



Operational Performance Report for the Board

February 2021

To discuss and note

Compiled by: Andy Leverton

Executive Lead: Greg Ross-Sampson



About this report

- This report focuses on our data-driven operational functions, primarily our Registration, Fitness to Practise and Education and Quality Assurance functions. The KPIs we have set for these areas are included in this report, along with supporting metrics providing further insight into operational performance.
- We provide separate reports to the board describing the activity of our People and Strategy Policy and Engagement functions.
- Data covers the period from April 2020 to January 2021 as standard
 - additional historical data is included where it provides useful context
- The structure of the report is as follows:
 - Overview of operational activity
 - Operational performance dashboard
 - Performance metrics for registration, CPD, education and training, corporate complaints and fitness to practise
 - Registration performance analysis
 - Information on our register
 - Fitness to practise performance analysis

Overview (1/3)

Registration (Philip Hallam)

As set out to the Board at its last meeting in December 2020, we have now completed our first annual renewal period for all registrants. Following the completion of renewal, 5181 registrants were removed from the Register for failure to apply. Due to the continuing covid-19 emergency, a decision was taken to add these registrants to the temporary register. Additionally, as of 27 January 2021, 514 registrants have been restored to the Register following their removal, having applied for restoration.

Renewal activity had a significant impact on the work of the Registration team and wider organisation in terms of efficiency, use of resources, and engagement with registrants and other stakeholders. Learning from our first renewal period, as well as our first year of operation, will be reflected in permanent staff resource increase in 2021-22, and further improvements to internal and external guidance and processes.

There have been some delays in progressing registration appeals through our first year of operation, in part due to disruption caused by Covid-19, and the need to manage registration appeal hearings alongside legacy fitness to practise activity. Additionally, there is still further work to be completed to better manage the process of appeal, and its reporting, through the Forge system. For the period October 2020 to December 2020, we received three registration appeals and concluded six. Of the six, two were upheld and four were rejected. The median length of time it took to conclude these appeals was 27.5 weeks.

Outside of application processing, work has been undertaken to amend the Registration Rules, processes and guidance in advance of the UK's exit from the European Union. Following consultation in December 2020, and in line with changes to legislation, the application route relating to mutual recognition of professional qualifications was removed from 31 December 2020. From 1 January 2021, all applicants with a qualification gained outside the UK will now apply through the same, international, route (subject to very limited exceptions e.g. for Swiss applicants under our mutual recognition agreement with Switzerland).

Overview (2/3)

Fitness to Practise (Jonathan Dillon)

The plans presented to the Board in October and December to increase capacity and productivity in the fitness to practise service are now at an advanced stage of delivery. Additional recruitment has now taken place across the triage, investigations and hearings stages with only case examiners outstanding. Almost 200 complex investigations have been transferred to a dedicated team at Capsticks, with up to 70% of those investigations due for completion by the end of March.

The process for enquiry and decision making at the triage stage has been redesigned as planned with committee and desk-based decision making now taking place in tandem and the Investigations service has been restructured to create two dedicated teams to focus solely on concluding the oldest cases transitioned from the HCPC. An expert team of trainers with a senior background in regulation has been appointed to work alongside the triage and investigations teams for a period of six months to enhance decision-making and refine investigation procedures.

A programme of training was delivered to the teams in January, which is expected to have a positive impact on quality and productivity from February 2021 onward. Positive signs regarding productivity are beginning to emerge at the triage stage. In two of the last three months since the service restructure commenced the team has resolved enough cases during the month to stabilise the caseload, despite the team still being new and incoming referral rates remaining high. Progress was set back, however, in December when the renewals process produced an additional wave of self-referrals into the service over the festive period when capacity was limited. The team has made some progress in reducing that additional workload in January.

By the end of January, the work undertaken to enhance delivery in the investigations service was yet to have a positive impact, largely because training and the reallocation of transition caseloads was still taking place. The impact of this work will be monitored closely over the next quarter. Productivity at the hearings stages has increased steadily since the new process for remote hearings was launched in October 2020 and is expected to meet targeted levels by the end of March 2021, with an additional 40 substantive hearings listed in the final two months of the financial year.

Overview (3/3)

Education Quality Assurance (Philip Hallam)

Education Quality Assurance activity continues to be delivered remotely, with the majority of work engaged with supporting course providers with the response to the Covid-19 pandemic. During Q3, we made 4 regulatory decisions, 1 course approved, 2 courses approved with conditions and one course, following inspection, has had its approval withdrawn. In addition, 2 changes to courses were approved following documentary review of proposals. We also completed our first annual monitoring return for courses leading to registration. 81 course providers (100%) provided an annual monitoring return for the 276 courses currently approved to deliver social work courses. All courses have confirmed that they continue to meet the education and training standards. We are now analysing the additional information provided upon request from providers and will use this information to inform our approach to the reapproval of all courses which will commence in September 2021.

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, supporting work on amending a number of our Rules as the transition period for leaving the EU ended, and advising on specific areas of our fitness to practise, registration and education quality assurance work.

We continue to develop and improve our approach to information governance, and activities within the quarter have included: continuing to implement 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 17 FOI requests and 66 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.

Complaints (Greg Ross-Sampson)

We received 95 complaints in Q3 which is higher than the to-date average of 65 per quarter. This was driven by the increase of complaint received in October. Two thirds of which related to the payment of registration fees or the closure of registration applications.

We continue to respond to the majority of corporate complaints within our 20-working day service standard.

Operational performance dashboard

KPI reference	KPI description	Aim	2020/21												Direction of Travel
			YTD	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan		
REG1	Percentage of UK applications with no investigation required approved within 10 working days	≥ 95%	77%	42%	59%	35%	53%	56%	88%	97%	89%	87%	91%	↑	
REG2	Percentage of calls answered within 5 minutes	≥ 90%	38%	58%	37%	39%	42%	50%	40%	40%	23%	37%	64%	↔	
REG3	Percentage of emails answered within 5 working days	≥ 95%	53%	89%	66%	34%	34%	18%	65%	51%	43%	44%	86%	↔	
TRI1	Percentage of cases progressing through triage in under 28 days after establishing the case concerns a social worker	≥ 80%	16%	20%	10%	7%	8%	15%	20%	20%	20%	22%	18%	↔	
TRI2	Percentage of cases progressing to initial review and streamed within 10 working days	100%	49%	53%	67%	66%	52%	50%	29%	61%	48%	44%	19%	↓	
TRI3	Number of open cases in triage	≤ 300	n/a	298	307	429	429	424	527	573	575	631	629	↑	
TRI4	Percentage of cases closed at triage stage	≥ 40%	46%	52%	49%	46%	48%	28%	42%	44%	54%	52%	36%	↔	
INV1	Number of open cases at investigation stage	≤ 1,100	n/a	1,356	1,358	1,357	1,354	1,372	1351	1364	1371	1364	1395	↔	
INV2	Percentage of Social Work England cases progressed to case examiners within 6 months	≥80%	59%	100%	100%	80%	54%	48%	41%	52%	52%	59%	49%	↔	
INV3	Percentage of HCPC cases closed or progressed by December 2021	≥80%	n/a	8%	11%	13%	17%	19%	22%	25%	28%	29%	31%	↑	
CE1	Percentage of initial decisions made by case examiners within 10 working days	100%	89%	85%	88%	89%	95%	90%	84%	97%	84%	95%	80%	↔	
CE2	Percentage of HCPC case examiner cases referred to hearing	≤ 40%	55%	50%	75%	50%	50%	44%	40%	57%	40%	75%	100%	↑	
CE3	Percentage of Social Work England case examiner cases referred to hearing	≤ 25%	17%	29%	0%	8%	0%	40%	19%	15%	14%	33%	17%	↔	

Key

For YTD and monthly figures: Red = more than 5/10%* from aim; amber = within 5/10%* of aim; green = achieving aim

For direction of travel: arrows represent prevalent trend of the indicator during the YTD, weighted towards recent months where appropriate; Red = movement in negative direction; amber = stable; green = movement in positive direction

*5% points if aim is 40% or less (TRI4, CE2, CE3), 10% points if aim is 80% or greater, 10% if aim is not a percentage (TRI3, INV1)

Registration metrics

Registration			Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21
Number of registered social workers			98,738	98,780	97,991	98,493	99,210	100,117	100,942	99,701	95,251	95,665
Number of temporarily registered social workers			7,996	8,096	8,993	8,993	9,327	9,192	9,213	9,656	14,359	14,183
Number of social workers joining the register (includes returners)			183	147	223	591	843	1151	924	431	840	432
Number of social workers leaving the register			85	105	1012	89	126	244	99	1672	5290	18
New registration applications	Number received	All graduates	205	234	398	1174	775	1435	785	787	338	331
		UK graduates	176	200	355	1131	722	1385	710	712	255	265
		EU/EEA graduates	10	11	15	6	10	11	13	18	31	n/a
		Non-EU/EEA graduates	19	23	28	37	43	39	62	57	52	66
	Median time taken to process (working days)	All graduates	25	23	36	12	16	10	8	5	7	5
		UK graduates	17	16	22	12	16	9	8	4	7	4
		EU/EEA graduates	85	94	95	63	45	95	71	70	56	38
		Non-EU/EEA graduates	78	67	87	83	80	60	42	34	23	31
Restoration applications received	Number received	All graduates	37	25	67	98	75	72	76	215	700	138
	Median time taken to process (working days)	All graduates	40	35	61	28	33	38	38	1	7	24
Misuse of title cases	Number		10	3	10	13	8	7	6	7	16	13
	Median time taken to complete (working days)		20	30	23	26	48	47	166	50	18	9
Number of phone calls received			1630	2683	2510	4340	4188	6747	6988	11014	5023	1475
Median call queue time (minutes)			3	8	8	7	5	7	7	15	9	2
Percentage of calls answered (excl hung up prior to queue)			69%	50%	53%	51%	67%	57%	59%	39%	50%	77%
Number of emails received			2304	1778	1071	1970	1293	2430	2115	2071	821	691
Median response time to emails (working days)			2	5	10	10	7	4	8	5	7	2

CPD, Education and Training and Corporate Complaints metrics

CPD	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	New renewal year starts	Dec-20	Jan-21
Number of social workers who have completed valid CPD (cumulative)	10,500	12,451	14,319	18,570	24,155	34,855	49,548	91,989		2,174	4,004
Total number of valid CPD items recorded (per month)	6288	6813	7606	13496	15287	28969	36199	87931		2499	3431
Percentage of social workers who have completed valid CPD (cumulative)	11%	13%	15%	19%	24%	35%	49%	92%		2%	4%

Education and Training		Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21
Enquiries received		53	29	36	26	21	44	39	56	16	38
Concerns received		3	3	2	2	2	1	0	1	0	8
Inspections conducted		0	1	2	2	1	0	0	0	0	0
Outcome of inspections	Approved							1			
	Approved with conditions	2							1	1	
	Not approved								1		
	Request for approval withdrawn			1							

Corporate Complaints	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21
Complaints received	12	19	27	22	22	23	46	20	29	17
Complaints closed	17	13	30	17	19	16	41	32	17	22
Met 20-day service standard %	100%	100%	100%	100%	100%	100%	98%	100%	94%	100%

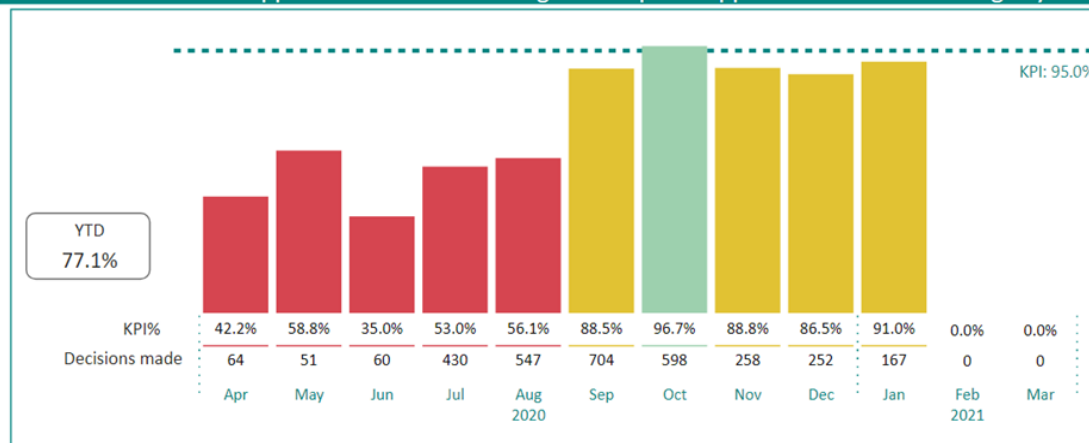
Fitness to practise metrics

Fitness to Practise	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21
Concerns received	103	98	141	153	142	126	142	170	183	155
Referrals received (SW identified)	131	136	189	144	156	145	232	156	183	192
Number of cases awaiting pre-triage at end of month	56	53	18	8	34	6	28	8	25	56
Average time to complete pre-triage (calendar days)	29.6	42.5	22.1	20	20.4	23.9	19.3	23	22.8	39.2
FTP cases opened	120	93	209	136	112	173	181	155	143	154
FTP cases open in Triage at end of month	298	307	429	429	424	527	573	575	631	629
Percentage of cases closed at triage	51.9%	49.4%	45.9%	48.1%	28.2%	41.5%	43.9%	54.5%	51.6%	35.6%
Percentage of cases taking 28 calendar days or less to complete triage	20.3%	10.1%	7.1%	7.7%	15.4%	19.5%	19.7%	19.7%	17.9%	18.4%
Number of cases entering investigation from triage	40	42	45	60	62	46	68	65	36	82
Number of cases in investigation stage at end of month	1356	1358	1357	1354	1372	1351	1364	1371	1364	1395
Number of cases closed in investigation	33	48	56	77	54	80	70	71	46	48
Substantive hearings concluded/final decisions made	3	0	1	0	0	1	4	6	9	11
Average calendar days from receipt of concern to final hearing decision	739	0	560	0	0	1094	940	1141	882	1083
Interim Order application hearings held/decisions made	9	7	4	6	7	6	13	16	13	10
Average calendar days from need for IO identified to decision date	30	30	22	27	24	34	19	26	24	44
Interim order reviews held/decisions made	36	9	25	31	17	41	29	23	44	25
Substantive order reviews held/decisions made	3	5	8	6	6	6	4	6	3	6

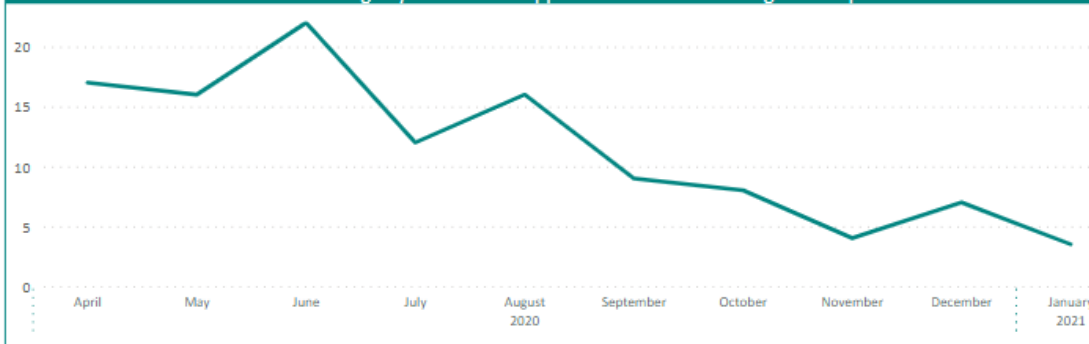
Registration

- 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 December, achievement is 91%. In September 2020, further system development enabled a more accurate measurement of the time taken to process applications (including time where we are awaiting responses from applicants), and this has assisted with working towards achievement of this KPI.
- Median time to close UK applications with no investigation required continues to reduce, in part due to the system development noted above, as well as continuing work of the team to improve efficiency and effectiveness of application processing. It is of note that the median continues to show a downward trend, despite the significant increase in activity during Q3 relating to renewals and restorations.
- Number of new applications reduced during Q3, with the majority of UK graduates applying for registration during Q2.

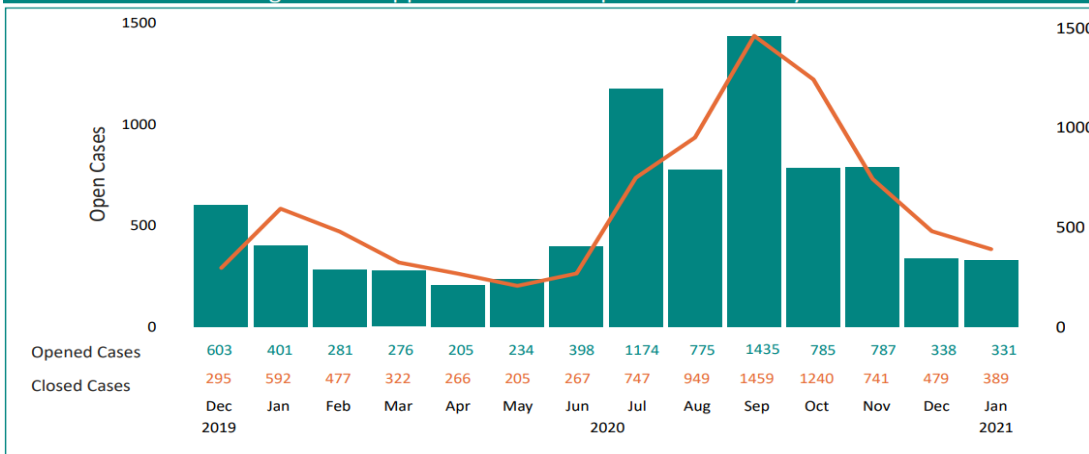
REG1: 95% of UK applications with no investigation required approved within 10 working days



Median working days to close UK applications with no investigation required

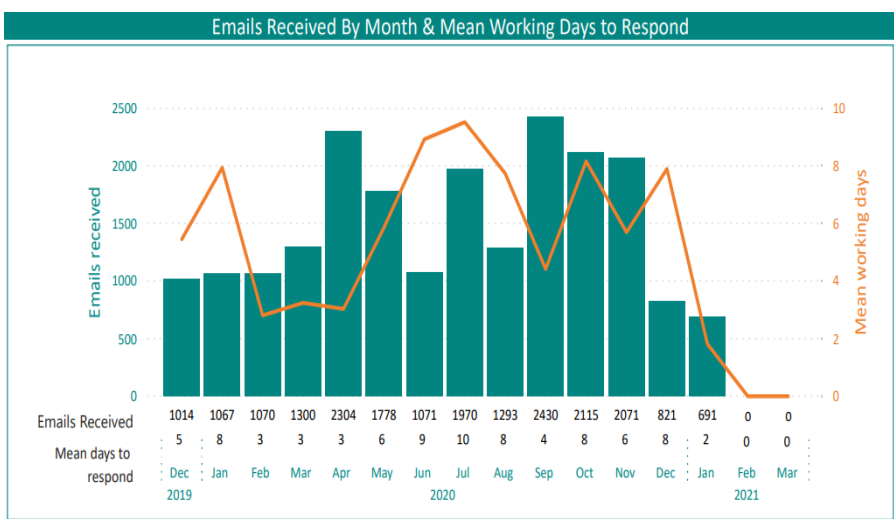
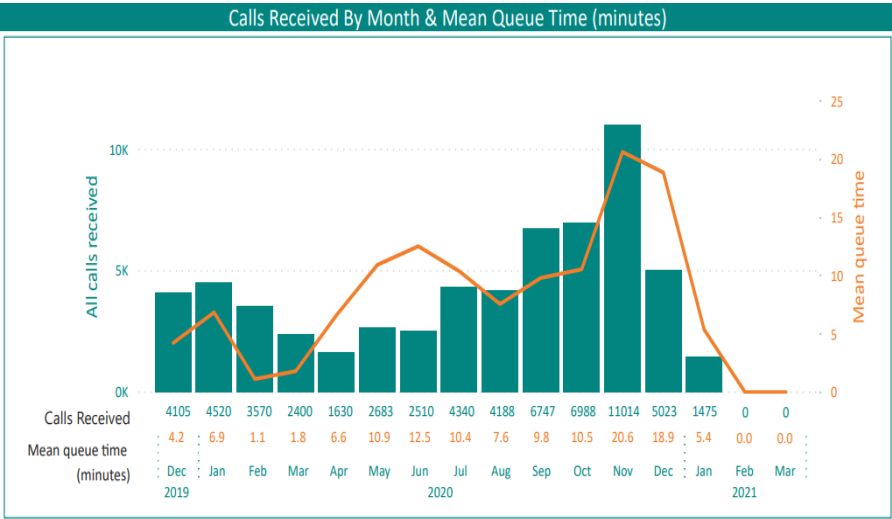
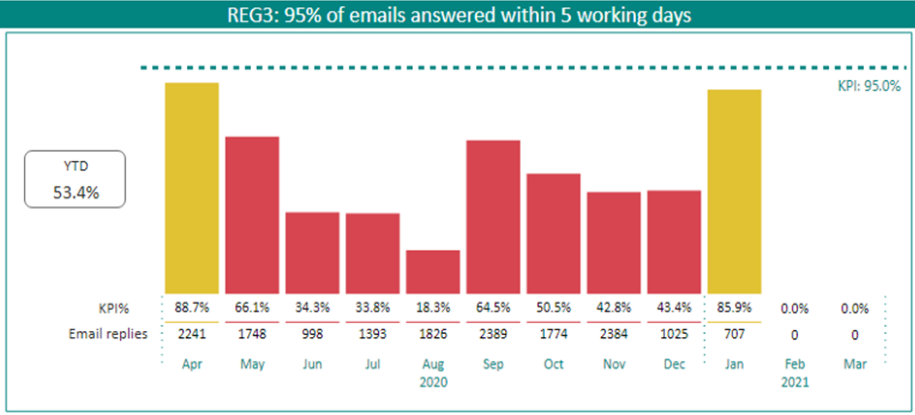
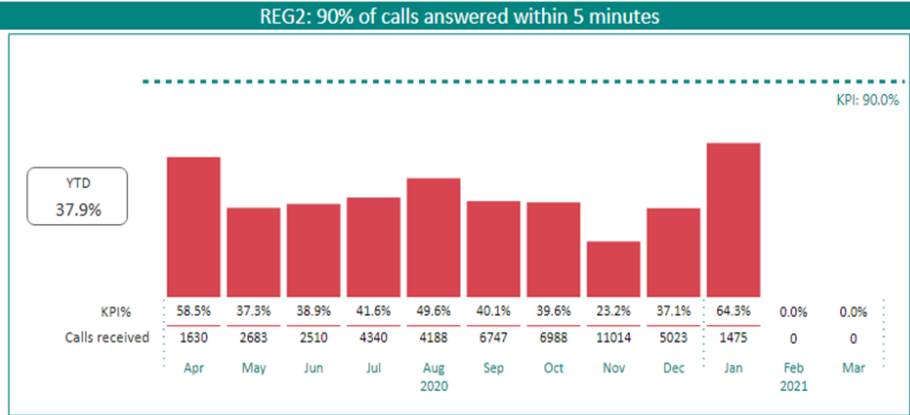


Registration Applications Cases Opened & Closed By Month



Registration

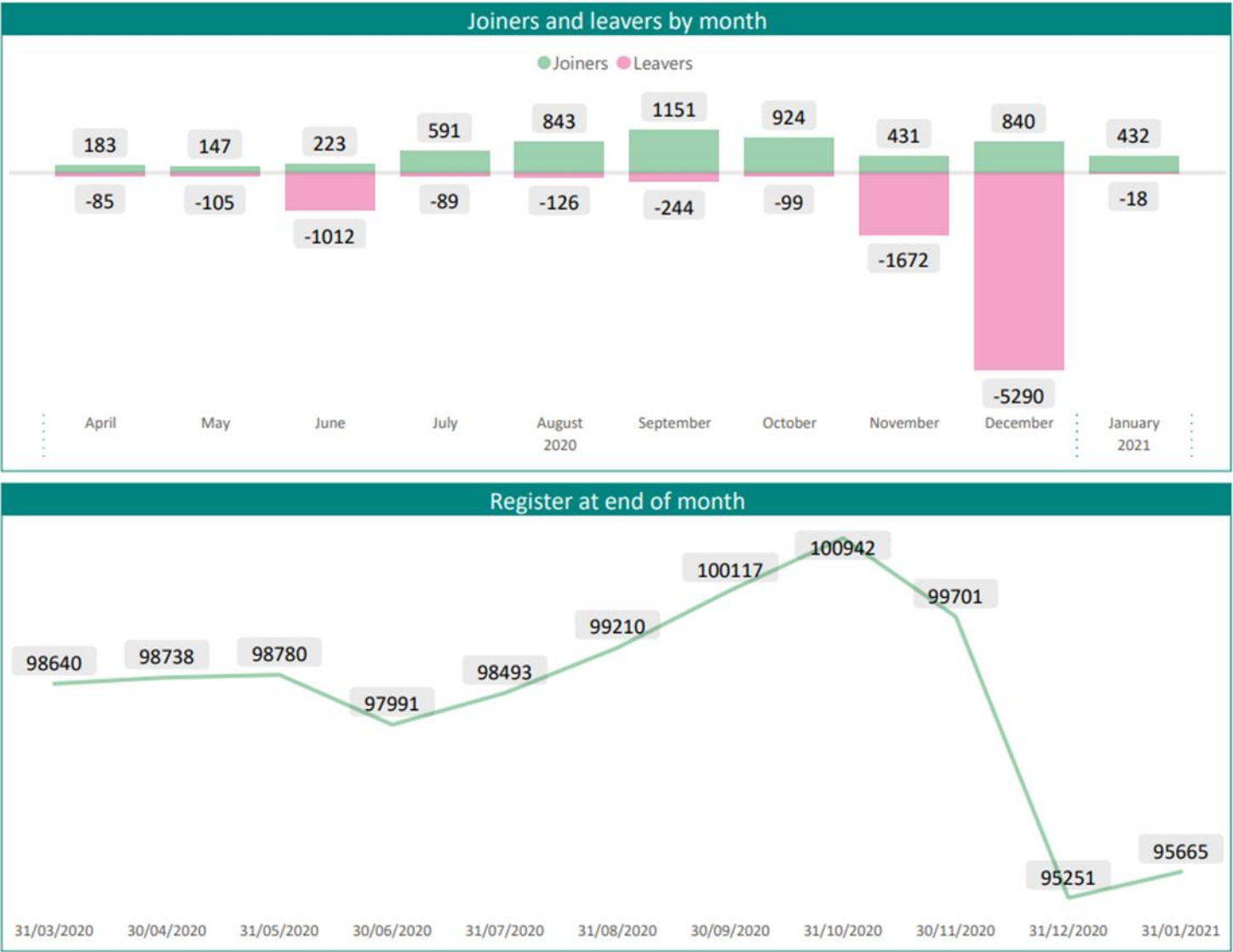
- Our aspiration, as demonstrated by the KPIs REG2 and REG3, is to be able to answer 90% of calls within five minutes and respond to 95% of emails within five working days by the end of the financial year. We continue to work towards these KPIs, within the context below.
- Call volumes were high in Q3, with 6988 calls in October and 11,014 in November 2020 . Almost all of these calls related to renewals queries, and queries related to CPD recording. For quarter 3, the mean queue time was 15 minutes. Automated messages on our telephone system continued to advise callers about wait times, and other ways we might be able to respond to their queries (for example through FAQs on our website, and via emails).
- Alongside this increase in phone calls, there was also a continued high number of email queries. Median time to respond to email queries in Q3 was 7 working days.



The register

Between 1 October – 31 December 2020, 1910 applications for registration have been received. 88% of these relate to applications from UK qualified applicants. The large number of leavers in December relates to the end of the 2020 renewal period. Registrants removed for failure to apply for renewal have now been added to the temporary register, and 514 of these removed registrants have now restored to the Register (as of 27/01/2021).

Social workers by route of entry to the register	
Route	Number of social workers
UK	4,821
Overseas	245
EEA	77
Qualification not recorded	90,522



And there are **14,183** social workers with temporary registration

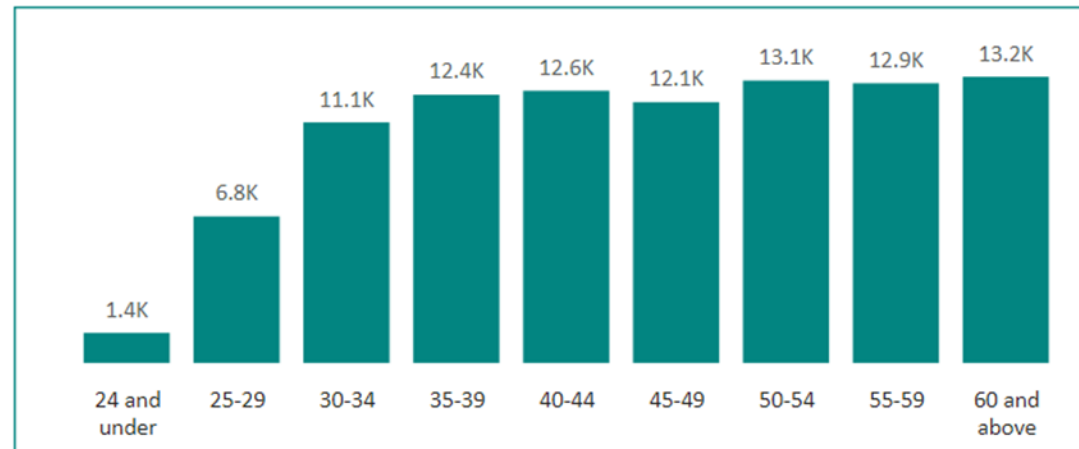
The register - demographics

The 2020 renewal period has allowed us to update the data we hold on nationality, gender and age of the Register. We plan to start collecting data on other protected characteristics using the online account for registrants and applicants from Q4 2020-2021.

Gender

Gender	Social Workers
Female	78856
Male	16772
Prefer not to say	23
Other	13

Social Workers By Age Groups

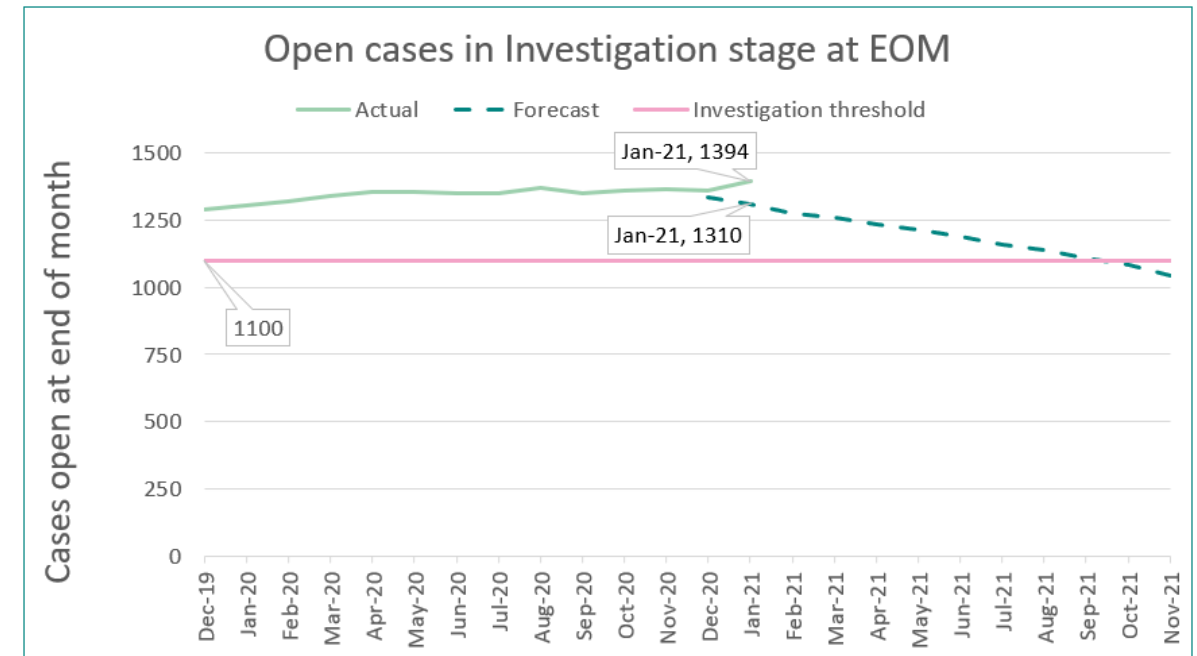
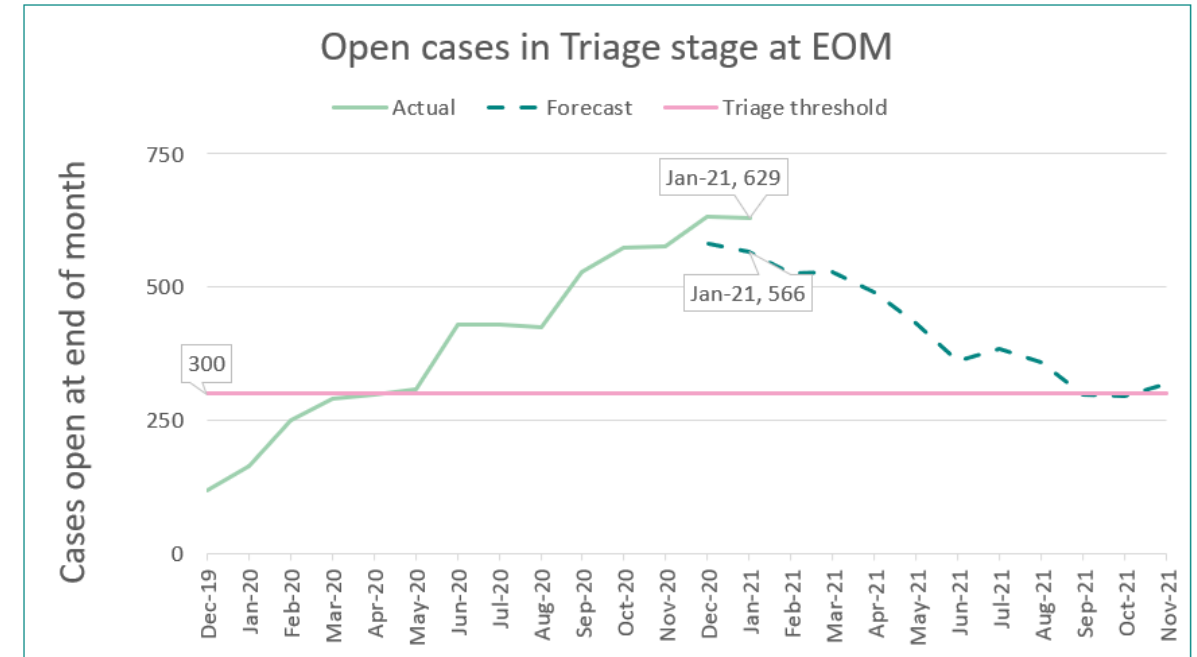


Top 10- Nationality

Nationality	Social Workers
British	87432
Zimbabwean	1409
Irish	1023
Indian	396
American	378
Romanian	370
Polish	333
South African	327
German	311
Portuguese	271

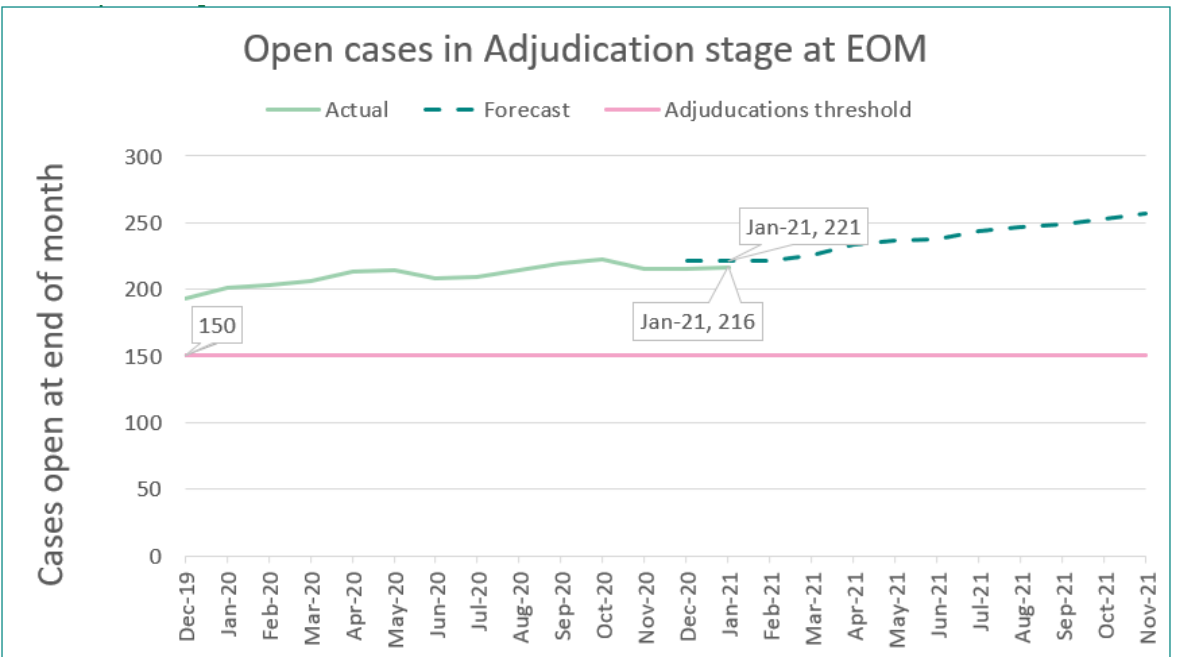
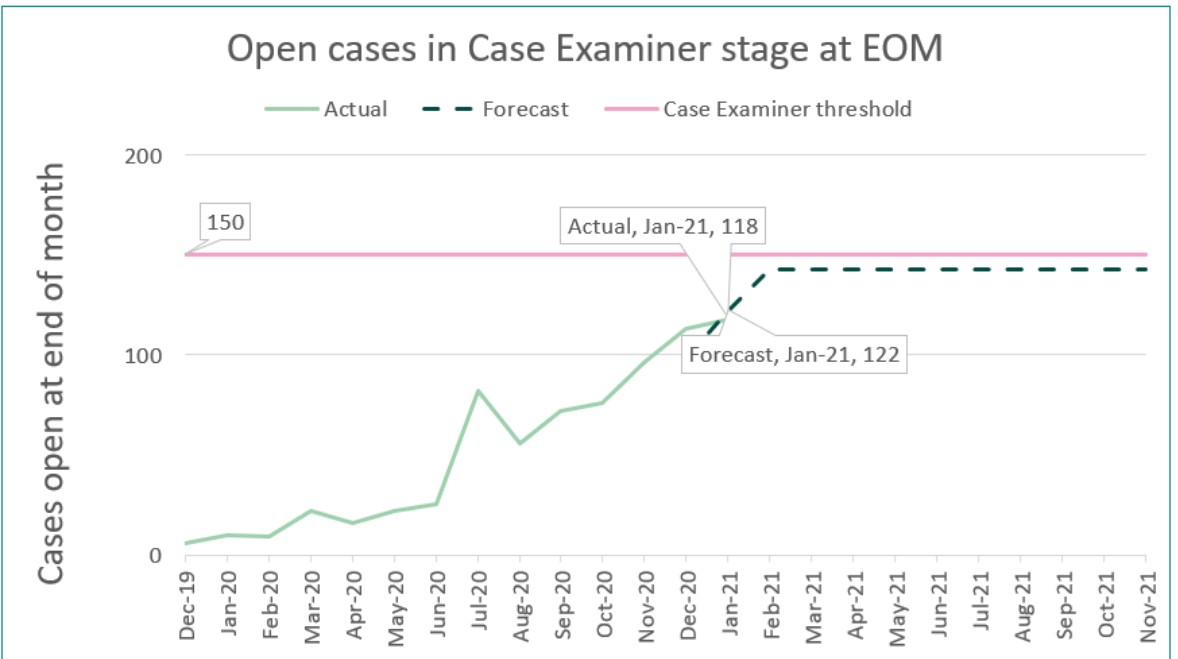
Fitness to Practise - overview

- The restructured triage service was able to deliver case resolutions at the required volume in both November 2020 and January 2021 to reduce its caseloads slightly as planned. Over the quarter productivity on the team continued to trend upwards.
 - Unfortunately, the team received a record number of referrals over the festive period in December, when capacity was reduced. This was the result of new requirements during the renewal process which produced a surge of self-referrals into the service in a short space of time.
 - The renewals process is not expected to have the same impact on fitness to practise referrals in future years. An additional three officers were appointed to the service temporarily in January to assist in managing the caseload down.
-
- The additional recruitment, restructure and retraining of the investigations teams was delivered between October 2020 and the end of January 2021.
 - The range of changes made did not disrupt productivity, but the service is now receiving a higher rate of referrals from the triage service as a result of increased productivity in the triage service.
 - In order to stay connected with the planned trajectory towards a targeted caseload of 1100 cases, productivity in the investigations teams will need to increase in February 2021 and be maintained throughout the remainder of the calendar year.
 - Additional systems development is being delivered in February 2021 to enable the teams to monitor performance against individual KPIs in the service more effectively.



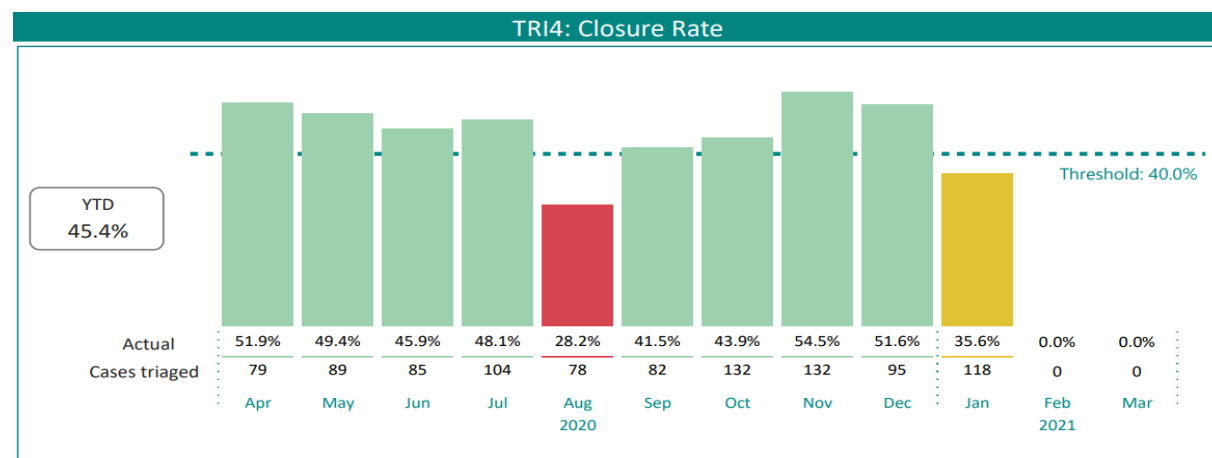
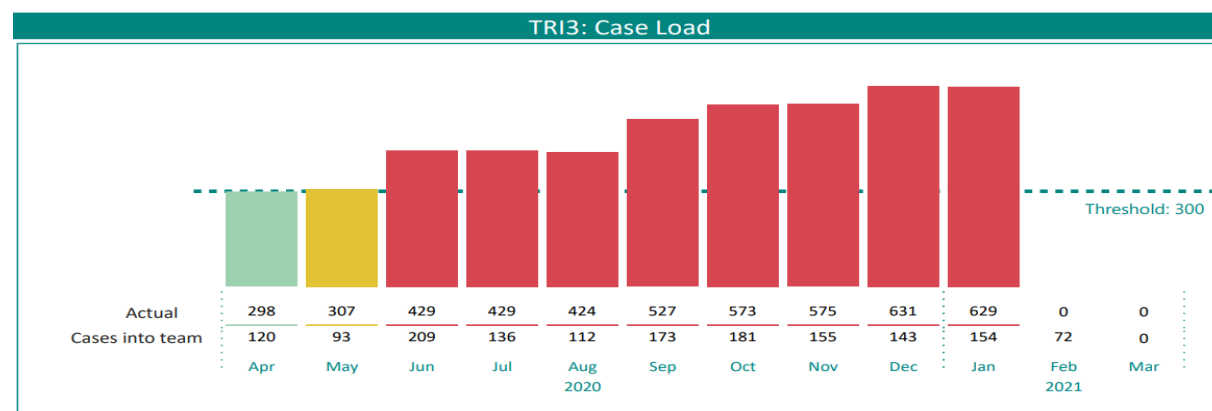
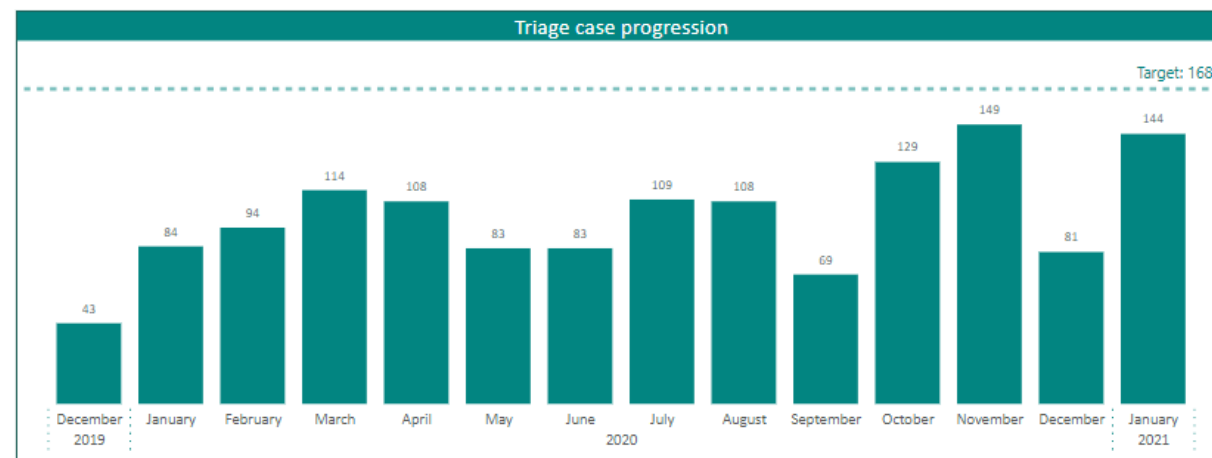
Fitness to Practise - overview

- Referral rates into the case examiner service have increased steadily throughout the quarter, resulting in an expected increase in the caseload in this service area.
- Caseloads remain at a manageable level, but our modelling predicts that the target caseload will be exceeded without additional recruitment in Q1 21/22.
- Plans to increase capacity on the team are underway, including the rationalisation of some decision making and administrative processes and the recruitment of three additional case examiners.
- The introduction of remote hearings resulted in a reduction in the caseload at this stage of the service in Q3.
- Referral rates into the service are expected to increase gradually over the next year and the team will need to continue to increase hearing conclusion rates to maintain a steady caseload.
- Hearings are now being listed at the rate required to maintain stability on the team. In order to realise this target, however, the team will also need to minimise rates of adjournment for listed hearings. Two new KPIs have been established to monitor this.



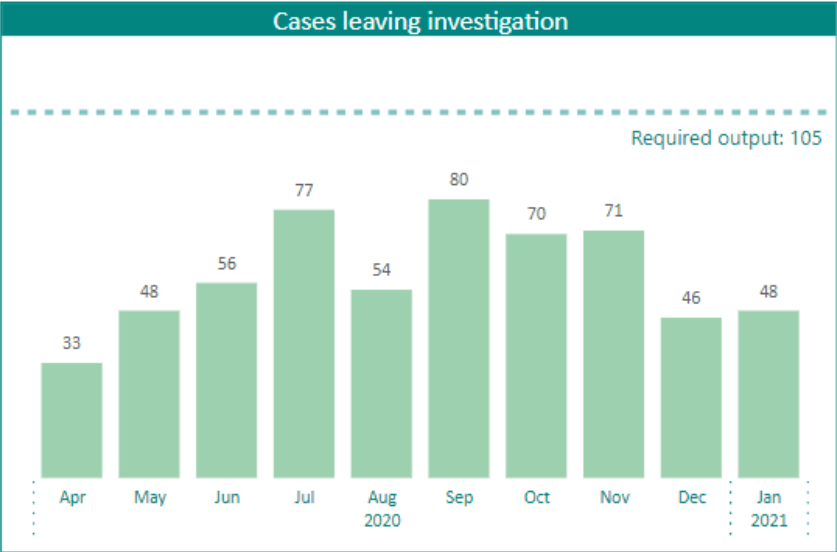
Fitness to Practise - triage

- Performance on the triage team continues to trend in the right direction, notwithstanding a reduction in December, largely due to permitted leave over the festive period.
- Overall, the team is still slightly below the level required to make a sustained reduction in the caseload, although a large proportion of the team are still new to their roles and processes continue to be embedded.
- As the team grow in experience and the disruption caused to working practices by the current lockdown subsides it is realistic to expect the team to reach the targeted level of productivity without any further increase in resource.
- Resolution rates in the service continue to exceed forecasted levels overall, which is a positive sign in terms of the effectiveness and proportionality of the fitness to practise rules.



Fitness to Practise - investigation

- Case progressions on the team were reduced in December due to leave over the festive period and in January due to the restructure of the service, reallocation of transition cases and retraining of team members.
- This was expected and has not had a significant impact on the overall caseload. The investments made through this work are expected to enable the team to achieve the targeted output within the next quarter, which will produce a sustained reduction in the overall caseload.



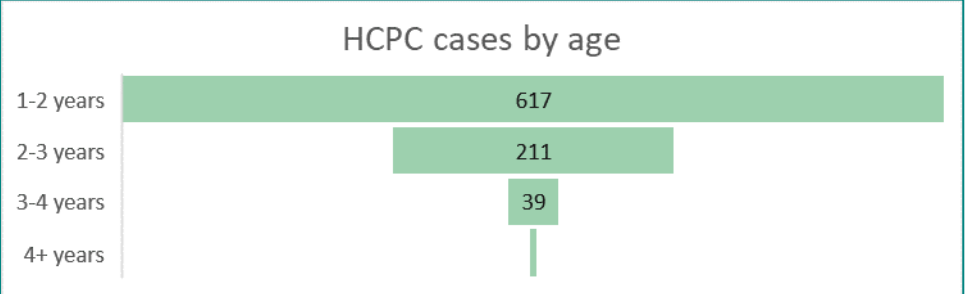
Open Social Work
England cases in
investigation (EOM)

523



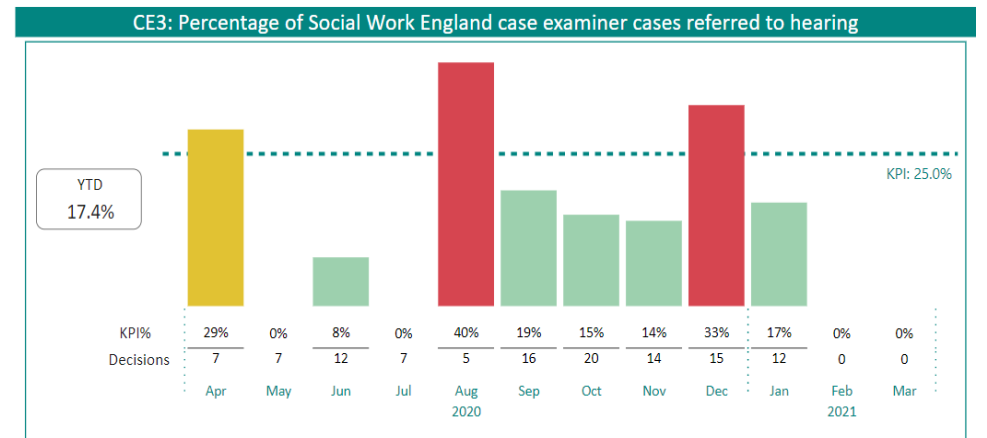
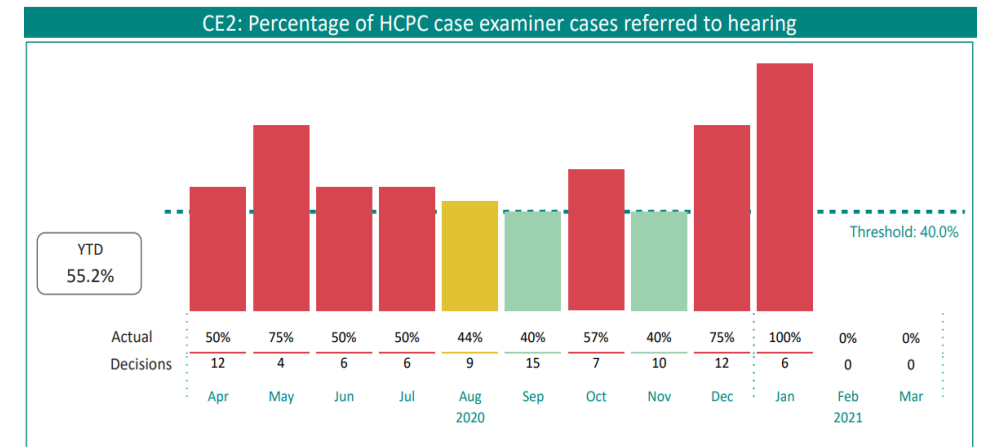
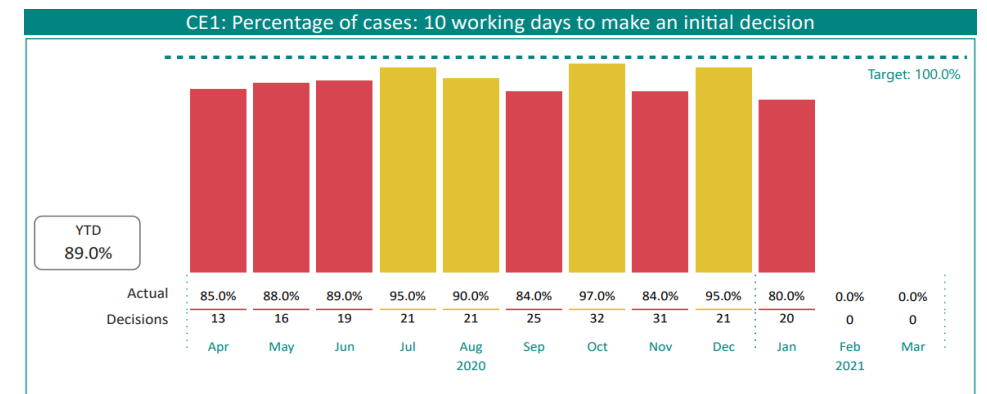
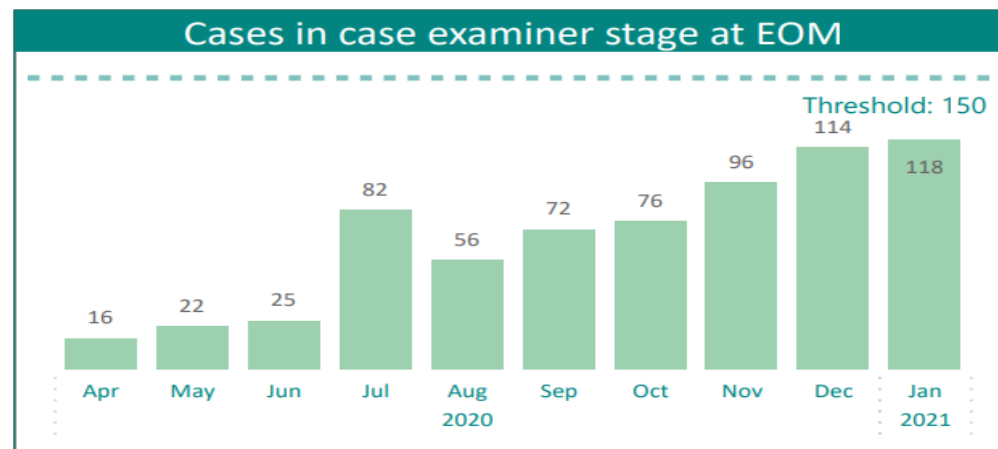
Open HCPC cases in
investigation (EOM)

873



Fitness to Practise – case examination

- During the first year the case examiners have occasionally paused consideration of a case upon receipt to seek clarity with regards to the evidence or obtain legal advice. This is generally good practice and is a key part of the case examiner's role in scrutinising the quality of investigation, but it has prevented the service from making an initial decision on 100% of referrals within 10 days. This target is achieved in about 90% of cases. Considering the above this may be a more appropriate target for the service.
- Referral rates to hearings have been significantly higher throughout the year 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.
- Case throughput has remained stable in the service, but caseloads have grown steadily as referral rates increase. Further recruitment is likely to be required to ensure that caseload remains below the targeted threshold throughout the year.

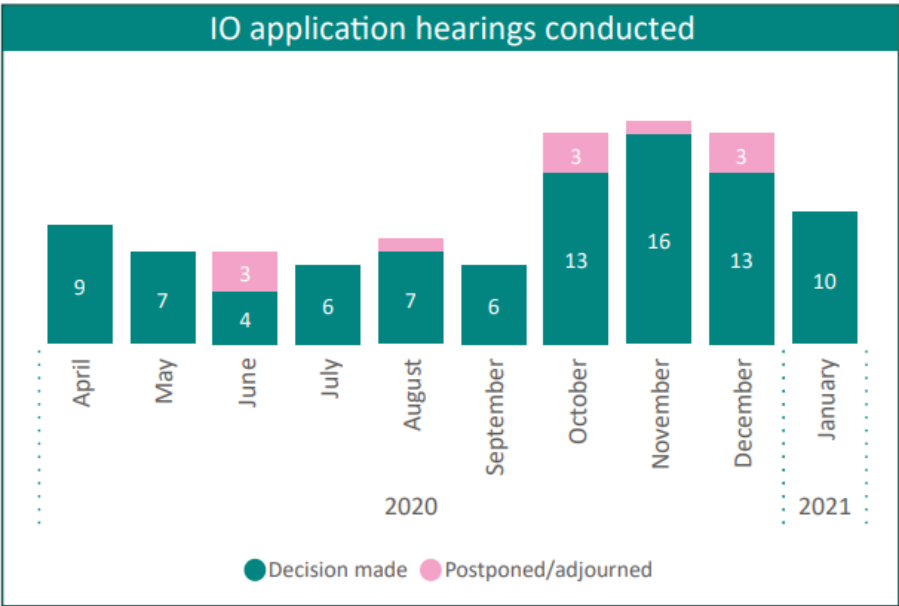
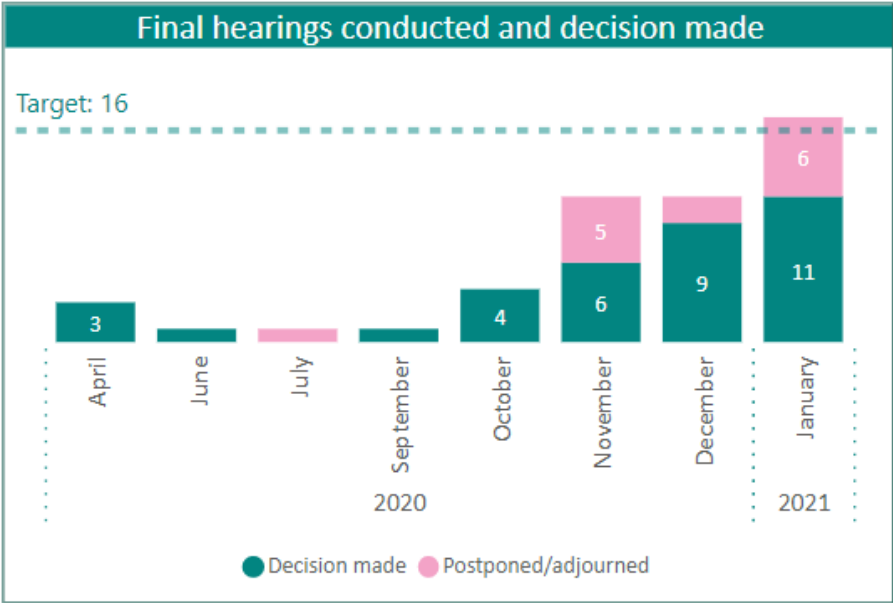
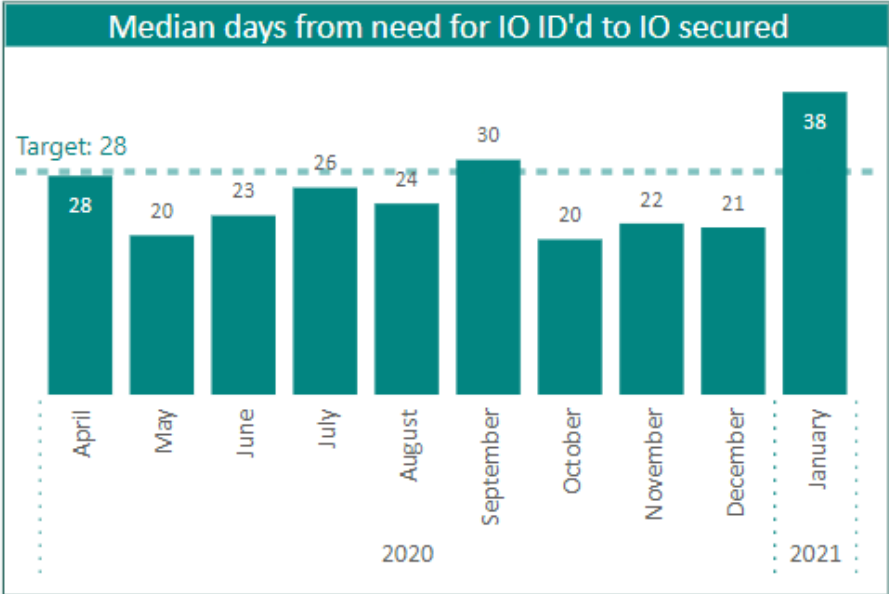


Fitness to Practise – adjudications

The service has frequently met the target for progressing cases requiring an interim order in a timely manner. That target was not met consistently in January as a result of a decision not to advance applications for interim orders over the festive period, when support services are not readily available for social workers.

Productivity at the hearing stage is trending towards targeted levels and is expected to meet the current target by the end of March. Adjournment levels have impacted on performance in this area. Timings have been unpredictable following the introduction of remote hearings, resulting in a higher level of part-heard hearings than expected.

A new KPI is being introduced to monitor and improve the rates of adjournments for scheduled hearings.





Business Plan Progress Update for the Board

February 2021

To note

Compiled by: Andy Leverton

Executive Lead: Greg Ross-Sampson



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



Key

Green = delivery on track; amber = some challenges in delivery; red = Significant issues affecting delivery

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.	- First annual renewal process now completed (include link to renewal paper for Board tabled at December 2020 meeting). - Continue to refine and improve registration processes; during Q3 implemented an online restoration application process, improving process for applicants and more efficient use of internal resources. - Work continues to review the post-qualification framework.	
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.	- Completed a service restructure across the triage and investigations team in response to the operational challenges created by the COVID-19 pandemic and heavy caseloads. - Appointed an expert training team to improve performance and quality in the investigations service. - Delivered a schedule of remote final hearings for the full quarter, resulting in a reduction in caseloads at the final hearings stances. - Delivered a series of workshops to social work employers to enhance understanding of the fitness to practise process and good practise in making referrals - Created a new process for conducting substantive hearings in part and in full through telecommunications. - Increased productivity within the triage service through more effective case streaming. - Conducted a targeted consultation for the introduction of a new process for voluntary removals within fitness to practise	

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.	• We have published our first 2 pieces of research on public perceptions of social work and social work experience. We have now commissioned further research into mental health, CPD and education and training. This will shape our work in these areas and add to our internal analysis. • We have published our first "Social Work in England" report which was well received. This is the precursor to an authoritative "state of the nation" piece in Year 3. • We regularly engage with other regulators on aspects of regulatory policy.	

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.	- Through our engagement with the sector to ensure clear understanding of our requirements on CPD and the link to professional practice and competence, 94.7% of the sector complied with our requirements and consequently were able to successfully renew their registration. - We continue to work 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. We have established a professional expert group to advice and support this work. 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.	

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.	- 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 have published our first "Social Work in England" report which has been well received. - We have commissioned further research into mental health, education and training, and CPD, which will inform and shape our approach to some of the broader strategic activity and planning taking place. - We regularly share our learning and approach through social media engagement and articles in trade press, partnering with practitioners and students to provide "of the moment" insight into social work and its impact.	
---	-----------------	--	--	--

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.	• 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. • 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. • 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. • Significant focus is going into the preparation for Social Work Week, the first week of its kind, sharing learning and reflection for those interested in the social work profession and its practice. 12,000 tickets have now been allocated.	

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.	• 2020 annual monitoring process now complete, and draft analysis of responses now being analysed. • Inspections continue to be delivered (albeit remotely) and approval activity continues to be effective and robust. • Recruitment commences within Q4 for additional staff members to deliver reapproval cycle from September 2021. • 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 109 enquiries to the quality assurance team relating to education and training.	

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.	• We continue to hold conversations internally and with some stakeholders in relation to 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	
---	---------------	--	--	--

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.	• A tender has been undertaken to continue to provide IT development services for Forge • Quality assurance framework has been in place since April 2020 and during this quarter we have completed the delayed process review of triage processes, and an unscheduled review of pension contribution processes. • We completed an unscheduled output focused review of accepted disposal decisions and have also begun two scheduled output focused audits - Risk assessments and interim orders, and Triage decisions (the latter is currently four weeks behind schedule). • Legal and IG/DP teams continue to provide support and advice to all areas of the organisation, and have been particularly involved in issues relating to the exit from the European Union. This has included working with internal and external colleagues to amend our Rules relating to overseas applicants, and working with government and colleagues on issues relating to data protection and contractual arrangements with our suppliers from 1 January 2021. • Our financial scheme of delegation has been approved by the Board and terms of reference have been updated for review. There have been three internal audits in this quarter, all discussed at ARAC in February 2021. • We have begun planning for the annual report and accounts with our external auditors Mazars and an audit plan was presented to ARAC in February. Work continues on the development of our new corporate system, Enable, that for the first time brings together into one system finance, procurement and HR. • Budgets have continued to be re-profiled to reflect changes in terms of business operations during Covid-19. Work began on budget profiling for 2021-22 in December. • We have continued to develop our analytical approach, including building our long-term plans, refining our reporting mechanisms and our reviewing our analytical resources.	

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.	• Our recruitment and onboarding continues. • Our forums and networks have continued to play an important role in communication and support. Our weekly internal communication that included and ELT briefing and our monthly whole organisational meetings help us to keep our people connected. • Our workforce planning and talent framework continues. Our people mid year review, TRACKED took place in October. • We have initiated a people policy review that takes a co-production approach involving our people in the process. • Our monthly voucher recognition scheme is now managed through an Applause panel comprised of people from across the organisation.	