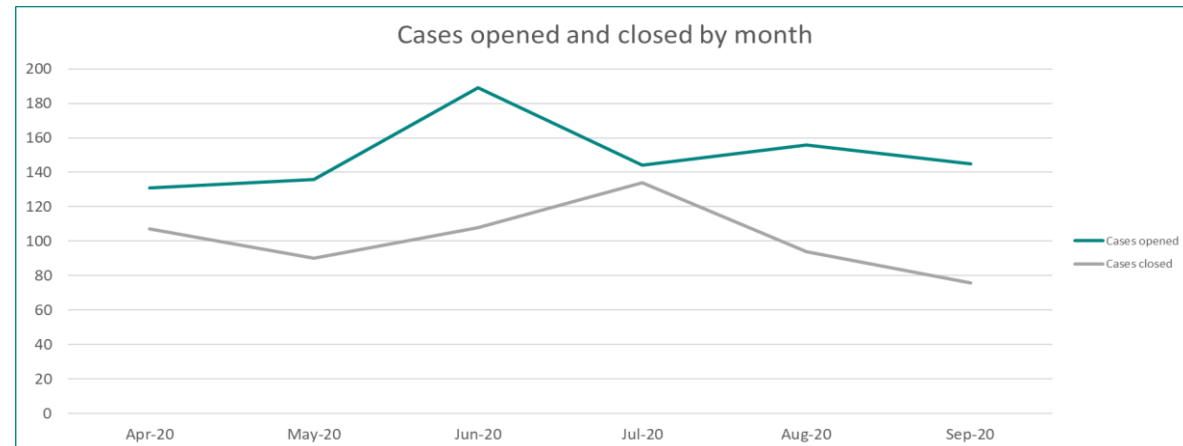


# Fitness to Practise (FtP) - overview

- The rate of new FtP referrals has stabilised in quarter 2 but has remained consistently higher than predicted at the beginning of the year.
- The percentage of closures at triage is in line with our forecast but productivity was impacted during a service restructure in August/September. That restructure will deliver increased productivity in quarter 3.
- Closure rates at the case examiner stage were restricted in quarter 1 and quarter 2 because further work was required on all transition cases before they were ready for adjudication. Referral rates to the case examiners increased significantly during quarter 2, which will result in a higher rate of case closures at the case examiner stages during quarter 3.
- Case closures at the hearings stages were severely restricted during quarter 2 as a result of Covid-19 restrictions. Quarter 3 will see the resumption of a full hearings schedule remotely.

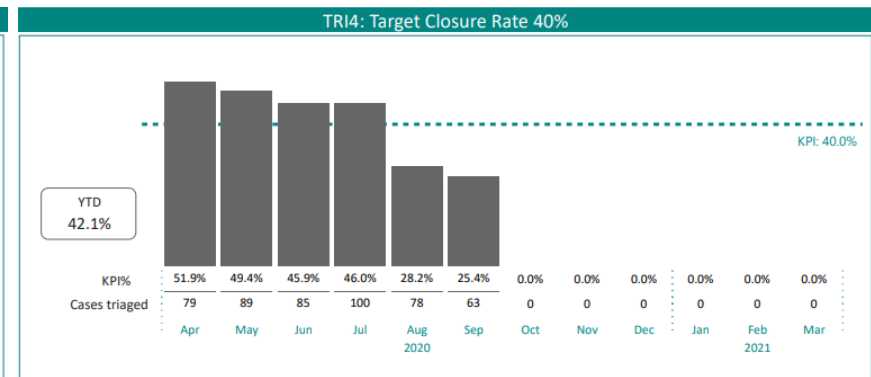
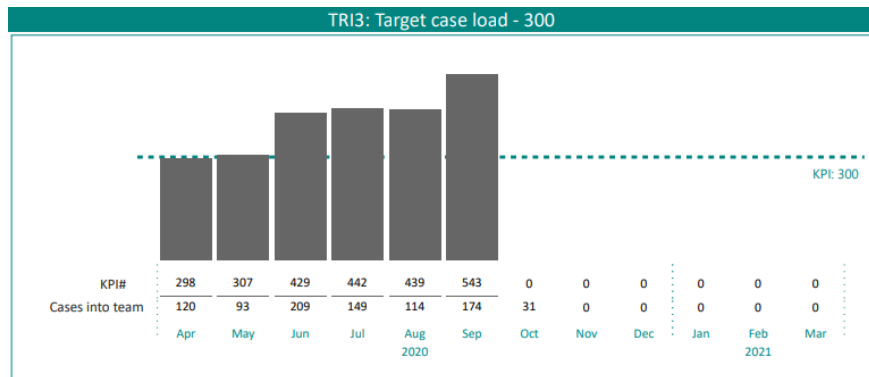
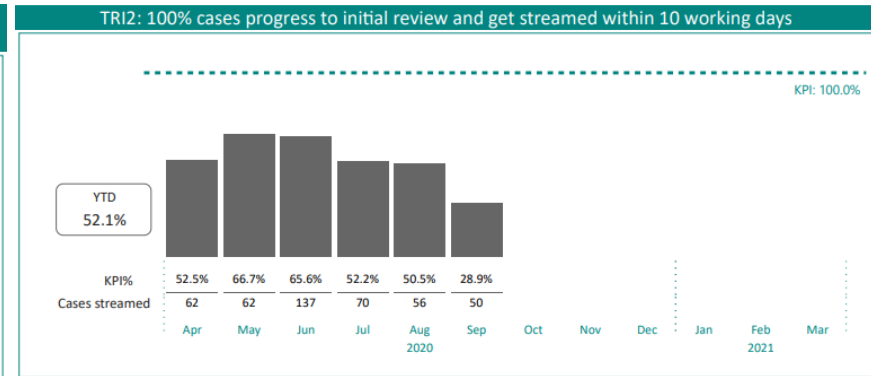
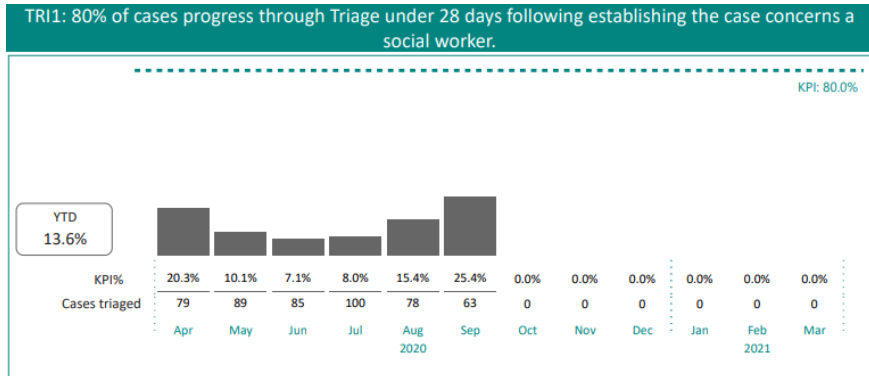


| Open cases by stage |            |            |            |            |            |            |
|---------------------|------------|------------|------------|------------|------------|------------|
| Stage               | 30/04/2020 | 31/05/2020 | 30/06/2020 | 31/07/2020 | 31/08/2020 | 30/09/2020 |
| Pre-triage          | 19         | 51         | 19         | 17         | 34         | 4          |
| Triage              | 298        | 307        | 429        | 429        | 424        | 527        |
| Investigation       | 1353       | 1355       | 1352       | 1351       | 1370       | 1348       |
| Case Examiner       | 16         | 22         | 25         | 82         | 56         | 72         |
| Adjudication        | 214        | 215        | 208        | 209        | 214        | 219        |



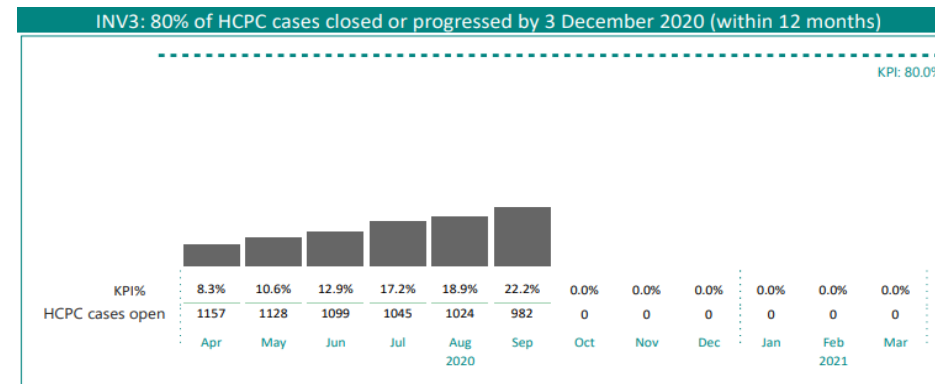
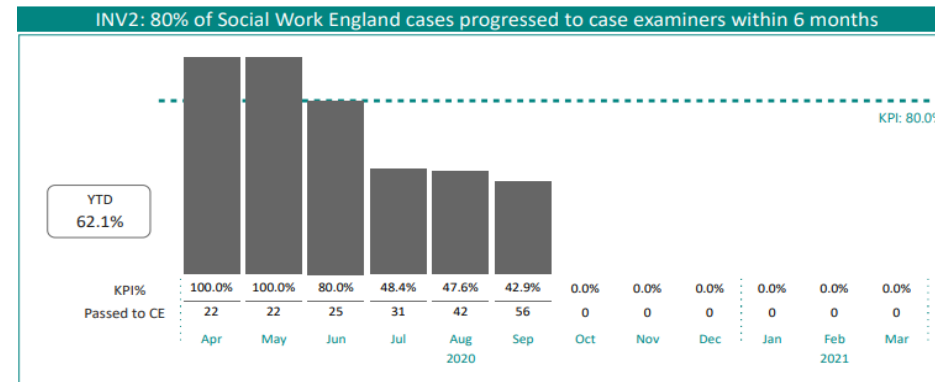
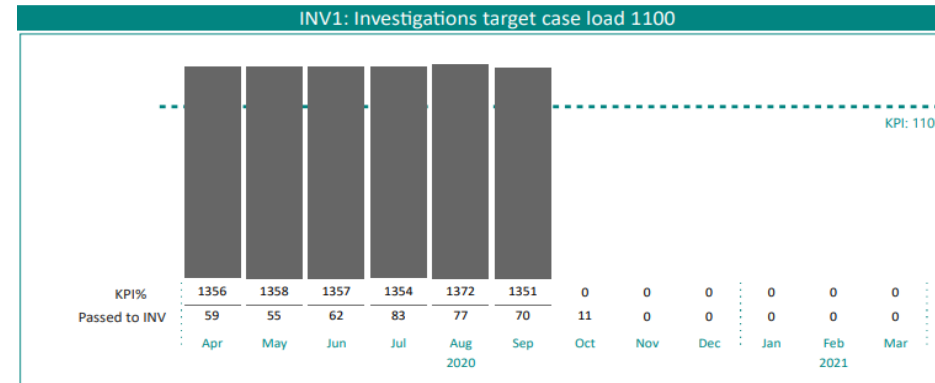
# Fitness to Practise (FtP) - triage

- The triage service has been unable to progress most cases within 28 days. This is partially due to a higher rate of incoming cases than predicted. The triage service is also making effective use of new powers to make further enquiries at the initial stages to manage referral rates and reduce unnecessary investigations. The suitability of this target will be reviewed following the service restructure.
- At the end of quarter 1 it was evident that the service was not appropriately designed or resourced to manage incoming caseloads at efficiently. Work has taken place throughout quarter 2 to address this. The impact of this will be realised in quarter 3 and we predict that caseloads will be reduced to targeted levels by the end of the year.
- The forecasted rate of closures was consistently exceeded in the opening eight months of operation. It has fallen below predicted levels in the last two months because the team has implemented a prioritisation strategy in response to growing caseloads to ensure that cases presenting the highest risk are not impacted.



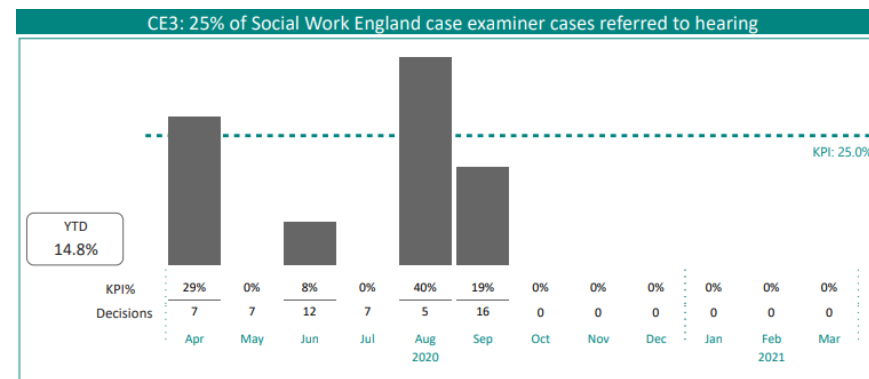
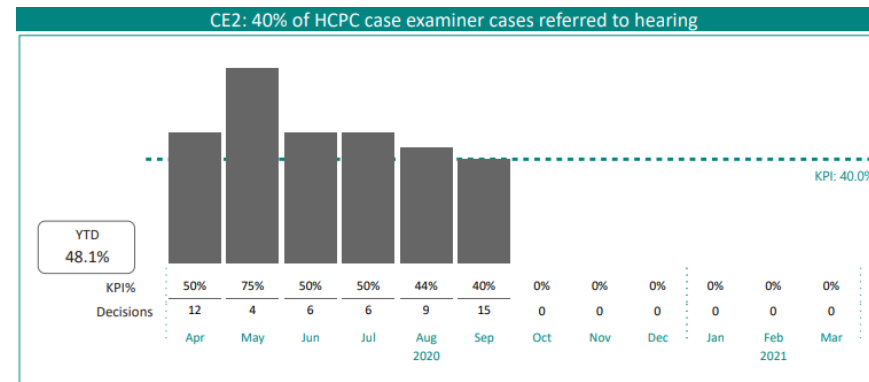
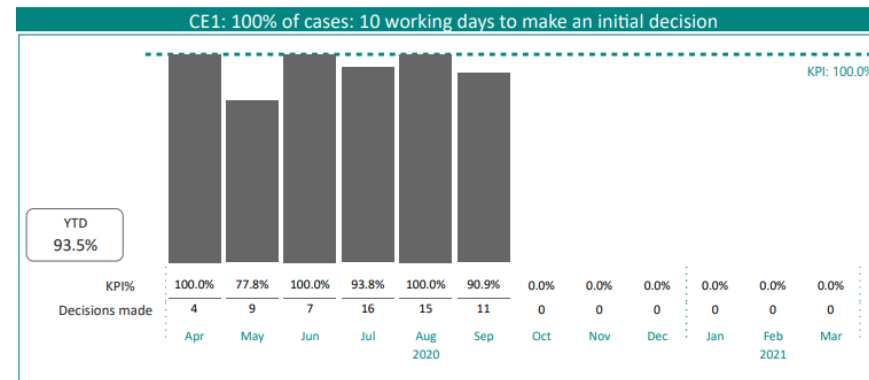
# Fitness to Practise (FtP) - investigation

- Most of the work that takes place within fitness to practise falls within the investigations service. Case throughput has remained stable across quarter 1 and quarter 2 and the rate of case progression to the case examiners has increased steadily.
- Case progression has been disrupted by the pandemic and the impact this has had on capacity within the wider sector. The continued stability of the service is encouraging.
- Despite these encouraging signs, the service is not yet on course to meet the targeted reduction in the overall caseload by the end of the year. A programme of work has now commenced to increase capacity within this service in order to reduce caseloads to a steady state of 1,100 by the end of the year.
- At this stage it is unlikely that 80% of the legacy caseload will progress from the service by the end of the calendar year but a dedicated team is being established to target the legacy caseload in quarter 3.



# Fitness to Practise (FtP) – case examination

- Productivity within the case examiner service has doubled in quarter 2. On average, 14 final decisions were made each month in quarter 2, against 7 in quarter 1. Caseloads within the service will continue to rise as referral rates from the investigations team increase. At present this does not appear to be having an impact on the timeliness of case progression.
- Referral rates to hearings have been higher for legacy cases than for cases received by Social Work England.
- Referral rates have reduced throughout the year across the caseload and are now in line with expectations.
- Referrals were likely higher in quarter 3 as the progression of higher risk cases has been prioritised.



# Policy

## Education and Training:

- Supported delivery and revision of annual monitoring report.
- Organised Education & Training Advisory Forum.
- Provided support to the person working on student registration.

## Social Work in England report:

- Completed first draft of education chapter.
- Agreed design brief for tender with Comms.

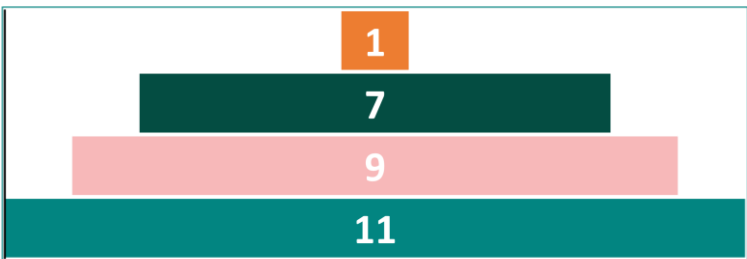
## Research and advice:

- Commissioned CPD research.
- Held kickstarter meeting for CPD research.
- Agreed our support and participation in ‘Understanding social care and LGBTQ+ people’ research.
- Recruited professional associates for education and EDI.

## Mental health and mental capacity:

- Met with NMC, HCPC and CQC and agreed a collaborative approach.

ELT presentations  
Policy briefs  
Collaborations  
Policy summaries



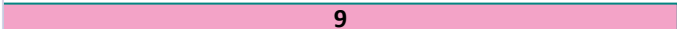
Policy advice



Conversations



Events



Regulators Gov depts Education Prof body Charity/voluntary Employer Other

## We attended:

- BASW roundtable on the use of research to drive improvements in practice.
- Discussed Covid-19 work in social care with the EHRC.
- ‘Future of social care sector policy’ conference.
- DfE/DHSC/Social Work England working group on social work education reform.
- Discussed professional boundaries with FtP.
- Advised on DfE research into radicalisation and counter terrorism.
- Inter regulatory discussion on regulation literacy.
- PSA research and policy forum.

## We drafted:

- Briefing paper on end of EU transition period.
- Briefing on forensic social work report.
- Co-ordinated a response to the BEIS consultation on recognition of professional qualifications.
- Received heads approval on the draft standards mapping graphics.

## We presented:

- Presented research at the board.
- Presented on the importance of professional standards at the new roles in mental social work webinar.

# Engagement

## Total engagement for September 2020:

118

As a team we attended 118 external meetings. This includes delivering presentations, workshops, attending meetings and working groups.

4573

In September 2020, we directly engaged with 4573 people.

21,781

Since Sept 2019 we have engaged with over 21,780 people who have an interest in social work.

98%

98% said a regional event met their expectations

## Online engagement for September 2020:

We have organised online sessions to provide social workers information about us as a regulator and our approach to CPD. They have been in high demand and we have increased the number of events and the capacity.

300

The capacity has been raised to 300 for each event

2266

The number of people who have attended so far

90%

Said the session met their expectations

97%

Would recommend a Social Work England event

# Communications

## Media and PR

14

positive articles in 6 different publications.

3.3m

potential readers reached.

£96k

total value of media coverage.

7

media enquiries

- National exposure from our partnership with The Guardian Social Lives research study. CEO attended launch event as a panel member.
- Our own research reports featured in Community Care and Professional Social Work magazine.
- Soft launch of Social Work Week March 2021. A comprehensive comms plan to be put in place pre, during and post event.

## External affairs

40

**Priority stakeholders were sent an email update** summarising a range of topics including Social Work Week, our annual report, and our research reports.



**Direct emails and letters sent to all social workers** to alert them of the launch of the renewal service

- Planned our presence and attended training for Community Care Live.
- Joint CPD webinar delivered with SCIE.
- 4 joint CPD webinars planned with CAFCASS for September and October.
- New CPD and renewal content and resources supplied to range of stakeholders.
- Progressing procurement of a stakeholder relationship management tool.

## Internal communications

1046

views of intranet articles

73

average open rate of **Evolve** (our staff newsletter)

- Promoted Learning at Work Week through multiple channels.
- Comms campaign for plain English across multiple channels.
- Continued to support the return to the office in response to new government guidelines.
- Crisis communications activity on Covid-19.
- BAU activity including regular bulletins, Evolve and intranet updates

# Communications

## Website



**73,463** website users visited our website



**0.7%** decrease in web searches following improvement to menu headers

### Key web projects:

1. Development of the [CPD hub](#) including resources
2. Transition from PDF guidance to webpages began to make website more accessible and user friendly, for example the professional standards page

### Most popular web pages:

- Submit renewal application
- Homepage
- Online account – home
- Online account - CPD
- Online account – message centre

### Top referrers:

1. GOV.Pay (linked to renewal applications)
2. Twitter
3. GOV.UK sign in
4. Community Care
5. LinkedIn

## Social



**followers increased by 381** bringing our total to 10,208 followers



**followers increased by 790** bringing our total to 10,618 follower

### Sentiment:

Of the inbound messages received this month, the sentiment was:

- Positive - 306
- Negative - 69
- Neutral - 131

- The most popular post was our announcement of Social Work Week, which received 6,208 impressions, 141 reactions, 57 shares and an engagement rate of 3.7% on LinkedIn, and 127 retweets and 195 likes on Twitter.
- We posted two ‘reflecting on’ blogs from staff members, one focused on the unique set of challenges that social workers have recently faced. The posts received 29 retweets and 62 likes.

# Business plan dashboard

## Our regulatory approach

**Strategic objective 1:** We will continue to develop and refine our registration systems and processes.



**Strategic objective 2:** Our fitness to practise process will be responsive, collaborative and proportionate.



**Strategic objective 3:** We will seek to influence system-wide improvement by continuing our work with others and contributing to conversations about regulation.



## The Social Work Profession

**Strategic objective 4:** We will continue to develop clear guidelines, tools and messages to support professionals to understand the relationship between standards and practice.



**Strategic objective 5:** We will gather intelligence, stories and data about social work and the profession through quality conversations and sound research, sharing what we're learning with the sector.



## The people we work with and work for

**Strategic objective 6:** We will create spaces for people to support the development of our organisation, including policies, communication and engagement.



## Education and Training

**Strategic objective 7:** We will work with course providers to make sure our standards are embedded in practice, whilst encouraging innovative and creative approaches to course development.



**Strategic objective 8:** We will explore and begin to understand the competence of newly qualified social workers.



## Our organisation

**Strategic objective 9:** We will establish robust infrastructure, systems and processes that promote trust and confidence



**Strategic objective 10:** Our culture of innovation, improvement and co-production will be embedded across the organization



# Business plan update



## Our regulatory approach

A new regulatory approach – we will learn, reflect and test boundaries.

| No. | ELT Owners      | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Rating |
|-----|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1   | Philip Hallam   | We will continue to develop and refine our registration, systems and processes by establishing an easy to use and streamlined registration process, establishing our first annual renewal process and introducing annotation for areas of extended practice.                                                                                                                                                                                                                                                                                                                                               | <ul style="list-style-type: none"><li>• Commenced the first annual renewal process, with the ability for all registrants to complete their renewal online. As part of the online process, we have included a satisfaction survey so we can gather feedback on registrants' experience of the system, and so we can make any improvements for the following year.</li><li>• Worked closely with education providers to attempt to ensure an effective and efficient provision of pass list information for new graduates. Learning from this year will be used to improve our communication and processes for following years.</li><li>• Started conversations internally and with some stakeholders in relation the post-qualification framework for registered social workers, and as part of this work consider how we are using our powers to annotate the register, and how we might use annotation into the future.</li></ul> |        |
| 2   | Jonathan Dillon | Our fitness to practise process will be responsive, collaborative and proportionate by (1) ensuring fitness to practise cases that meet the triage threshold are investigated thoroughly and collaboratively, (2) by developing a case progression strategy that will promote responsive risk assessment and proportionate outcomes, (3) establishing Adjudications that will be efficient and fair, and will make appropriate use of the full range of disposal options and ensuring participants involved in the fitness to practise process will be well informed and supported throughout the process. | <ul style="list-style-type: none"><li>• Implemented a service restructure across the triage and investigations team in response to the operational challenges created by the COVID-19 pandemic.</li><li>• Conducted three operational workshops with our representative steering group to review the effectiveness of the service and two workshops with employers to improve understanding of the referrals process.</li><li>• Created a new process for conducting substantive hearings in part and in full through telecommunications.</li><li>• Maintained a full schedule of interim order and substantive review activity using remote technologies</li><li>• Maintained a stable rate of case progression across the investigations service.</li></ul> <p>The impact of the service restructure will be essential to the success of the service in the second half of the year.</p>                                         |        |

# Business plan update



## Our regulatory approach

A new regulatory approach – we will learn, reflect and test boundaries.

| No . | ELT Owners      | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Rating |
|------|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 3    | Sarah Blackmore | We will seek to influence system-wide improvement by continuing our work with others and contributing to conversations about regulation by (1) contributing to and influencing conversations about professional regulation, (2) developing and delivering plans to share our regulatory activities and knowledge to contribute to a greater understanding of social work regulation and (3) publishing our first research findings and key reviews of social work and professional regulation. | <ul style="list-style-type: none"><li>• We have published our first 2 pieces of research on public perceptions of social work and social work experience. These have been well received and covered by trade journals. We are planning extensive further research to contribute to our understanding of the sector.</li><li>• We are on track to publish our first "Social Work in England" report at the end of this year. This is the precursor to an authoritative "state of the nation" piece in Year 3.</li><li>• We regularly engage with other regulators on aspects of regulatory policy.</li></ul> |        |

# Business plan update



## The social work profession

Create a different approach to standards and professional development.

| No. | ELT Owners      | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Rating |
|-----|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 4   | Sarah Blackmore | We will continue to develop clear guidelines, tools and messages to support professionals to understand the relationship between standards and practice by (1) embedding our standards to make sure they are relevant, specialist and encourage aspiration in social work, (2) sharing our expectations of social workers to undertake and record CPD and (3) leading the way in streamlining the post-qualifying landscape, working with sector leaders and social workers. | <ul style="list-style-type: none"><li>• We have engaged extensively with the sector to ensure clear understanding of our requirements on CPD and the link to professional practice and competence. Over a third of the sector have now uploaded CPD as a result.</li><li>• We are working with key stakeholders in DHSC, HEE and others on the development of the new AMCP role, the changes to the mental health landscape and the annotation and training oversight that we will have in the future. This forms part of our work on the whole of the post-qualifying landscape and we are having regular conversations at a strategic level with both departments, the Chief Social Workers, and other key stakeholders.</li></ul> |        |

Provide a picture of social work in England through intelligence and engagement.

|   |                 |                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |
|---|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 5 | Sarah Blackmore | We will gather intelligence, stories and data about social work and the profession through quality conversations and sound research, sharing what we're learning with the sector by (1) establishing strong relationships with social workers based on engagement and collaboration and (2) sharing stories of social work to showcase the breadth of the role and the value it brings to society. | <ul style="list-style-type: none"><li>• We have continued our extensive engagement across the sector, building on what we are learning and the discussions taking place with students, social work practitioners, academics and training providers and sector leaders. We are feeding this knowledge and intelligence into our first "Social Work in England" report which will be published at the end of the year.</li><li>• We have published our first 2 pieces of research and have ambitious plans for further research this year.</li><li>• We regularly share our learning and approach through social media engagement and articles in trade press.</li></ul> |  |
|---|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

# Business plan update



## The people we work with and for

Co-produce our work with everyone who has an interest in social work and deepen the understanding and value of social work.

| No. | ELT Owners      | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Rating |
|-----|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 6   | Sarah Blackmore | We will create spaces for people to support the development of our organisation, including policies, communication and engagement by (1) establishing a national advisory forum to provide expert support, advice and challenge around the ambition in our corporate strategy (2) to continually and effectively collaborate with those with lived and learned experience of social work and (3) will work in partnership by collaborating on opportunities with others who share our ambition to enable positive change in social work. | <ul style="list-style-type: none"><li>• The National Advisory Forum meets on a monthly basis and provides support and challenge on a number of areas, including recruitment and the Decision Review Group in fitness to practise. They are working with our regional engagement team to deliver the first Social Work Week in England next March.</li><li>• Our Education and Training Advisory Group meets monthly consisting of academics, training providers, students and practitioners, and experts by experience. The group is overseeing the development of learning outcomes that will underpin the delayed 2020 standards when they come into force in September 2021.</li><li>• Our regional engagement team is very active in their respective regions, engaging social workers at all levels in our approach and developing clear understanding of what it means to be regulated.</li></ul> |        |

# Business plan update



## Education and training

Improve quality and consistency in meeting the education and training standards.

| No. | ELT Owners    | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Rating |
|-----|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 7   | Philip Hallam | We will work with course providers to make sure our standards are embedded in practice, whilst encouraging innovative and creative approaches to course development by (1) establishing 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, (2) establishing a robust approval and reapproval model for social work education and training courses against our standards, and (3) consider, contribute to and influence public policy around higher education and post-18 education reform. | <ul style="list-style-type: none"><li>• We have started our first annual monitoring process, which includes a request for providers to inform us of how they are preparing to demonstrate that they meet our revised education standards which come into effect from September 2021.</li><li>• Our annual monitoring process includes a voluntary request for providers to share data relating to equality and diversity of students.</li><li>• We continue to engage with providers at all levels, as well as attending a number of stakeholder meetings and hosting the Education and Training Advisory Forum. During the quarter we have received 431 enquiries to the quality assurance team relating to education and training.</li></ul> |        |

Through collaboration and intelligence gathering, build an evidence base on models of provision.

|   |               |                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                            |  |
|---|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 8 | Philip Hallam | We will explore and begin to understand the competence of newly qualified social workers by (1) reviewing the models of provision in relation to the competence of newly qualified social workers. | <ul style="list-style-type: none"><li>• We have started conversations internally and with some stakeholders in relation the post-qualification framework for registered social workers, and as part of this work consider how we are using our powers to annotate the register, and how we might use annotation into the future.</li></ul> |  |
|---|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

# Business plan update

## Our organisation

Encourage innovative approaches across all areas of our work.



| No. | ELT Owners                                           | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Rating |
|-----|------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 9   | Tracy Watterson, Greg Ross-Sampson and Philip Hallam | We will establish robust infrastructure, systems and processes that promote trust and confidence by (1) establishing effective IT systems and digital services (2) establishing systems and processes to deliver compliance, good governance and value for money, (3) developing effective systems for financial management and forecasting, (4) enhancing our organisational analytical capabilities to inform effective decision making, (5) establishing the legal function as a source of advice, guidance and support throughout the organization and (6) establishing the information governance framework, policies and processes to ensure a robust approach to data protection. | <ul style="list-style-type: none"><li>• Undertaken a number of legal training and support activities across the organisation.</li><li>• Reviewed the schemes of delegation.</li><li>• Worked with the governance team on drafting a proposal for future governance arrangements.</li><li>• Continued to develop our approach to information governance and data protection in a number of areas.</li><li>• Quality assurance framework has been in place since April 2020 and over this quarter we have carried out an output focused audit of just disposal of transfer cases policy decisions and three process reviews - Updating the register for FTP and Registration and the EEA/overseas application process - as scheduled. Process review focused on the triage process was due to commence in September but has been delayed by 3 weeks, work on this review has now begun.</li><li>• Cyber Essential certification obtained in September. We are now working on obtaining the Cyber Essentials plus . An accessibility audit of our website will be undertaken W/C 19th Oct.</li><li>• Board report for Q1 reviewed and refined for Q2 to improve usability and clarity, with greater focus on KPIs where appropriate. Executive MI pack being continuously improved to ensure executive team have the comprehensive information needed to make effective decisions about organisational performance.</li><li>• Continued to work on our budgetary profiling and forecasting, making adjustment to reflect changes that we have made in terms of business operations during Covid-19</li></ul> |        |

# Business plan update

## Our organisation

Promote a positive culture focused on improvement and co-production.



| No . | ELT Owners      | Objectives                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Update                                                                                                                                                                                                                                                                                                                                                                                                                            | Rating |
|------|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 10   | Tracy Watterson | Our culture of innovation, improvement and co-production will be embedded across the organization by (1) establishing planning and development processes and systems to recruit, train and retain talented, energised and motivated people, (2) developing a reflective, open and accessible working environment where people are encouraged to share knowledge, learn, and test new ideas and (3) determining environmentally sustainable processes, practices and plans to support and engage with local business, initiatives and charities. | We have continued with our recruitment and learning and development plans albeit online. We have established a number of networks and forums. We are developing our corporate and social responsibility plans. Our weekly internal communication that included and ELT briefing and our monthly whole organisational meetings help us to keep our people connected. Our engagement survey results showed an 86% engagement score. |        |