

Social Work England Board Meeting

Friday 19 May 2023, 10.30 - 12.45

at The Don, Social Work England

and by videoconference

AGENDA

Item	Time	Topic	Paper / Ref.	Board Action	Lead
		Welcome			Interim Chair
1.	10.30	Apologies for Absence and Declarations of Interest	Verbal	To note/declare	Interim Chair
2.	10.40	Minutes of the meeting held on 10 March 2023	Paper 01	To approve	Interim Chair
3.	10.50	Matters Arising and Action Log	Paper 02	To discuss and note	Interim Chair/ Executive Office Lead
4.	10.55	Chair's Report	Verbal	To note	Interim Chair
5.	11.05	Chief Executive's Report	Paper 03	To discuss, advise and note	Chief Executive
6.	11.15	Remuneration Committee Chair's Report	Verbal	To note	Remuneration Committee Chair; ED People and Business Support
7.	11.30	ARAC Chair's Report	Paper 04 *	To note	ARAC Chair; ED, People and Business Support;
		Business cases –		To approve	Head of Data Protection and Information Manager
		• Renewal of legal services • Renewal of Appian licence			
		• Data Protection Officer's Annual Report 2022/23 • ARAC Chair annual report 2022/23	Annex 04a *	To discuss, advise and note	
			Annex 04b*	To discuss, advise and note	

Item	Time	Topic	Paper / Ref.	Board Action	Lead
8.	11.45	Finance and Commercial Report Management accounts to 31 March 2023	Paper 05	To discuss and note	ED People and Business Support; Head of Finance and Commercial
9.	12.00	Quarter 4 Performance Report 2022/2023	Paper 06	To approve	Executive Directors; Head of Business Planning and Improvement
10.	12.20	Equality, Diversity, Inclusion Action Plan 2023/24 (final draft)	Paper 07 *	To discuss, note and approve	ED, Professional Practice and External Engagement; Head of EDI
11.	12.30	Schedule of delegations	Paper 08	To note	Chief Executive; ED, Regulation
12.	12.40	Any other business	n/a	To discuss	Interim Chair
		Date of Next Meeting: Friday 28 July 2023		To note	Interim Chair
	12.45	Meeting ends			

* Papers marked with an asterisk are 'private' to protect confidentiality according to our guidance for publishing board papers.

LIST OF ATTENDANCE

Board Members:	Dr Andrew McCulloch	Interim Chair, Non-executive Director
	Dr Adi Cooper	Non-executive Director
	Ann Harris	Non-executive Director
	Mark Lam	Non-executive Director
	Colum Conway	Chief Executive, Executive Director
Staff in Attendance:	Ahmina Akhtar	Head of Equality, Diversity and Inclusion (EDI)
	Alison Edbury	Executive Office Lead
	Andy Leverton	Head of Business Planning and Improvement
	Berry Rose	Assistant Director, Regulation (Investigations)
	Joe Matthews	Head of Data Protection and Information Governance, and Data Protection Officer
	Jonathan Monk	Assistant Director, Policy and Strategy
	Katie Florence	Assistant Director, Communication, Engagement and Insight
	Linda Dale	Executive Director, People and Business Support
	Philip Hallam	Executive Director, Regulation
	Rachel McAssey	Assistant Director, Regulation (Registration, Advice and Adjudications)
	Richard Simpson	Head of Finance and Commercial
	Sarah Blackmore	Executive Director, Professional Practice and External Engagement
Sponsor Team:	Catherine Pearson	Department for Education (DfE)
	Sonia Mosley	Department for Education (DfE)
	Sue Howson	Department for Education (DfE)
Public Observers:	Representative	Unison
	Representative	Professional Standards Authority
Staff Observers:	Khadija Rafiq	Hearings Officer
Minute taker:	Sophie Rees Rumney	Executive Assistant
Apologies:	Jonathan Gorvin	Non-executive Director
	Dr Sue Ross	Non-executive Director
	Jennifer Waterhouse	Board Apprentice



Minutes from the Board meeting held on 10 March 2023

Agenda Item 2 Paper Ref 01

Paper for the

Social Work England Board

Sponsor

The Chair of the Board

Author

Alison Edbury, Executive Office Lead

Date

19 May 2023

Reviewed by

Colum Conway, Chief Executive

This paper is for

Assurance and Noting

Associated Strategic Objective

SO9: We will establish robust infrastructure, systems and processes that promote trust and confidence.

Impact: Risk Type and Appetite

Operational delivery - Open

1. Welcome,
2. Minutes of the
3. Matters arising and
4. Chief Executive's
5. Finance and
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7. Schedule of

Minutes of the Social Work England Board Meeting for approval
Friday 10 March 2023, 10.30am
at The Don, Social Work England and by videoconference

Board Members:	Dr Andrew McCulloch Dr Adi Cooper Ann Harris Jonathan Gorvin Mark Lam Dr Sue Ross Colum Conway	Interim Chair Non-executive Director Non-executive Director Non-executive Director Non-executive Director Non-executive Director Chief Executive, Executive Director
Social Work England staff in attendance:	Andy Leverton Berry Rose Jonathan Monk Katie Florence Leanne Clarke Linda Dale Philip Hallam Rachel McAssey Sarah Blackmore Sophie Rees Rumney	Head of Business Planning and Improvement Assistant Director, Regulation (Investigations) Assistant Director, Policy and Strategy Assistant Director, Communication, Engagement and Insight Finance Business Partner Executive Director, People and Business Support Executive Director, Regulation Assistant Director, Regulation (Registration, Advice and Adjudications) Executive Director, Professional Practice and External Engagement Executive Assistant
Sponsor Team:	Caroline Firth Sonia Mosley Sue Howson	Department for Education (DfE) Department for Education (DfE) Department for Education (DfE)
Public Observers:	Ben Jones James Wilkinson Siobhan Carson	Unison Unison Professional Standards Authority
Staff Observers:	Elijah King Ioana Roberts Louise Broddle Renee Aleong	Case Examiner Regional Engagement Lead - East Head of Fitness to Practise Investigations Regional Engagement Lead
Minute taker:	Alison Edbury	Executive Office Lead
Apologies:	Jennifer Waterhouse	Board apprentice

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1. Welcome

- 1.1 Interim Chair, Dr Andrew McCulloch, welcomed everyone to the meeting. Apologies had been received from Social Work England's Board apprentice, Jennifer Waterhouse.
- 1.2 Ann Harris declared that she would be joining the Board of Directors of Sheffield Teaching Hospitals Foundation Trust from 1 April 2023.

2. Minutes of the Last Meeting

Paper 01

- 2.1 The minutes of the meeting on Friday 27 January 2023 **were approved as a correct record.**

3. Matters Arising and Action Log

Paper 02

- 3.1 There were no matters arising.
- 3.2 The Chair reviewed the action log. He reported that all actions closed at or since the last meeting were **approved** as follows:
- **Action 66:** Board members were welcome to contact Executive Director, People and Business Support to discuss the People Strategy in development. *Discussions have taken place ahead of Remuneration Committee on 16 February 2023. Action closed.*
 - **Action 67:** Executive Director, People and Business Support and Executive Office Lead to arrange a seminar style meeting with the Board to discuss the People Strategy. *A date to be agreed with the Board, following Remuneration Committee meeting on 16 February 2023. Note, the Chair had proposed that this business would be discussed as part of an awayday in June, this was now arranged for Thursday 15 June. Action closed.*

The progress on the open actions was noted:

- **Action 54:** Chair to have one to one meetings with non-executive directors. *The summary of the board evaluation would be discussed by the Board at its May private strategy meeting. Open.*
- **Action 69:** Executive Director, People and Business Support to implement an annual whistleblowing disclosures report for reporting to the Board annually. *It was clarified that this action related to whistleblowing as a prescribed body. This was in progress with plans to bring an end of year report to the Board for 2023/24. Open.*

4. Chair's Report - verbal

- 4.1 Dr Andrew McCulloch reported that following the resignation of Lord Patel of Bradford, his appointment as Interim Chair had been approved for a period of one year from 1 March 2023, whilst the recruitment for a substantive chair and 2 Non-executive Directors takes place. He said it was a privilege to step up as Interim Chair and thanked the Board for its support.
- 4.2 The Board expressed its thanks to Lord Patel and acknowledged the leadership role he had played as the founding Chair, in establishing Social Work England as an arm's length public body, and in partnership with the sector. The Board congratulated Dr Andrew McCulloch on his appointment.

4.3 The Chair noted that his appointment had an impact on Committee memberships and these would need to be adjusted accordingly. He was required to step down as Policy Committee Chair and from the Audit, Risk and Assurance Committee (ARAC). Therefore, he had asked Jonathan Gorvin to take up the role of Policy Committee Chair and Dr Sue Ross to join ARAC. Both appointments had been accepted and were **approved by the Board**. The Chair planned to hold informal meetings with individual Board members and for Social Work England's governance structure to be discussed at the awayday planned for June.

5. Chief Executive's Report

Paper 03

- 5.1 The Chief Executive welcomed Dr Andrew McCulloch to his new role as Interim Chair. He endorsed the thanks expressed by the Board to Lord Patel and recorded his best wishes for his future.
- 5.2 There had been changes to personnel in the Department for Education (DfE) sponsor team. Felicity Allen had moved into a new Deputy Director role, with Catherine Pearson and Madeleine Percival taking up the role of Deputy Directors, Social Work Strategy, Practice and Evidence in a job share capacity. The Chief Executive expressed his thanks and good wishes to Felicity Allen on behalf of the Board and the organisation.
- 5.3 The Chief Executive provided a summary of his report to the Board. Following receipt of the draft performance review report from the Professional Standards Authority, the final report was expected to be published at the end of March. The first meeting of the newly formed National Workforce Roundtable had been held in February. This was facilitated by Social Work England and chaired by Executive Director, Professional Practice and External Engagement who reported that it had been well-received. The roundtable had achieved a positive energy and purposeful commitment to working together on a whole system approach to achieve a meaningful impact for the sector workforce over the longer term.
- 5.4 Plans were on target for the new education and training forum to be up and running by the end of April. There had been a strong response to the recruitment process. The forum would be chaired by our associate Dr Kevin Stone who was now finalising appointments to the forum.
- 5.5 The Chief Executive would be contributing as a guest speaker to the International Congress on Professional and Occupational regulation, this was the main annual event held by the Council on Licensure Enforcement and Regulation (CLEAR), it would take place in Dublin this year.
- 5.5 The Chair thanked the Chief Executive for his report and recorded thanks to Felicity Allen on behalf of the Board.

6. Remuneration Committee Chair's Report

Paper 04

- 6.1 The Remuneration Committee Chair reported that the annual appraisal process was underway for the Chief Executive and Executive Directors in line with the annual performance appraisal process for all our people. An update on the People Strategy had

been presented at the last meeting; the way in which this had been developed was praised by the Remuneration Committee. The strategy had been approved by the committee and would be brought to the June awayday for discussion. The Committee had also received a report on the final outcomes from our people engagement survey in 2022 and the follow up deep dive survey.

6.2 Executive Director, People and Business Support reminded the Board that our third people engagement survey had been conducted in May 2022. The findings identified that overall, our people have a high level of engagement and are generally positive about their experience in the workplace. Responses to the question on ‘purpose and values’ including the setting of meaningful goals had been less strong, and so a further deep dive survey had been carried out in October to help understand the responses to this question. Follow up work had identified there had been different interpretations of the wording, resulting in some inconsistency in responses. The in-depth survey had found that 87% of respondents said our purpose and values were clear and easy to understand.

6.3 The Board asked if there were any issues concerning the organisation’s culture or how individual goals were set that needed to be addressed. The Executive Director reported that there had been a detailed discussion with the Committee on this subject, and the Executive Leadership Team had also considered the free text responses to help understand and interpret people’s responses to the survey. Overall, the conclusion was that people were positive about the organisational culture, however, maintaining and further developing our culture would form a key theme in the new People Strategy. The Board was also given assurance that a process is in place for setting individual objectives which link clearly to organisational priorities; further support and guidance will be provided to managers as we approach the new business year. The Executive Director explained that this year’s survey results could not be benchmarked against the previous year, but we would retain the same supplier and look to benchmark this year’s results against future years.

6.4 The Board **noted the report**.

7. Policy Committee Chair’s Report

Paper 05*

7.1 Policy Committee Chair reported full attendance at the last meeting, this included our Boardroom Apprentice. The Committee had discussed the work focused on workforce, the DfE’s national plan “Stable Homes, Built on Love” including Social Work England’s responsibilities towards its implementation, and the public perceptions research commissioned from YouGov. Its next meeting in May would consider our approach to education.

7.2 The Board asked for an update on the Data and Insight Strategy. Work was ongoing and it was anticipated the strategy would be ready to circulate to the Committee in the next few weeks.

7.3 The Board asked whether Social Work England had a role to play in addressing the induction and support needs of social workers recruited from overseas. Executive Director, Regulation noted that we could engage employers with these concerns, working with DfE and DHSC. Executive Director, Professional Practice and External Engagement suggested that the

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workforce roundtable could be used to pick this up, noting that numbers of international social workers recruited were relatively small in comparison to other professions in health and care.

- 7.4 The Chair proposed that, following Jonathan Gorvin's acceptance of the role of Policy Committee Chair, this appointment should take immediate effect. **The Board endorsed the immediate effect of the appointment of Jonathan Gorvin as Policy Committee Chair.**

8. Audit, Risk and Assurance Committee (ARAC) Chair's Report

Paper 06*

- 8.1 ARAC Chair reported that the Committee had discussed a detailed report on the digital roadmap. The organisation was critically-dependent on the Forge system and its planned deliverables were restricted to the parameters of our budget and consequent resource allocation. She had asked for a familiarisation session with management colleagues to understand what Forge does and how planning and prioritisation is managed.
- 8.2 All 7 internal audits had been completed by Haines Watts for the internal audit plan 2022/23. The new internal audit team, RSM, had been contracted and had introduced the new internal audit plan for 2023/24. The approach recommended by RSM was to conduct fewer, but deeper dive type audits, 4 in total, and a Follow up report. This approach had been proposed and agreed by the Executive Leadership Team and ARAC.
- 8.3 ARAC Chair planned to prepare an ARAC annual report to the Board this year. This was in line with good practice recommended by the National Audit Office. She would complete the report for the 2022/23 operational year and present it to the first Board meeting in 2023/24.
- 8.4 Supported by the Executive Director, People and Business Support and Executive Office Lead, the action plan from the ARAC Effectiveness Review had been drafted and approved by ARAC. The Board were advised that the Effectiveness Review had been conducted using the National Audit Office review tool and guidance; ARAC Chair reported this had been a good exercise for the Committee.
- 8.5 In concluding her report to the Board, ARAC Chair reported that Dr Sue Ross had agreed to join ARAC, the Board was asked to endorse the appointment to take immediate effect. **The Board endorsed the appointment of Dr Sue Ross to the Audit, Risk and Assurance Committee and for this to take immediate effect.**

9. Finance and Commercial Report

Paper 07

- 9.1 Executive Director, People and Business Support reported that the management accounts for the year to 31 January 2023 presented a year-to-date underspend of £1.3m, this was consistent with the forecast reported in quarter 3. The key contributors to the underspend were higher than budgeted fee income, due to an increase in overseas applications and restoration fees, in addition there was an expenditure underspend linked directly to the legacy case project in hearing activity. For these reasons, it was anticipated that the level of underspend would be £1.5m at the end of the financial year, similar to the forecast in December. We had asked DfE if the underspend relating to legacy cases, expected to be £1.2m, could be included in our budget for the 2023/24 financial year.

9.2 The digital programme board had approved version 1 of our Forge development as fully completed, and for these intangible assets to be amortised. This would feature as an amortisation in this year's accounts, the estimated amortisation value was £400k.

9.3 Following a detailed selection process, the digital development contract had been awarded to the current supplier; exchange of contracts would take place by the end of March 2023. The telephony business case was undergoing a re-costing as a result of a better value for money solution being identified.

9.4 The Board discussed what approach could be taken to better understand the organisation's financial model and forward projections. The Chief Executive noted that following the exceptional circumstances of prior years, work was still progressing towards understanding Social Work England's business as usual model. **The Board agreed to plan an exercise to look at financial modelling for 2024/25.**

Action: Head of Finance and Commercial to plan an exercise to look at financial modelling for 2024/25.

10. Report on the Implementation of the Just Disposal of Transfer Cases Policy Paper 08

10.1 Executive Director, Regulation introduced the paper. It explained when and how the Just Disposal of Transfer Cases Policy had been applied within the fitness to practise (FTP) function at Social Work England and outlined the achievements. The report was provided for the Board's assurance.

10.2 The Board discussed the report and asked about the lessons learnt from the Just Disposal process generally. The Executive Director reported that the policy had been very successful overall and had also enabled a greater understanding of the nature of cases. We were now able to align this learning to our triage test at a pre-case examiner stage and plan ahead with a better understanding of the kind of cases we might need to deal with in future.

10.3 The Chair acknowledged on behalf of the Board, appreciation of the opportunity to reflect on the learning from this policy. The Chair thanked the team for a good report.

11. Our Strategy 2023 to 2026

Paper 09*

11.1 Chief Executive reported that following thorough consultation including input from the Board, Our Strategy was now presented for sign off, prior to its publication ahead of Social Work Week.

11.2 The Board asked about evaluation of the strategy. The Chief Executive provided assurance that this was included in the guiding principles. The planned accessible formats, including an easy read format, and a plan on a page, were discussed. **The Board endorsed Our Strategy 2023 to 2026.**

12. Business Plan 2023/24 and Key Performance Indicators (draft)

Paper 10*

12.1 Chief Executive introduced the draft business plan for 2023/24. This had developed alongside our new 3-year strategy and it was planned to publish the business plan in April.

12.2 Head of Business Planning and Improvement provided a status update on the development of the business plan. Following ARAC's endorsement of the business plan's strategic objectives, success measures had been further developed and work would continue to refine these, alongside preparing a summary 'plan on a page'. Feedback from the Board was welcomed at this stage.

12.3 The Board agreed that overall, this was a good business plan and synergies with Our Strategy were clear. It identified that the measures and targets required further work and members of ARAC offered support to the Executive Director, People and Business Support to take this forward. The Executive Director acknowledged that the business plan was yet to be finalised and welcomed the Board's support towards this, she would follow this up with the Board.

Action: Executive Director, People and Business Support to facilitate input from Board members on ARAC into finalising the business plan.

12.4 The Chair noted there would be an opportunity for the Board to discuss its expectations for the approach and format of future business plans at its awayday. The Board endorsed the strategic objectives in the business plan and agreed to sign off the final version by email following the input from Board members.

Action: Executive Director, People and Business Support to progress Board sign off the business plan by end of March.

13. Sustainability Plan (draft)

Paper 11*

13.1 Executive Director, People and Business Support presented the draft Sustainability plan to the Board for approval. The Sustainability plan integrated our corporate social responsibilities and environmental, social and governance (ESG) commitments into one overarching plan to align with the Greening Government Commitments. Actions were proposed for each of the 3 core pillars – People action, Greener workspaces and Responsible sourcing. The draft had been updated following review and feedback from ARAC at its February meeting. Once approved by the Board, it was intended for the Board to have oversight of delivery of the plan, with reporting to ARAC twice a year.

13.2 ARAC Chair reported that ARAC was pleased with the thoroughness of the Sustainability plan and had requested that a baseline and measures to achieve each year for the next 3 years be added to it in due course.

13.3 Executive Director, People and Business Support agreed. Guidance on setting our baseline was being sought from National Audit Office and appropriate targets could be developed at that point. The corresponding action plans would be presented to Executive Leadership Team for approval.

13.4 The Board approved the Sustainability plan. The Chair thanked the team involved.

- 14.1 Executive Director, People and Business Support introduced Social Work England's proposed budget for 2023/24 to the Board. The budget was based on the assumption that the DfE would provide £2m grant in aid in addition to core funding. Provisional approval from the DfE for our budget had been received but we were awaiting ministerial approval.
- 14.2 The proposed 2023/24 annual budget, net of fee income, and including capital and depreciation, was £15m and this included the £2m to additional grant-in-aid. The £2m comprised £1.2m underspend from the current financial year on the legacy cases project (due to timing issues) and £800k to support our efforts to continue to work on caseload and to undertake a communications campaign. Should the £2m grant in aid not be confirmed, planning could be adjusted quickly. Executive Director stated that there would be a strong focus on efficiency, however this level of budget next year would not enable a reduction in the number of cases awaiting hearing. This would be a longer-term objective, and Social Work England would be working closely with DfE to explore how it could be achieved. It was noted that while clear and achievable plans are in place to address timeliness at Triage and Investigations stages of FtP it is highly unlikely that timeliness at the hearing stage can be improved without additional resources and funding. The Chair and Chief Executive agreed the importance of bringing case progression and timeliness, particularly at hearings stage, to acceptable levels.
- 14.3 Executive Director, People and Business Support provided assurance that the business plan was fully costed and budgeted for.
- 14.4 The Board asked if there were any risks to be considered. The Chief Executive provided assurance that the finances in each key area would be monitored closely, however, hearings were dynamic in nature, and could present a risk.
- 14.5 The Chair was satisfied that the plan to manage the budget was clear and the Board had acknowledged the constraints and noted that we would continue to work closely with DfE in monitoring the budget and managing any risks. The Chair asked the Executive Director, People and Business Support to keep the Board updated on the budget and the business plan. **The Board approved the budget.**

Action: Executive Director, People and Business Support to keep the Board updated on the budget and business plan.

15. Corporate Governance: terms of reference and policy update

Paper 13

- 15.1 The Chair noted that the terms of reference and board-related policies were on the agenda for annual review and approval as part of our good practice approach to corporate governance.
- 15.2 **The Board reviewed and endorsed the board code of conduct policy, board declarations of interest and conflict resolution policy and the gifts and hospitality policy.**
- 15.3 The Board asked the Executive Director, People and Business Support to do a final check on the Board terms of reference to ensure the amendments were in line with the Framework Document and accommodated the recent changes to our governance structure.

Action: Executive Director, People and Business Support to check the amendments were in line with the Framework Document and accommodated the recent changes to our governance structure. This was checked and confirmed following the meeting; the Chair and ARAC Chair signed off the final version by email.

16. Any other business – verbal

16.1 There was no other business discussed. The Chair thanked Social Work England colleagues for their work on the papers and closed the meeting.

Date and Time of Next Meeting: Friday 19 May 2023 10.30 am.

The meeting ended at 12.03pm.

Summary of Actions

- Head of Finance and Commercial to plan an exercise to look at financial modelling for 2024/25.
- Executive Director, People and Business Support to facilitate Board members input into finalising the business plan.
- Executive Director, People and Business Support to progress Board sign off the business plan by end of March.
- Executive Director, People and Business Support to keep the Board updated on the budget and business plan.
- Executive Director, People and Business Support to check the amendments were in line with the Framework Document and accommodated the recent changes to our governance structure. This was checked and confirmed following the meeting; the Chair and ARAC Chair signed off the final version by email.

* Papers marked with an asterisk are ‘private’ to protect confidentiality according to our guidance for publishing board papers.



Summary of Actions from board meetings up to 19 May 2023

Agenda Item 3 Paper Ref 02

Paper for the
Social Work England Board

Sponsor
The Chair

Author
Alison Edbury, Executive Office Lead

Date
19 May 2023

Reviewed by
Colum Conway, Chief Executive

This paper is for
Assurance and Noting

Associated Strategic Objective
SO10: Continually develop and improve how we work, ensuring we are a well-run organisation that delivers the right outcomes and provides value for money.

Impact: Risk Type and Appetite
Operational delivery - Open

Equality Impact Assessment (EIA)
N/A

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1. Summary

The actions below provide an audit trail of items closed at or since the last meeting on 10 March 2023. Actions still in progress or yet to complete since the last meeting are listed on the log that follows.

Closed actions recorded at and following the last meeting:

- **Action 54:** Chair to have one to one meetings with non-executive directors. *The board evaluation would be discussed by the Board at its May private strategy meeting.* **Action closed.**
- **Action 66:** Board members were welcome to contact Executive Director, People and Business Support to discuss the People Strategy in development. *Discussions have taken place. Executive Director was open to further discussions up to 6 February 2023 ahead of Remuneration Committee on 16 February.* **Action closed.**
- **Action 67:** Executive Director, People and Business Support and Executive Office Lead to arrange a seminar style meeting with the Board to discuss the People Strategy. *The Chair had proposed that the business would be discussed as part of an awayday in June. This was now arranged for Thursday 15 June.* **Action closed.**
- **Action 71:** Executive Director, People and Business Support to facilitate Board members input into finalising the business plan. *Completed and business plan now published on Social Work England website.* **Action closed.**
- **Action 72:** Executive Director, People and Business Support to progress Board sign off the business plan by end of March. *Completed and business plan now published on Social Work England website.* **Action closed.**
- **Action 73:** Executive Director, People and Business Support to keep the Board updated on the budget and business plan. *Completed and business plan now published on Social Work England website; monitoring of performance is planned for reporting to the Board during 2023/24.* **Action closed.**
- **Action 74:** Executive Director, People and Business Support to check the amendments were in line with the Framework Document and accommodated the recent changes to our governance structure. *This was checked and confirmed following the meeting; the Chair and ARAC Chair signed off the final version by email.* **Action closed.**

Updates on open actions are noted in the action log that follows.

2. Action required

The Board is asked to note the progress against the actions.

Social Work England Board Action Log

Action no.	Date of Meeting	Action	Owner	Due By	Update	Next review	Status
69	27/01/23	Executive Director, People and Business Support to implement an annual whistleblowing disclosures report for reporting to the Board annually.	Executive Director, People and Business Support	31/03/24	Report planning in progress for joint reporting with sister regulators, this is led by GMC. Report expected to be published Q2.	28/07/2023	Open
70	10/03/23	Head of Finance and Commercial to plan an exercise to look at financial modelling for 2024/25.	Executive Director, People and Business Support; Head of Finance and Commercial	27/10/23	Planning in progress for Q3.	28/07/23	Open



CEO Report to the Board May 2023

Agenda Item 5 Paper Ref 03

Paper for the
Social Work England Board

Sponsor
Colum Conway, Chief Executive

Author
Colum Conway

Date
10 May 2023

Reviewed by
Executive Leadership Team

This paper is for
Assurance and Noting

Associated Strategic Objective
SO10: Continually develop and improve how we work, ensuring we are a well-run organisation that delivers the right outcomes and provides value for money.

Impact: Risk Type and Appetite
Strategy - Open

Equality Impact Assessment (EIA)
N/A

1. Welcome,
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1. Introduction

Since our last meeting we have had meetings of the Audit, Risk and Assurance Committee and the Remuneration Committee. The Chairs of these committees will be reporting at our meeting today. To note as additional to their reports the National Audit Office will be on site for the external audit the weeks commencing 22 May and 5 June, planning is well advanced, and all seems on track at this stage for laying annual report and accounts before parliamentary summer recess. The pay remit guidance has now been published and allows pay awards up to 4.5% (5% if targeted towards lower salaries). Our proposals are now being finalised for submission in July and have been agreed in principle with the Remuneration Committee. The annual people engagement survey will be launched on the 15 May. The Policy Committee is due to have its next meeting on the 8 June.

Our business plan for 2023/2024 was published in early April and contains the key objectives for the organisation for the year. Within the plan there are cross cutting themes such as our approach to planning for our people, the development of a strategy for data and insight, and our action planning in relation to Equality Diversity and Inclusion (EDI). The people plan has been discussed at the Remuneration Committee and the data and insight plan will be shared with the Policy Committee prior to its meeting in June, the action plan for EDI is on the agenda for discussion at the Board today.

Our approach to EDI is guided by two main principles – equality, diversity and inclusion must be integral to and embedded in all we do, and we must always listen to, engage with and co-produce alongside those who are directly influenced by our work.

2. Quarter 4 Performance Report

On our agenda today is the final quarterly performance report for 2022/2023 and it indicates a good level of achievement against our objectives for the year. This will be shared in greater detail in our annual report and accounts, drafts of which will come to the board over the next few months for consideration and approval. In the key performance indicators to note the legacy case target for completion was based on a full year of activity and activity did not start until the end of June 2022 and will continue to the end of June 2023. We remain on track to achieve this target by June 2023 when the additional funding for addressing the legacy cases will come to an end. The year end variance to budget does not include the underspend on this additional funding; as noted above this is simply an issue of timing and not performance.

The multi-factorial elements of the challenges presented by case progression and timeliness in fitness to practise have been discussed by the Board and we have agreed our approach and focus on this area in the year ahead as a key part of our business plan.

The level of engagement with the sector is particularly high in this quarter due in part to the success of Social Work Week and it is good to note the positive reception for the publication of Social Work in England Report and Our Strategy.

To note in relation to current industrial action in certain sections within the public sector we are reviewing the position for ourselves and social work sector on an ongoing basis; at this point our overall assessment is that the risk of strikes affecting our operations remain low, and we are monitoring closely the potential for any future strike action by social workers.

3. Professional Standards Authority – Social Work England Performance Review 2021 - 2022

Since the last Board meeting the Authority has published its review of our performance for the calendar year 2021/2022. Full details can be found on our [website](#). The report indicates that we met 16 of the 18 standards – standards 15 and 17 were not met. It is good to note that we met standard 3 in respect of equality, diversity and inclusion with the report highlighting the impact of receiving such a high level of response to our request for EDI data at renewals. The level of collaboration with our key stakeholders in achieving this outcome is to be commended.

Standard 15 relates to timeliness and case progression in fitness to practise which is noted above, we have agreed our approach and focus on this area in our business plan.

Standard 17 relates to interim orders, we are confident the issues for this standard will be addressed in 2023/2024 due to completing the outstanding legacy cases and implementing the changes in rules and regulations in this area.

The review for 2021/2022 was a monitoring review under the Authority’s new approach, the review for 2022/2023 will be full periodic review and planning for this review is under way.

4. Conferences and Consultations

Last week, along with a couple of colleagues, I attended and spoke at the [Council on Licensure, Enforcement and Regulation \(CLEAR\)](#) 7th International Congress on Professional and Occupational Regulation in Dublin. A running theme at the conference was one of compassionate regulation and the idea of viewing regulation as a verb (regulating not

regulation) - a continuous, purposeful ongoing activity rather than simply a set of rules and processes.

This year for the first time we were able to speak as part of the main programme at the ADASS Spring Seminar in St. Neot's. This was attended by over 200 Directors of Adult Social Services, Principal Social Workers and other key stakeholders, including the Chief Social worker for adults. At the conference Sarah spoke about workforce concerns and the work we are leading on the roundtable which was well received.

In February 2023 the Department for Education published a consultation on its Children's social care implementation strategy: 'Stable homes, built on love'. Alongside this, it also launched 2 supporting consultations: 'Child and Family social worker workforce' and 'National Social Care Framework'. We drafted and submitted individual responses to each of the 3 consultations. These responses will be published on our website. We are also currently drafting a response to the Department of Health and Social Care's call for evidence on the care workforce pathway for adult social care.

Also, important to note that our Education and Training Advisory Forum has now met twice, and we have published members' details and the terms of reference on our [website](#).

5. Regulatory framework for Best Interest Assessors (BIAs)

Having not engaged in active regulation of BIAs because the end of the Deprivation of Liberty Safeguards was only ever months away, the postponement of the Liberty Protection Safeguards beyond the end of this Parliament means it is now necessary to put in place a regulatory framework around BIA.

We will explore the potential in using some of the AMCP standards which we consulted on last year. Anything that could still apply to BIA will form part of a new set of proposed standards which we are currently drafting. We have also revived the six BIA competencies set out by the College of Social Work in 2013. These competencies made their way into many courses, and it makes sense for us to link the proposed standards to these competencies.

We want to make the new standards available as soon as possible, so that we do not delay the training of new BIAs. The plan is to bring the draft standards to the Board then publish and consult in the next couple of months, with a view to closing the consultation and obtaining Secretary of State approval in the autumn. At that point we can approve new BIA courses and begin to reapprove existing ones.

At this time the potential role of annotation is also being considered and will be discussed further with the Policy Committee and the Board. Overall, the process will be designed to

give regulatory impact to annotation and provide a framework for regulatory support for any future specialisms as relevant.

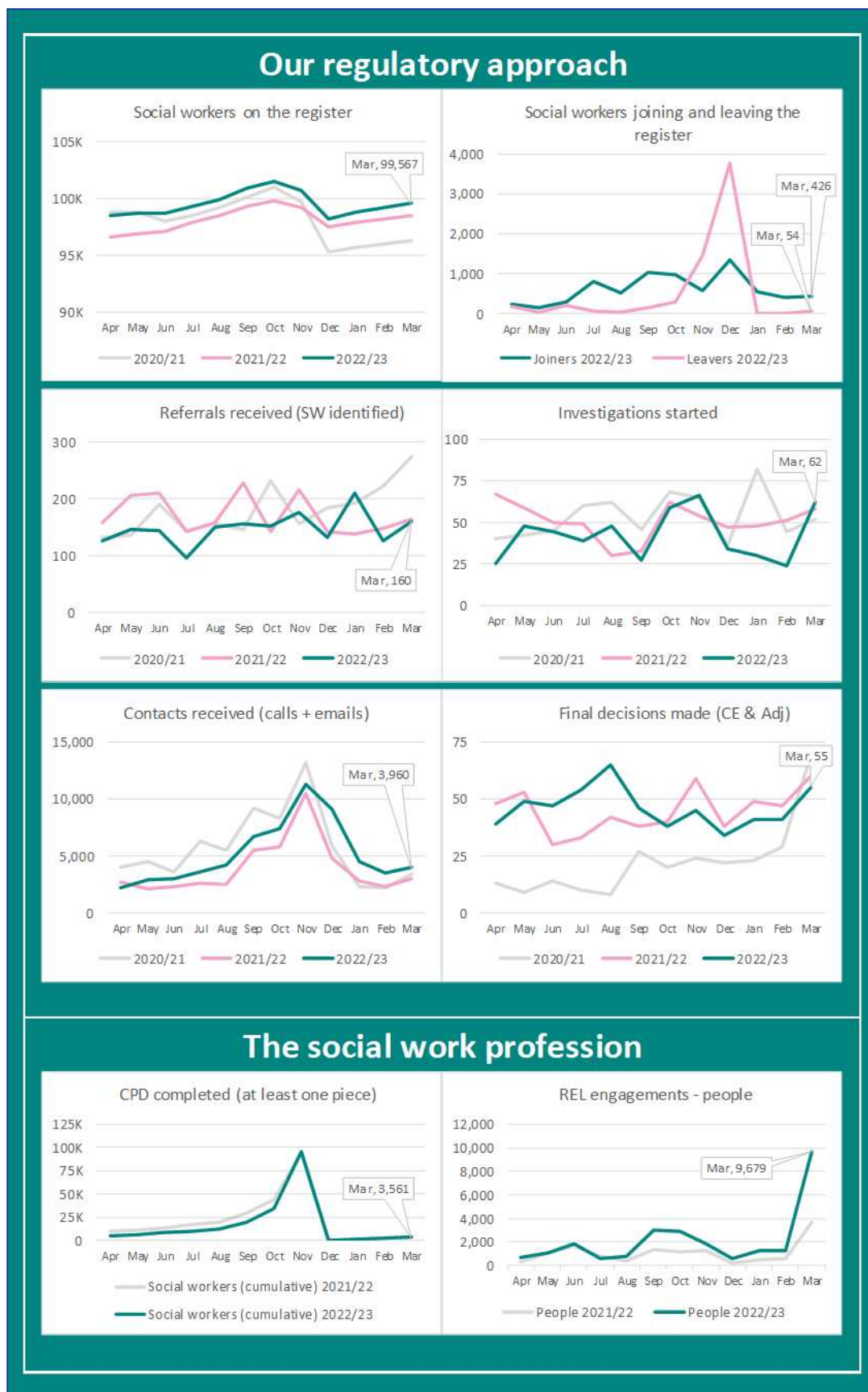
6. Conclusion

This is the first board meeting of the new financial year and our new three year strategic cycle. We have short and medium terms plans in place in our business plan and strategic plan that will take the Social Work England forward in the right way. We will continue to work internally and externally to deliver on our objectives within the capacity and resources available to us.

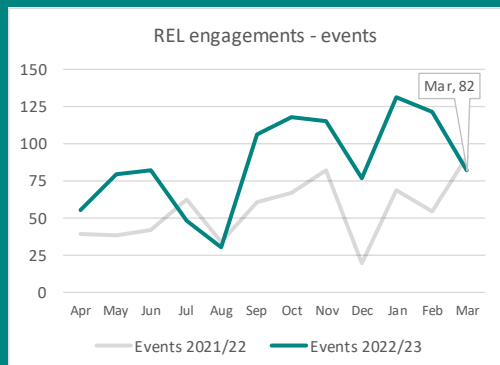
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7. Annexes

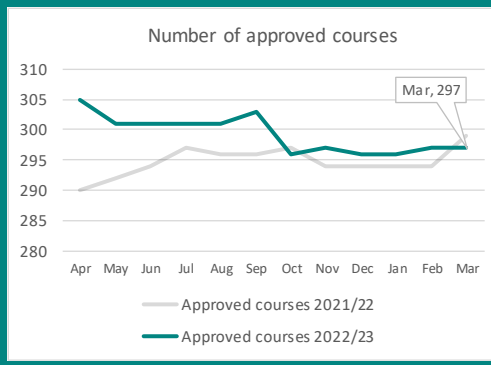
Annex 1: Dashboard Overview



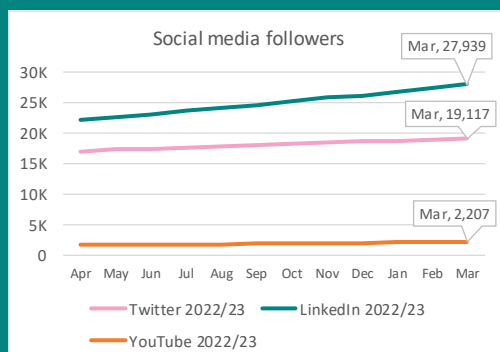
The social work profession



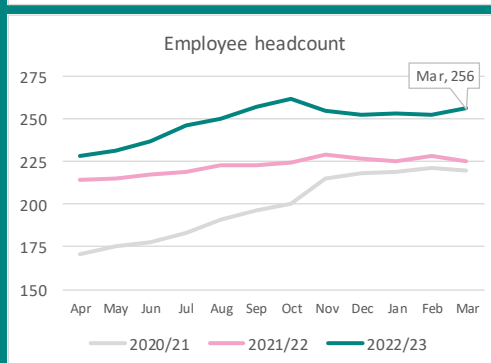
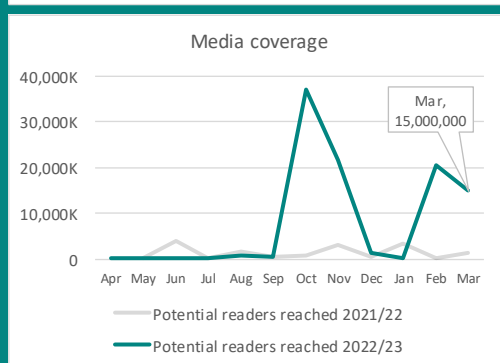
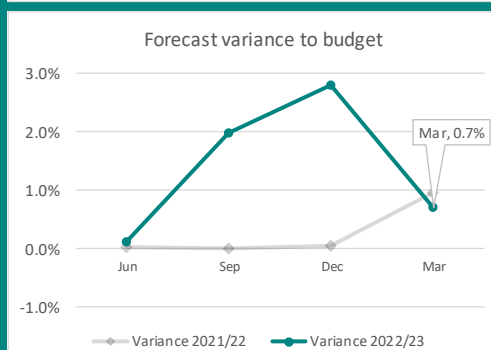
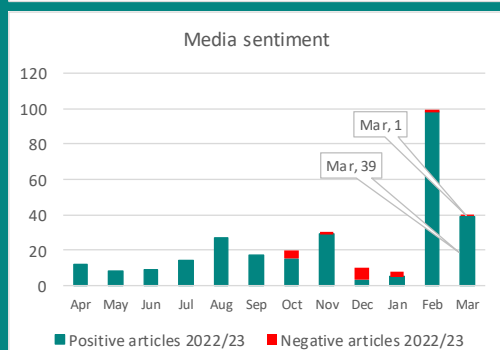
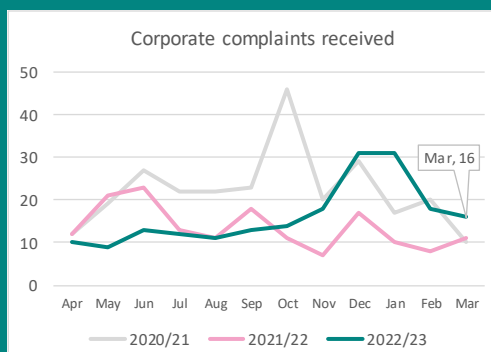
Education and training



The people we work with and for



Our organisation



Annex 2: Chief Executive's meetings

Senior officials at the Department of Health and Social Care

Senior officials at the Department for Education

Helen Whately MP Minister of State for Social Care

Chief Executive BASW

Chief Executive Skills for Care

Chief Executives of the other social work and social care regulators in the UK and Ireland

Chief Executives of the Health and Care regulators in the UK

Chief Executive of CORU

Regular meeting of the Permanent Secretary and ALB Chief Executives at the Department for Education

Chief Social Worker for Adults

Chief Social Worker for Children

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Finance & Commercial Update

Agenda Item 8 Paper Ref 05

Paper for the
Social Work England Board

Sponsor
Linda Dale, Executive Director, People and Business Support

Author
Richard Simpson, Head of Finance & Commercial

Date
19 May 2023

Reviewed by
Colum Conway, Chief Executive

This paper is for
Assurance and Noting

Associated Strategic Objective
SO10: Continually develop and improve how we work, ensuring we are a well-run organisation that delivers the right outcomes and provides value for money.

Impact: Risk Type and Appetite
Finance - Cautious

Equality Impact Assessment (EIA)
N/A

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1. Summary

This paper provides an update on the management accounts for the period ending 31 March 2023, and an update on commercial activity during the last quarter.

2. Action required

N/A

3. Commentary

Management accounts

A summary set of the Management Accounts for the year to 31 March 2023 can be found in Annex A.

Key highlights are:

Full year expenditure, net of fee income, is £12,928k compared to the budgeted amount of £14,201k. This represents an underspend of £1,272k, consistent with the trend established in Q3.

Of this underspend, £1,214k relates to the timing of the legacy cases project, where a delay in funding being confirmed resulted in a postponement of expenditure into the new financial year. We expect this project to finish at the end of June 2023. The remaining balance relates to a small underspend of £58k against our core budget, a variance of 0.7% from the annual budget.

Full year capital expenditure is £2,656k, which is £135k lower than budget, reflecting a slightly lower than expected level of IT activity, both hardware purchases and software development.

Amortisation of intangible assets

Following the completion of version 1 of Forge we commenced the amortisation of this intangible asset in Q4. The amortisation amount for the quarter is £390k, close to the £400k we estimated in January 2023. The asset will be amortised over the next 5 years, and we will review the amortisation period annually along with any potential impairment charge.

Commercial update

In Q4 we awarded contracts to successful bidders for the following procurements which the Board had previously approved in October 2022:

- **Digital Development:**
The successful candidate was the incumbent, Cognizant, who were successful from an original field of 3 bids and offered the most competitive price and understanding of our business needs.
- **Microsoft end user licences:**
The contract was awarded to the incumbent, Phoenix, who offered the most price favourable bid.

We have created our commercial plan for the current financial year which we shared with ARAC at its recent meeting.

4. Conclusions and/or Recommendations

For assurance and noting.

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5. Annex A – Management Accounts as at 31 March 2023

Income and Expenditure Statement

Directorates	Full Year Actual	Full Year Budget	Variance	% Variance
Fee Income	(10,135,110)	(9,600,000)	535,110	(5.6%)
Executive Leadership Team				
Wages & Salaries	638,056	663,940	25,884	
Support	44,728	10,000	(34,728)	
Total	682,784	673,940	(8,844)	(1.3%)
People & Business Support				
Wages & Salaries	2,383,832	2,344,279	(39,553)	
Seconded & Agency Staff	112,938	112,000	(938)	
Support	2,528,475	2,518,950	(9,525)	
Total	5,025,245	4,975,229	(50,015)	(1.0%)
Regulation				
Wages & Salaries	5,458,684	5,354,664	(104,020)	
Seconded & Agency Staff	67,471	0	(67,471)	
Support	9,526,882	10,358,876	831,994	
Total	15,053,038	15,713,540	660,502	6.1%
Professional practice and external engagement				
Wages & Salaries	1,880,410	1,749,051	(131,358)	
Support	422,298	689,333	267,034	
Total	2,302,708	2,438,384	135,676	5.6%
Total Expenditure	23,063,775	23,801,093	737,319	3.1%
Net Expenditure	12,928,664	14,201,093	1,272,429	9.0%
Depreciation	692,278	1,405,357	713,080	50.7%
Net Expenditure inc Depreciation	13,620,942	15,606,451	1,985,509	12.7%
Capital Expenditure	2,656,278	2,792,000	135,722	4.9%
Total	16,277,220	18,398,451	2,121,231	11.5%

Balance Sheet

	Cost £	Depreciation £	N.B.V £
Fixed Assets			
Buildings	1,264,299	(1,026,882)	237,416
RoU- Asset Additions	324,875	(48,240)	276,635
IT Equipment	1,392,172	(852,385)	539,788
Fixtures & Fittings	318,851	(125,845)	193,006
Forge System (WIP)	8,375,387	(390,399)	7,984,987
	11,675,584	(2,443,751)	9,231,833
Current Assets			
Prepayments			623,446
Bank			6,251,371
			6,874,817
Current Liabilities			
Accruals			(3,194,747)
Deferred Income			(3,143,655)
Trade Payables			(295,585)
			(6,634,987)
Working Capital (Current Assets less Current Liabilities)			239,831
Non-Current Liabilities			
Lease liabilities			(239,318)
Total Assets and Liabilities			9,232,345
Reserves			
Taxpayers' equity			(9,232,345)



Performance Report Q4 2022-23

Item 9 Paper 06

Paper for the

Social Work England Board

Sponsor

Colum Conway, Chief Executive

Author

Andy Leverton, Head of Business Planning and Improvement

Date

19 May 2023

Reviewed by

Executive Leadership Team

This paper is for

Discussion and Advising

Associated Strategic Objective

SO9: We will establish robust infrastructure, systems and processes that promote trust and confidence.

Impact: Risk Type and Appetite

Operational delivery - Open

Equality Impact Assessment (EIA)

N/A

1. Executive summary

This report presents our performance for Q4 of 2022-23. We publish our performance and data on a quarterly basis. Publishing quarterly means we show trends and performance within the year and against previous years.

2. Overall assessment

- We achieved all 4 targets for registration and advice for Q4 and the year to date, though the time taken to approve restoration applications increased to 8 working days in Q4.
- We met 2 out of 5 fitness to practise targets in Q4. The median age of the triage caseload is 17 weeks against a target of 12 and the median age of the investigation caseload is 66 weeks against a target of 39.
- We concluded 91% of legacy cases by Q4, behind our revised trajectory of 93%. The remaining legacy cases will continue to take priority and we expect the majority to be completed by the end of Q1 23-24.
- By the end of Q4, we had made reapproval decisions for 30% of courses, behind our target of 33%, but we remain on track to complete all reapproval inspections by the end of the 3-year cycle.
- We met 3 out 6 targets for ‘our organisation’ pillar in Q4. We did not respond within the required timescales to one FOI, one SAR and one corporate complaint. Our year-end variance to budget reduced in Q4 to 0.7%, which is within the target of 1.5%.

Key discussion points

- We continue to receive a high number of applications to join our register from social workers who qualified overseas. The median time taken to process overseas applications rose from 35 working days in January to 53 working days in March.
- There has been an increased number of restoration applications following the end of the renewals period and an increase in misuse of title cases that relate to social workers continuing to practise following their removal from the register in December 2022.
- Of the 1,459 legacy cases transferred to us, 134 remain open in our fitness to practise service. Factors affecting the progression of each case include external issues such as outstanding legal processes and challenges in gathering historic evidence.

- In Q4, we made 23 course reapproval decisions and 2 new approval decisions, all of which were approved with conditions. Additionally, we conducted inspections for the reapproval of 40 courses and new approval of 16 new courses.
- We launched Our Strategy for 2023-26 during Social Work Week and published it in March with an introductory video and an easy read version to increase accessibility.
- Social Work Week was hugely successful and for the first time, regulators from the four nations came together to present their experience of practice education and showcase the breadth of learning.

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3. Performance 1 January to 31 March 2023

3.1 Our regulatory approach

Registration and advice

Table 1: registration, enquiries and advice key performance indicators

KPI ID	KPI Description	Target	Q1	Q2	Q3	Q4	DoT*	YTD	2021-22			
									Q1	Q2	Q3	Q4
REG1	Time taken to approve registration applications ¹	≤ 10 working days (median)	2	4	8	3		5	1	1	2	1
REG2	Time taken to approve restoration applications ²	≤ 20 working days (median)	2	11	5	8		6	8	9	4	9
REG3	Time taken to answer emails	≤ 5 working days (median)	1	4	3	3		2	0	0	1	1
REG4	Time taken to answer phone calls	≤ 8 mins waiting time (median)	2	8	9	8		8	0	2	10	1
RAG rating of actuals: - Green – achieving target - Amber – within 5% of achieving target - Red – over 5% from achieving target		*Direction of travel: - Direction of arrow indicates numerical change compared to previous quarter - Colour of arrow indicates performance against target (green = trending towards target; red = trending away from target)										

Registration and advice

The time taken to approve registration applications has decreased from 8 working days in Q3 to 3 working days in Q4, which remains within our target of 10 working days. This decrease has been due to the implementation of a new online identity verification system and fewer applications.

High numbers of overseas applications remain a challenge in Q4. We received 495 applications in Q4 compared to 387 applications in Q4 21-22. Most overseas applications continue to originate from South Africa, Zimbabwe and India. The time taken to process overseas applications rose from 35 working days in January to 53 working days in March. One additional staff member was recruited in March 2023 to assist with overseas applications. We continue to focus on improving the time taken to process these applications.

The time taken to approve restoration applications has increased from 5 working days in Q3 to 8 working days in Q4 as we have focused our resources on processing of overseas

¹ Excludes applications where an investigation is required.
² Excludes applications where an investigation is required.

applications. Additionally, the number of misuse of title cases has increased in correlation with an increased number of restoration applications following the annual renewal deadline. In Q4, most misuse of title cases were linked to people continuing to practise following their removal from the register in December 2022.

The time taken to answer phone calls and emails remains within target, despite increased volumes compared to Q4 21-22. To assist callers and minimise wait times, we provided an in-queue voice messaging service that directed callers to the frequently asked questions section of our website. We are reviewing our contact centre software with a view to improve the efficiency of our handling of calls and emails in the next financial year.

Continuous professional development (CPD)

By the end of Q4, 3.6% of social workers had submitted at least 1 piece of CPD, compared to 4% at the end of Q4 21-22. We will continue our communication and engagement activities to promote the submission of CPD in preparation for the next renewals cycle.

Our review of CPD for the 21-22 registration year has now concluded and we have shared feedback with individual social workers whose records were reviewed. Learning from this CPD review period will be incorporated into the next revision of our public guidance, where appropriate.

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Fitness to practise

Table 2: Fitness to practise key performance indicators

KPI ID	KPI Description	Target		Q1	Q2	Q3	Q4	DoT*	YTD	2021-22			
										Q1	Q2	Q3	Q4
FTP1	Age of triage caseload	12 weeks (median) by March 2023	Actual	17	15	17	17	→	N/A	New KPI for 22/23		18	
			Forecast	17.5	16	14	12						
FTP2	Age of investigation caseload	39 weeks (median) by March 2023	Actual	60	64	64	66	↑	N/A	New KPI for 22/23		68	
			Forecast	64	58	49	39						
FTP3	Legacy cases concluded	98% by March 2023	Actual	78%	83%	87%	91%	↑	N/A	New KPI for 22/23		69	
			Forecast	77%	84%	91%	98%						
FTP4	Time taken to conclude cases we investigate	Monitor (median weeks)		83	77	82	80	↓	80	54	58	70	71
FTP5	Time taken to approve interim orders	≤ 20 working days (median)		19	18	18	19	↑	18	17	20	23	27
FTP6	FTP internal quality score ³	≥ 90% of cases meet internal standards		94%	97%	92%	94%	↑	94%	91	95	93	99
RAG rating of actuals:				*Direction of travel:									
- Green - achieving target - FTP1, FTP2: Amber- in 10% of achieving target. Red- over 10% - FTP3: Amber - in 3% points of achieving target. Red - over 3% - FTP4 – no target, not rated - FTP5: Amber- in 10% of achieving target. Red- over 10% - FTP6: Amber - in 5% points of achieving target. Red - over 5%				- Direction of arrow indicates numerical change compared to previous quarter - Colour of arrow indicates performance against target (green = trending towards target; red = trending away from target; black = no target; blue = no change)									

FTP1 Age of triage caseload

We did not meet our target to reduce the median age of the triage caseload this year. The age of the caseload has remained broadly stable throughout the course of the year. During Q4, we have focused on progressing the high number of referrals received in Q3 and the overall volume of cases in the service has remained stable. Our focus has shifted from the front end of the process to the decision-making stage as cases have progressed through the service.

We have implemented a revised approach to more effectively target and progress older cases. Early signs are that this is working well, and we will continue this approach in Q1. We plan to conduct further work to optimise the enquiries stage of the triage service and the application of the triage test during 23-24.

³ Q1 figure amended since Q3 22-23 performance report.

FTP2 Age of investigation caseload

We did not meet our target this year to reduce the median age of our investigation caseload, which has increased by 6 weeks over the year. The median age of the investigation caseload is now 64 weeks.

Our performance against this target continues to be affected by the risk profile of the caseload. High-risk cases must be prioritised for investigation over older, lower risk cases. Our progress has also been affected by our focus on progressing older cases at the triage stage and by staff turnover within the investigations team.

The new head of investigations joined the team in January. We are in the process of recruiting to additional roles including an investigations manager to provide extra capacity within the service, with a particular focus on case supervision and quality. We are also recruiting for 3 additional permanent investigators and a triage and investigations officer. This will provide extra capacity and resilience, which we anticipate will mitigate some of the impact of turnover in the service we anticipate during 23-24.

In 23-24 we will identify opportunities to optimise processes and quality in our investigations service, whilst continuing our work to reduce the median age of the investigation caseload. We have factored in the work that will be required to reduce the median age of the investigation caseload to our new target of 54 weeks by the end of March 2024.

FTP3 Legacy cases concluded

Of the 1,459 legacy cases transferred to us, we have concluded 91%, with 134 remaining open in our fitness to practise service. This remains slightly below the our revised trajectory of 93% by Q4, but we are making good progress in resolving the remaining caseload. Most of the outstanding legacy cases will be concluded during Q1 23-24.

We have a detailed understanding of the factors affecting the progression of each case. Delays in progressing most of the outstanding legacy cases are due to external factors such as police investigations, delays in obtaining family court documents and difficulties in gathering evidence from employers or witnesses on the oldest cases. The remaining legacy cases will continue to take priority and will be resolved as soon as any outstanding legal or procedural issues have been resolved.

FTP4 Time taken to conclude cases we investigate

The time taken to conclude the cases we investigate increased during 22-23. This is in part due to us not meeting our timeliness targets at the triage and investigations stages this year. We will continue to focus on reducing the median age of the caseload at both these stages of the process in 23-24. The time taken to conclude cases that we investigate has also been affected by some older legacy cases being concluded at the hearings stage. We expect that this will continue to affect the time taken as we continue to conclude the legacy caseload.

FTP5 Time taken to approve interim orders

We continue to remain within our target for approving interim orders, which has been achieved in the context of regulation changes and establishing our new interim order process. We will continue to review whether further improvements can be achieved as our new processes are embedded in the service.

FTP6 FTP internal quality score

We continue to meet this target, with 92% of cases reviewed meeting our internal standards.

The decision review group (DRG) met in January 2023 to review how the group has worked so far and has implemented improvements to the internal review process. Work is currently underway to identify themes and training areas for partners and staff in 23-24. The group also continues to review and monitor any Professional Standards Authority learning points and appeals.

The DRG terms of reference have been amended to incorporate the inclusion of new decision points associated with amendments to the Social Workers Regulations 2018. The DRG reviewed the first group of decisions associated with our revised interim order process in March 2023, with all decisions being rated green.

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3.2 The social work profession

Publications

We published our first Social Work in England: State of the Nation report in March ahead of social work week. We worked with the National Advisory Forum and colleagues from across the organisation to deliver a session at social work week on the key findings from the State of the Nation report and our new strategy. The session was attended by 464 people.

We published our response to the Professional Standards Authority's consultation on its new 3-year strategic plan.

Research

We commenced the independent research through YouGov, on public perceptions of social work and of Social Work England as a regulator. Having discussed the aims and objectives of the research with YouGov, fieldwork started in March 2023. The outcome of this research is due in Q1 23-24.

We launched 2 invitations to tender for research, one to explore the models of practice education and the role of the practice educator and one to explore workforce issues around vacancies, recruitment and retention, including equality, diversity and inclusion.

After a rigorous and collaborative evaluation process, involving members of the National Advisory Forum, we awarded the practice education research to the University of East Anglia in partnership with Research in Practice, and the workforce research to YouGov. Field work for both is due to start in Q1 23-24.

Policy

Following the publication of the Department for Education’s social care implementation strategy, we have drafted responses to the 3 associated consultations. We continue to work closely with our sponsor team to consider the recommendations set out in the strategy that directly affect our work or where we are explicitly mentioned as being responsible.

In Q1, we will consider the recommendations from the Department for Health and Social Care’s recently published implementation strategy to support the adult social care sector and support our work on addressing workforce issues. We will also consider our response to

the DHSC's call for evidence on the care workforce pathway for adult social care, which closes Q1 22-23.

We will also prepare to launch a consultation on best interest assessor education approval standards, following the government announcement that the Liberty Protection Safeguards have been delayed.

Strategy

We launched Our Strategy for 2023 to 2026 during Social Work Week and published it in March with a comprehensive communications plan. We produced an introductory video and an easy read version to increase accessibility. We also published our consultation response on our strategy for 2023 to 2026 alongside the strategy itself. We have started reflecting on some initial lessons learnt in how we developed the strategy to inform our future approaches.

Communications

Social Work Week

In Q4, we held Social Work Week, which is an ever-growing key milestone for us to connect with everyone with an interest in social work. During the week we hosted 19 headline sessions, with 6,900 attendees and the dedicated hashtag #SocialWorkWeek2023 was seen over 1.7 million times.

Equality, diversity and inclusion were core themes throughout the programme. On World Social Work Day we delivered a session about building momentum in tackling racism, to align with the theme of 'Respecting diversity through joint social action'.

Media activity

We had 142 positive or neutral mentions in the media this month, most of which related to a case in the High Court and Social Work Week. The High Court ruled that details of a domestic abuse finding against a social worker should be made available to us for a fitness to practise investigation. This attracted interest from the national and regional press due to possible implications for future cases and other regulators.

There was significant media coverage for Social Work Week, with 62 pieces of national and regional coverage, including a series of 4 articles about social work published by the

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Guardian to coincide with Social Work Week. There was extensive coverage for the event in the regional press, with local organisations generating innovative stories right across the UK.

During the quarter, we launched our strategy for 2023 to 2026 and the Social Work in England: State of the Nation 2023 report. This included the production of different formats including an easy read version and videos to help broaden their reach and increase accessibility.

Digital

Compared to Q4 last year, the website saw a 17% increase in site sessions with a 9% increase in visitors. The average number of sessions per user increased by 7%.

There were 2,611 new followers of our social media accounts: Twitter, LinkedIn and YouTube, taking our total social media following to 49,263. We issued our monthly newsletter, Social Work Now, which reached 88,470 people.

Internal Communications

Towards the end of the Q4 we shared our new strategy for 2023 to 2026 and the Social Work in England State of the Nation report with our people. We also promoted a range of new people benefits including an increased pension scheme, new benefits portal, holiday buy back opportunities and a cycle to work scheme.

We continued to support our equality, diversity and inclusion commitments by helping develop content on a range of topics including neurodiversity, race equality, LGBTQ+ history, and Ramadan.

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3.3 The people we work with and for

Social Work Week was successful and successful and further established our role as a leader in the sector and an authority on the social work profession. Other organisations and groups hosted 37 events over the week, contributing to our ambition for it to be owned by the sector. For the first time, regulators from the four nations came together to present their experience of practice education and showcase the breadth of learning.

Co-production and the voice of lived experience remained central to the week; our highest attended session was the Power of Words led by a National Advisory Forum member. We will review lessons learned the delivery of this week during Q1 23-24 and begin planning for 2024. Social Work Week is now firmly on the calendar for us as an organisation and the sector as a whole.

The National Advisory Forum has now been established for 3 years. We are in the processing of reviewing its membership and will be recruiting to new members over the next 6 months. We are pleased that some members are keen to continue working with us through either remaining on the forum or becoming a ‘co-production partner’. As always, the National Advisory Forum have been integral to the development of key products such as the Social Work in England Report and Our Strategy for 2023 to 2026, as well as making a significant contribution to Social Work Week.

Throughout the quarter we hosted 20 engagement events, with over 260 attendees and we delivered presentations at 327 engagements. We have seen an increase in invites to events in the NHS and in the private and voluntary sector including social work agencies. Social workers are telling us about workforce issues including, retention, challenges in returning to practice and international recruitment.

3.4 Education and training

Table 4: Education and training key performance indicator

KPI ID	KPI Description	Target		Q1	Q2	Q3	Q4	DoT*	2021-22			
									Q1	Q2	Q3	Q4
EQA1	Percentage of reapproval decisions made	33% by March 2023	Actual	6%	13%	22%	30%		n/a ⁴			3.3
			Forecast	6%	17%	31%	33%					
<u>RAG rating of actuals:</u> • Green - achieving target • Amber - within 3% points of target • Red - over 3% points from target			<u>Direction of travel:</u> • Direction of arrow indicates numerical change compared to previous quarter • Colour of arrow indicates performance against target (green = trending towards target; red = trending away from target)									

In Q4, we made 23 reapproval decisions and 2 new approval decisions, all of which were approved with conditions. Links to the inspection reports for these decisions are included in Annex B. Additionally, we conducted inspections for the reapproval of 40 courses and new approval of 16 new courses. We received 8 course change requests in Q4 and completed 5. Of those completed, 4 were approved as administrative changes and 1 change was not approved.

Whilst we narrowly missed our target of completing 33% reapproval decisions, we have completed all planned inspections. The outstanding decisions relate to a delayed inspection report for one course provider. We have set the reapproval schedule for year 3 of our reapproval programme and all providers have been informed of the arrangements for their inspections.

We completed the annual monitoring for 22-23. Course providers received confirmation of the continued approval of their programmes in response to their returns in Q4. A number of anomalies with specific courses were identified as part of annual monitoring and are being addressed with the course providers directly. We are currently analysing the voluntary questions on practice placements and practice education arrangements to report findings in Q1 23-24.

We recruited to the vacancies in the education and quality assurance team, providing us with additional capacity. However, we were not successful in recruiting to the head of education programmes and are re-advertising the role.

⁴ No reapproval decisions expected during Q1 to Q3

We held a briefing session to engage inspectors with our draft education and training strategy and to ensure effective communication on changes with the education and quality assurance team. Further inspector training will be held in September 2023.

We invited expressions of interest from across the sector to join our newly established Education and Training Advisory Forum. We had a high level of interest with over 40 expressions received. the first meeting of the forum is due to be held in Q1 23-24.

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3.5 Our organisation

Table 5: our organisation key performance indicators

KPI ID	KPI Description	Target	Q1	Q2	Q3	Q4	DoT*	YTD	2021-22			
									Q1	Q2	Q3	Q4
P1	Retention rate	≥ 85%	90%	87%	86%	85%	↓	N/A	94	93	89	89
FIN1	Forecast year-end variance to budget	+/- 1.50%	0.10%	1.97%	2.8%	0.7%	↓	N/A	0.02	0.01	0.05	1.00 ⁵
IT1	System availability excluding planned outages	≥ 99.0%	99.9%	99.9%	99.7%	99.9%	↑	99.8%	99.8	99.7	99.8	99.9
IG1	Time taken to complete freedom of information requests ⁶	100% within deadline	100%	97%	98%	99%	↓	98%	100	100	97	100
IG2	Time taken to complete subject access requests	100% within deadline	100%	100%	100%	99%	↓	99.7%	100	100	100	100
C1	Corporate complaints response time	100% within timeframe	96%	100%	100%	99%	↓	99%	100	100	100	100
RAG rating of actuals:					*Direction of travel:							
- Green - achieving target - FIN1: Amber - within 0.5% of achieving target. Red - over 5% - P1: Amber - within 2% of achieving target. Red - over 2% - IT1, IG1, IG2, C1: Amber - within 5% of achieving target. Red - over 5%					- Direction of arrow indicates numerical change compared to previous quarter - Colour of arrow indicates performance against target (green = trending towards target; red = trending away from target; blue = no change)							

People and Development

Recruitment and retention

In Q4, we met our retention target of 85% though this has reduced over the financial year, which was expected as the length of service increases for our people. We had 16 leavers, 8 people secured promotions and we welcomed 17 new people. A total of 84 people joined us throughout 22-23.

During Q4, we have developed our recruitment processes and further embedded our recruitment system, Hireserve. These developments, including improved data use, are supporting better conversations with hiring managers. Across 38 roles recruited in Hireserve, we completed advert to offer in an average of 36 days.

We've found recent success in recruiting to an IT role on a temporary and permanent basis and particular challenge has been found recruiting to our legal manager position. In both

⁵ Actual year-end variance

⁶ Q1 and Q3 figures amended since Q3 22-23 performance report.

instances, business partner discussions and a creative approach to getting the right candidates in have been key.

A number of fixed term contracts have been funded through the legacy cases project and are due to end in Q1 23-24. We have offered support to the people and teams affected, and established a clear process to recruit to other permanent and temporary roles that we expect to become available.

Sickness absence

Over the financial year, an average of 3.8 days were lost to sickness per employee, which remains lower than the public sector average of 6.4 days absence per employee.

In Q4, 176 days were lost to sickness compared to 327 in Q3 (238 in Q2 and 174 days in Q1). This difference is related to a small number of long-term sickness cases. We put in place phased returns and additional support which has enabled people to return to work in Q4.

People strategy

The people strategy has been co-produced internally in the organisation, through directorate, network, forum and steering groups and with the input of National Advisory Forum members. The final draft has been reviewed by the Remuneration Committee and is due to be shared with the Board for final feedback and approval in June.

Learning and development

Our wellbeing and resilience course created internally for specific teams was delivered in Q4, with an 87% attendance rate. Evaluation responses were positive, with 81% of respondents scoring 5 or 6 (with 6 being the maximum score) for the relevance of the content and objectives being met. Due to the positive feedback, we intend to roll this course out across the organisation. We have also re-launched our reflective sessions to support our people with the emotional aspects of working for a regulator.

We have continued coaching at executive level with our CEO and Executive Leadership Team and we have worked with the provider Growing Coaches to support coaching for heads, with 13 individuals accessing this coaching offer in Q4. The remaining 7 places available under this contract have been offered to managers who are in the process of matching with a coach and starting their coaching relationships.

Diversity data

Following a recent campaign to increase our diversity data, 73% of our people have provided this information for some aspects of identity. To allow the data to effectively inform our work, we are aiming for at least 80% of our people sharing their data. This has been included in our people plan and equality, diversity and inclusion action plan, to ensure it remains high in our priorities.

Charters and accreditation

We have entered our submission to gain the Disability Confident Leader (level 3) accreditation. We are continuing to work on the identified actions within the Mindful Business Charter and the Race at Work charter.

Positive action mentoring pilot

We held 3 workshops for mentors on: incisive questions, equality, diversity and inclusion sharing experiences, and progression and development. A second reflective session is scheduled for April, with the evaluations from these activities going towards planning for the next mentoring cohort.

Finance, commercial and partners

Finance

At the end of Q4, our expenditure, net of fee income, was £1,272k lower than budget. This variance is predominantly the result of a timing difference relating to the legacy cases project of £1,214k. This expenditure is expected to occur in Q1 of the 23-24 financial year. There was also a small underspend of our core budget of £58k, a variance of 0.7% which is within our target of 1.5%.

Commercial

Following ARAC and Board approval in 2022, we have recently concluded the procurements for the development of our digital services and the supply of software licences, as discussed in IT and Infrastructure.

Partners

During the quarter, we completed the roll-out of our new self-appraisal scheme for fitness to practise partners. We expect to complete the roll-out to partners within other areas during 2023.

IT and infrastructure

In Q4, we appointed a long-term development partner after a robust and thorough tender process, with the existing supplier, Cognizant, being the successful bidder. We have also successfully completed the tender process for our software licencing contract and Azure infrastructure support contract, which have delivered long term savings to the organisation.

The document management project will continue into Q1 23-24 and has resulted in a number of lessons learnt and improvements for future projects, including the related Forge communications project, which is progressing well against its objectives and timelines.

Governance and assurance

Update on the Board and Committees

Following the resignation of Lord Patel of Bradford as Chair of the Board, Dr Andrew McCulloch was appointed as Interim Chair for a period of one year from 1 March 2023, whilst the recruitment for a substantive chair and 2 Non-executive Directors takes place. Jonathan Gorvin is now the Policy Committee Chair and Dr Sue Ross has joined the Audit, Risk and Assurance Committee (ARAC).

The Board approved our new sustainability plan for 23-26 and our progress towards delivering against the action plan will be reported to ARAC twice a year.

In line with good practice for corporate governance, the Board also reviewed and endorsed the board code of conduct policy, board declarations of interest and conflict resolution policy and the gifts and hospitality policy.

Internal audit

All 7 internal audit reports for 22-23 have now been completed: 3 received substantial assurance and 4 adequate assurance. The business planning, financial controls – month end,

and follow-up audits provided substantial assurance. The corporate governance, consultation management, business continuity, internal quality and improvement provided adequate assurance. The 3-year contract with Haines Watts has now come to an end.

The new internal audit team, RSM UK, were appointed in January and have since prepared the internal audit plan for 23-24, which was approved by the Executive Leadership Team, ARAC and the Board. The audit plan comprises 'deep dive' reviews in the areas of fitness to practise, cyber security, risk management, HR and a follow up review.

External annual audit

The external annual audit team, National Audit Office (NAO), presented their audit planning report to the ARAC in February. Work is progressing well towards laying the accounts prior to the summer recess in July.

Corporate complaints

We did not meet our target for responding to complaints in Q4 in 1 case. The individual had requested hard copies of responses to be sent as a reasonable adjustment, which could not be sent using gov.notify due to the page limit.

We received 59 corporate complaints in Q4, an increase of 118% compared to Q4 in 21-22. Over the financial year there has been a 13% increase in corporate complaints compared to 21-22. This reflects an increase in complaints relating to initial applications to join the register which has risen from 2 complaints in 21-22 to 30 in 22-23. As the increase in overseas applications continues, we expect this trend to continue into Q1 of 23-24.

In Q4 we continued to receive a small number of complaints about the annual renewals process. We have completed a review of complaints about the decision to remove social workers from the register for failing to renew. We will use this learning to inform our planning for the 2023 renewal cycle.

Professional Standards Authority

The Authority published its annual performance review report on 29 March 2023. The report covered the period 1 December 2021 to 31 December 2022. The Authority determined that we met 16 of the 18 standards of good regulation. We met all 5 general standards, including Standard 3 for equality, diversity and inclusion, for the first time. We

also met all standards for guidance and standards, education and training, and registration. We met 3 of the 5 fitness to practise standards, but we did not meet standard 15 for timeliness, although the authority did note that there were signs this had improved in the last quarter, or Standard 17 for the timeliness of making interim order decisions.

The Authority has started its 22-23 performance review and we are working closely to discuss their areas of focus and plan for the year.

Legal and information governance

We did not meet our targets in Q4 for subject access requests (SARs), other individual rights requests, and freedom of information (FOI) requests. The missed FOI deadline was due to human error in relation to the date that the request was submitted. The missed SAR deadline related to a particularly complex request, the progress of which was affected by staff absence due to sickness. The process relating to SARs of this nature has now been reviewed and a new process has been agreed with the relevant business area.

The Legal team has successfully managed an increasing litigation caseload in Q4. We received one new registrant appeal, we concluded one appeal, and are managing four ongoing appeals. We concluded two PSA appeals, and we are managing three ongoing appeals. We received one new judicial review claim, and as at the end of Q4 we were managing a total of six claims. We defended a PSA appeal in the High Court for the first time. We acted as an intervener on an appeal of a family court decision against disclosure, which resulted in this case setting precedent. We received our first request to review a case examiner decision under the new Rule 12G power and considered our first potential whistle-blowing matters since becoming a Prescribed Person at the end of Q3.

We had two new paralegals and a new lawyer join the Legal team and made two internal promotions. We continue to carry a vacancy for a legal manager, but we have managed without significant risk to delivery due to new staff joining and the ongoing hard work of the team.

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Annex A: Statistical Data 2022-23

Registration				Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Number of registered social workers			2022/23	98,512	98,640	98,725	99,326	99,909	100,856	101,523	100,654	98,236	98,789	99,190	99,567	
			2021/22	96,573	96,901	97,090	97,877	98,444	99,279	99,775	99,191	97,458	97,912	98,148	98,447	
Number of temporarily registered social workers			2022/23	6306	6291	6280	6270	6250	6225	0	0	0	0	0	0	
			2021/22	13,517	13,441	13,380	13,299	13,269	13,219	13,187	6,518	6,450	6,393	6,354	6,322	
Number of social workers joining the register ⁱ			2022/23	243	161	295	798	534	1,032	963	588	1,341	559	408	426	
			2021/22	420	375	380	830	620	950	820	353	1034	470	273	362	
Number of social workers leaving the register			2022/23	181	41	215	59	43	146	306	1,461	3,768	11	14	54	
			2021/22	162	47	191	43	53	115	324	937	2,767	16	37	63	
New registration applications	Number received	All graduates	2022/23	275	358	594	1,236	1,129	1,475	948	632	310	437	436	680	
			2021/22	392	533	431	1,167	829	1,452	928	724	388	413	305	427	
		UK graduates			152	188	463	1,075	955	1,338	777	501	201	308	254	496
		Overseas graduates ⁱⁱ			123	170	131	161	175	137	171	131	109	129	182	184
	Median time taken to progress (working days) ⁷	All graduates			4	5	3	3	4	6	8	9	7	3	4	3
		UK graduates			2	3	1	3	4	6	8	8	5	2	1	3
		Overseas graduates			7	15	12	13	20	25	33	33	34	35	46	53
Restoration applications received	Number received		2022/23	83	82	75	66	94	127	142	105	1,232	194	97	102	
			2021/22	86	64	75	82	63	52	108	153	627	158	128	105	
	Time taken to process (median working days) ⁸			11	13	17	22	29	29	31	32	7	21	36	40	

⁷ Includes applications where an investigation is required therefore figures may differ from the KPI, REG1. Excludes time awaiting further information from applicants.

⁸ Includes applications where an investigation is required therefore figures may differ from the KPI, REG2

Registration			Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Registration appeals	Number received	2022/23	0	0	0	1	0	0	0	0	0	0	0	0
		2021/22	3	1	1	4	1	2	1	0	0	0	2	0
	Number concluded ⁱⁱⁱ		1	1	0	1	1	1	0	0	0	0	0	0
	Upheld		0	1	0	0	0	1	0	0	0	0	0	0
	Rejected		0	0	0	1	1	0	0	0	0	0	0	0
	Withdrawn		1	0	0	0	0	0	0	0	0	0	0	0
	Time taken to complete (median weeks)		n/a ⁹	11	n/a	24	60	12	n/a	n/a	n/a	n/a	n/a	n/a
Misuse of title cases	Number received	2022/23	6	7	13	3	7	6	9	13	37	30	26	7
		2021/22	2	2	2	1	4	2	2	16	25	18	20	19
	Time taken to complete (median working days)	2022/23	23	35	45	31	35	22	59	38	31	22	34	38
		2021/22	97	147	25	n/a ¹⁰	93	40Error! Bookmark not defined.	37	33	13	18	15	25
Number of phone calls received		2022/23	1,304	1,578	1,543	1,976	2,404	3,808	4,347	7,030	6,058	2,677	1,883	2,064
		2021/22	1,527	1,286	1,443	1,605	1,577	3,588	4,219	8,088	3,435	1,825	1,448	1,800
Median call queue time (minutes)			1	3	3	4	8	12	8	8	25	15	6	6
Percentage of calls answered (of all calls received)		2022/23	65%	57%	59%	58%	51%	47%	57%	62%	34%	40%	50%	53%
		2021/22	66%	75%	74%	71%	70%	63%	58%	47%	51%	66%	69%	64%
Number of emails received		2022/23	931	1,344	1,480	1,648	1,802	2,863	3,058	4,281	2,993	1,803	1,592	1,896
		2021/22	1,183	829	800	959	960	1,884	1,611	2,435	1,398	968	848	1,178
Median response time to emails (working days)			1	1	1	3	5	4	4	2	2	5	2	2

⁹ No registration appeals were completed in April and June 2022

¹⁰ No misuse of title cases were completed in July 2021.

CPD		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Number of social workers completed at least one piece of CPD (cumulative)	2022/23	5,357	6,459	8,383	10,048	12,348	19,637	34,007	95,540	573	1,114	2,347	3,561
	2021/22	9,599	11,319	13,118	16,887	19,960	28,925	43,685	94,352	n/a ¹¹	1,220	2,856	4,286
Social workers who have completed valid CPD (%) ^{iv}	2022/23	5%	7%	8%	10%	12%	20%	34%	95%	0.6%	1%	2.4%	3.6%
	2021/22	10%	12%	14%	17%	20%	29%	44%	95%	n/a	1.0%	2.6%	4.0%
Number of social workers met all requirements ¹² (cumulative)	2022/23	1,816	2,076	3,012	3,952	5,465	12,106	25,937	95,193	44	236	543	1,012
Social workers who have met all requirements (%)	2022/23	2%	2%	3%	4%	6%	12%	26%	95%	0.04%	0.24%	0.55%	1%
Total number of valid CPD items recorded (cumulative)	2022/23	7,710	9,968	13,720	17,379	24,788	41,788	75,663	220,937	759	1,793	3,478	5,731
	2021/22	21,782	27,332	33,704	41,911	48,998	76,987	114,109	205,432	n/a	1,198	3,374	5,792

Education and Training		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Enquiries received	2022/23	11	16	13	15	21	17	29	37	24	60	35	42
	2021/22	18	23	36	25	24	27	28	46	18	31	24	26
Concerns received	2022/23	0	0	0	0	1	1	0	1	0	0	0	0
	2021/22	0	1	0	0	0	0	0	0	0	0	0	0
Course approvals conducted		8	17	15	21	8	1	0	3	0	1	18	34
Outcome of approvals	Approved	0	0	1	4	4	5	0	0	6	0	0	0
	Approved with conditions	2	0	3	5	3	6	8	8	4	11	8	6
	Not approved	0	0	0	0	0	0	0	0	0	0	0	0
	Request for approval withdrawn	0	0	0	0	0	0	0	0	0	0	0	0

¹¹ Online CPD recording for 2022 launched on 11th of January 2022, therefore no CPD items were recorded in December 2021.

¹² For the 22-23 registration year, the requirements are two pieces of CPD, one of which must be peer reviewed.

Corporate complaints		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Corporate complaints received ^v	2022/23	8	8	11	11	10	12	14	18	30	26	16	17
	2021/22	12	21	23	13	11	18	11	7	17	10	8	9
Corporate complaints closed ^{vi}		8	5	6	15	7	14	7	11	18	32	22	15
Mean working days to respond to corporate complaints ^{vii}		14	16	18	19	21	19	21	19	21	20	21	16

People		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Headcount	2022/23	228	231	237	246	250	257	262	255	252	253	252	256
	2021/22	214	215	217	219	223	223	224	229	227	225	228	225

Fitness to Practise		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Concerns received	2022/23	153	121	129	126	163	153	181	176	159	149	127	152
	2021/22	138	150	159	137	136	129	133	163	154	134	138	135
Referrals received (SW identified)	2022/23	125	146	144	95	150	155	152	176	131	209	126	160
	2021/22	158	206	209	142	157	228	142	216	142	138	147	164
Number of cases awaiting pre-triage at end of month	2022/23	353	324	341	272	302	315	304	338	353	335	298	321
	2021/22	241	351	297	327	319	400	426	465	429	376	352	372
Time to complete pre-triage (mean calendar days)	2022/23	109	145	88	113	62	99	86	47	60	130	110	95
	2021/22	35	46	75	64	71	53	56	65	74	104	121	92
FTP cases opened	2022/23	114	110	111	122	96	135	123	117	84	185	141	130
	2021/22	53	69	243	81	136	92	34	133	151	168	112	112
Percentage of cases closed at triage	2022/23	64%	51%	57%	57%	63%	71%	57%	45%	62%	68%	77%	46%

	2021/22	57%	53%	66%	68%	75%	57%	57%	56%	51%	74%	75%	73%
Number of cases entering investigation from triage	2022/23	25	48	44	39	48	27	59	66	34	30	24	62
	2021/22	67	59	50	49	30	33	62	54	47	48	51	58
Number of cases closed in/progressed from investigation	2022/23	55	87	77	42	33	42	56	58	18	63	65	41
	2021/22	83	99	90	96	75	85	103	118	76	95	111	105
Substantive hearings concluded/final decisions made ^{viii}	2022/23	6	17	11	18	20	21	16	18	12	12	11	25
	2021/22	8	11	4	10	6	12	9	13	4	10	11	11
Interim Order application hearings held/decisions made	2022/23	2	10	6	12	17	10	6	11	5	7	7	8
	2021/22	11	13	13	8	8	12	7	15	7	8	22	10
Interim order reviews held/decisions made	2022/23	58	62	40	72	72	50	77	43	10	14	14	59
	2021/22	35	49	43	37	45	41	59	44	45	54	63	54
Substantive order reviews held/decisions made ^{ix}	2022/23	8	9	11	7	11	7	9	7	6	12	7	7
	2021/22	3	5	6	4	8	6	3	6	4	8	6	3

^{i-ix} Figures under these measures have been updated since the previous performance report. These amendments are anticipated each quarter due to retrospective changes being captured on the system after the data has been compiled and reported.

Annex B

Course reapproval decisions Q4 22-23

Provider	Course	Region	Inspection dates		Link to inspection report	Decision
			From	to		
The Open University	BA (Hons) Social Work	East	24 May 2022	27 May 2022	https://www.socialworkengland.org.uk/media/4586/tour1-ba-and-da-final-v2.pdf	Approved with conditions
	BA (Hons) Social Work Degree Apprenticeship	East	24 May 2022	27 May 2022	https://www.socialworkengland.org.uk/media/4586/tour1-ba-and-da-final-v2.pdf	Approved with conditions
The Open University	PG Dip Social Work	East	24 May 2022	27 May 2022	https://www.socialworkengland.org.uk/media/4587/20230109_tour2_pg dip_social_work_final_v2.pdf	Approved with conditions
University of Derby	BA (Hons) Social Work	Midlands	21 June 2022	24 June 2022	https://www.socialworkengland.org.uk/media/4584/20230111_udr1_ba-and-ma_final.pdf	Approved with conditions
	MA Social Work	Midlands	21 June 2022	24 June 2022	https://www.socialworkengland.org.uk/media/4584/20230111_udr1_ba-and-ma_final.pdf	Approved with conditions
University of East London	BA (Hons) Social Work	London	05 July 2022	08 July 2022	https://www.socialworkengland.org.uk/media/4632/ue lr1-ba-reapproval-inspection-report-final.pdf	Approved with conditions

	MA Social Work	London	05 July 2022	08 July 2022	https://www.socialworkengland.org.uk/media/4633/ue-lr1-ma-reapproval-inspection-report-final.pdf	Approved with conditions
University of East London	PG Dip Social Work Step Up	London	05 July 2022	08 July 2022	https://www.socialworkengland.org.uk/media/4634/ue-lr2-pgdip-reapproval-inspection-report-final.pdf	Approved with conditions
University of Bedfordshire	BSc (Hons) Social Work Apprenticeship	East	19 July 2022	22 July 2022	https://www.socialworkengland.org.uk/media/4647/uber2-bscda-pgd-step-up-final.pdf	Approved with conditions
	PG Dip Professional Social Work Practice Step Up	East	19 July 2022	22 July 2022	https://www.socialworkengland.org.uk/media/4647/uber2-bscda-pgd-step-up-final.pdf	Approved with conditions
University of Brighton	BSc (Hons) Social Work	South East	18 July 2022	21 July 2022	https://www.socialworkengland.org.uk/media/4659/ubr1-report-v4-final.pdf	Approved with conditions
	BSc (Hons) Social Work Apprenticeship	South East	18 July 2022	21 July 2022	https://www.socialworkengland.org.uk/media/4659/ubr1-report-v4-final.pdf	Approved with conditions
	BSc (Hons) Social Work (Part time)	South East	18 July 2022	21 July 2022	https://www.socialworkengland.org.uk/media/4659/ubr1-report-v4-final.pdf	Approved with conditions
University of Brighton	MSc Social Work	South East	18 July 2022	21 July 2022	https://www.socialworkengland.org.uk/media/4660/ubr2-report-msc-and-pgdip-v3final.pdf	Approved with conditions

1. Welcome, apologies,
2. Minutes of the meeting held on 10
3. Matters arising and action log
4. Chief Executive's Report
5. Finance and Commercial Report
6. Quarter 4 Performance
7. Schedule of delegations

	PG Dip Social Work	South East	18 July 2022	21 July 2022	https://www.socialworkengland.org.uk/media/4660/ubr2-report-msc-and-pgdip-v3final.pdf	Approved with conditions
Nottingham Trent University	BA (Hons) Social Work	Midlands	02 August 2022	05 August 2022	https://www.socialworkengland.org.uk/media/4643/15022023_ntur1_final.pdf	Approved with conditions
	MA Social Work	Midlands	02 August 2022	05 August 2022	https://www.socialworkengland.org.uk/media/4643/15022023_ntur1_final.pdf	Approved with conditions
	PG Dip Social Work (Masters exit route)	Midlands	02 August 2022	05 August 2022	https://www.socialworkengland.org.uk/media/1305/20130522-nottingham-trent-pgdip-sw-ft-wbl.pdf	Approved with conditions
University of Central Lancashire	BA (Hons) Social Work	North West	09 August 2022	12 August 2022	https://www.socialworkengland.org.uk/media/4590/20230111_uclr1_ba_ma_pgexit_final.pdf	Approved with conditions
	MA Social Work	North West	09 August 2022	12 August 2022	https://www.socialworkengland.org.uk/media/4590/20230111_uclr1_ba_ma_pgexit_final.pdf	Approved with conditions
	PG Dip Social Work (Masters exit route)	North West	09 August 2022	12 August 2022	https://www.socialworkengland.org.uk/media/4590/20230111_uclr1_ba_ma_pgexit_final.pdf	Approved with conditions
University of Chichester	MA Social Work	South East	08 November 2022	10 November 2022	https://www.socialworkengland.org.uk/media/4615/20221111_uchi_mapgexitpgd_final.pdf	Approved with conditions

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	PG Dip Social Work (exit route)	South East	08-Nov-22	10-Nov-22	https://www.socialworkengland.org.uk/media/4615/20221111_uchi_mapgdexitpgd_final.pdf	Approved with conditions
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New course approval decisions Q4 22-23

Provider	Course	Region	Inspection dates		Link to inspection report	Decision
			From	to		
London Metropolitan University University of Chichester	AMHP	London	06 September 2022	08 September 2022	https://www.socialworkengland.org.uk/media/4585/11012023_lmu_amhp_final.pdf	Approved with conditions
	PG Dip Social Work	South East	08 November 2022	10 November 2022	https://www.socialworkengland.org.uk/media/4615/20221111_uchi_mapgdexitpgd_final.pdf	Approved with conditions



Schedule of Regulatory Delegations

Agenda Item 11 Paper Ref 08

Paper for the
Social Work England Board

Sponsor
Philip Hallam, Executive Director, Regulation

Author
Rachael Culverhouse-Wilson, Head of Legal

Date
19 May 2023

Reviewed by
Philip Hallam, Executive Director, Regulation

This paper is for
Assurance and Noting

Associated Strategic Objective
SO1: Build trust and confidence in the social work profession, and in regulation, by strengthening our relationship with the sector.

Impact: Risk Type and Appetite
N/A

Equality Impact Assessment (EIA)
N/A

1. Welcome,
2. Minutes of the
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4. Chief Executive's
5. Finance and
6. Quarter 4
7. Schedule of

Summary

As part of our assurance framework, we have prepared a regulatory schedule of delegations setting out who in the organisation can carry out each of the powers given to us by the Children and Social Work Act 2017 (the “2017 Act”) and the Social Workers Regulations 2018 (the “2018 Regulations”). This is to clarify to which roles the Board (referred to as the regulator in the legislation) delegates each activity carried out by the organisation.

The Audit, Risk and Assurance Committee (ARAC) and the Board was asked to approve a previous version of the scheme of delegations in 2021, which it did so.

The schedule of delegations has been updated since then to reflect the new powers created under the changes to the 2018 Regulations on 16 December 2022, and the new roles and job titles established as the organisation has grown and matured. This updated version will be published on Social work England’s Website.

A copy of this updated schedule of delegations is provided to you for your information and reference only. ARAC and the Board are not required to re-approve this document.

Conclusions and/or Recommendations

- For ARAC and the Board to note that changes have been made to the schedule of delegations to reflect the new powers that were enacted as a result of the changes made to the 2018 Regulations on 16 December 2022.

Annexes

1. Schedule of statutory delegations dated January 2023

Schedule of Statutory Delegations

Introduction

This table sets out all the powers and requirements of the regulator in the Social Workers Regulations 2018, which have been delegated to the Chief Executive by the Board.

Highlighted rows are those functions that must be performed by the registrar (or those delegated to by the registrar) under Regulation 8(1)(a)(ii). The regulator may also delegate any other functions to the registrar.

Where the Delegated Responsibility column for the Regulations includes a reference to the Rules, this means that a delegation is not required for the Regulation, because the same power is referred to in the Rules.

Delegations

Regulation	What	Delegated responsibility
3(2)	Consultation before making rules	ED, Professional Practice and External Engagement
3(3)(a)	Deciding when rules come into force	ED, Professional Practice and External Engagement
3(4)(b)	Modification of rules with which SoS disagrees	ED, Professional Practice and External Engagement
3(5)	Deciding whether rules amendments are minor or not substantive	Head of Legal
3(6)	Keeping rules under review	Head of Legal
4(1)	Appointment of advisors, partners, inspectors and investigators etc	ED, People and Business Support
4(3)	Appointment of panels of advisers	Hearings case manager
4(4)	Making facilities available to advisers	ED, People and Business Support
4(5)	Deciding the terms on which advisors are appointed	ED, People and Business Support
5	Making rules in relation to advisers	ED, People and Business Support
6(1)	Publishing information and advice in relation to the regulatory functions	Chief Executive Officer
6(2)	Publishing the strategic plan	ED Professional Practice and External Engagement
7A	Disclosure of information	ED, Regulation
8(1)	Appointing the registrar	Chair
8(4)	Ensuring information is recorded and accessible	ED, Regulation
8(5)	Amending incorrect information on the register	Repeated in Registration Rule 29(1).
8(7)	Signing certificates of registration	Head of Registration and Advice

8(9)(a) and (b)	Publishing information on the register	Head of Hearings Operations and Case Review
8(9)(c)	Deciding whether annotations are in the public interest to be published	Head of Registration and Advice
9(3)	Recording on the register any other information it thinks appropriate	Head of Hearings Operations and Case Review
9(5)(a)	Determining how long certain information should be published on the register	ED, Regulation
10(2)	Registering individuals	Head of Registration and Advice
10(3)	Notifying applicants of the refusal to register	Registration and Advice Officer
11(1)	Registration decisions	Head of Registration and Advice
11(2)(a)(ii)	Setting additional education, training and experience requirements	Head of Registration and Advice
11(3)	Placing conditions on registration	Head of Registration and Advice
11(4)	Requesting further application information	Registration and Advice Officer
12(1)	Annotation of entries in the register	Registration and Advice Officer
12A(1)	Registering temporary registrants	Registration and Advice Officer
12A(4)	Imposing, varying or revoking conditions on temporary registration	Head of Registration and Advice
12A(6)	Revoking temporary registration	ED, Regulation
13(2)	Removing from register	Head of Registration and Advice
13(3)	Renewing registration	Head of Registration and Advice
13(4)	Determining whether someone has met the requirements for registration	Registration and Advice Officer
13(4)	Determining what additional education, training or experience requirements apply to an applicant	Head of Registration and Advice
13(6)	Notifying failed applicant of right to appeal	Registration and Advice Officer
14(1)(a)	Deciding whether registration was fraudulently procured or incorrectly made	Head of Registration and Advice
14(1)(d)	Deciding whether a registrant had failed to comply with registration conditions	Head of Registration and Advice
14(1)(e)	Deciding that a registrant has failed to renew their registration	Head of Registration and Advice
14(1)(g)	Deciding that we have evidence that a registrant has died	Registration and Advice Operations Manager
14(1A)	Deciding that a registrant can be voluntarily removed whilst subject to FtP proceedings	ED, Regulation
14(3)	Requiring attendance/production of documents for fraud & error registration hearing	Head of Registration and Advice
14(5)	Notifying registrant that they have been removed under fraud and error proceedings	Head of Registration and Advice

14(7)	Consider whether an interim order may be necessary	Registration and Advice Operations Manager
14(8)	Maintaining and publishing list of those removed	ED, Regulation
14(9)	Regulator decides what information to include in relation to FTP VR on the published list	ED, Regulation
15(6)	Restoring registration and notifying registrant	Head of Registration and Advice
15(7)	Determining whether an applicant for restoration meets the requirements for registration and the additional education, training and experience requirements	AD, Regulation
15(8)	Deciding to restore to the register after quashed conviction	Head of Registration and Advice
15(9)	Restoring to the register	Registration and Advice Officer
15(10)	Notifying of decision not to restore	Registration and Advice Officer (for registration decisions) Hearings Support Officer (for adjudicator decisions)
15(12)	Appointing adjudicators for the purpose of registration procedures	Hearings Case Managers
16(3)	Requesting information necessary to meet objectives	Registration and Advice Officer (in relation to registration applications) Investigators (in relation to fitness to practise matters)
16(4)	Appointing adjudicators where a registrant fails to provide requested information	Head of Registrations and Advice (in relation to registration requests) Head of Fitness to Practise Investigations (in relation to fitness to practise)
17(1)	Charging registration fees	Registration and Advice Officer
17(4)	Paying fees to the Secretary of State, unless agreed otherwise.	Chief Executive Officer
18(2)	Registering Exempt Persons	Registration and Advice Officer
19(3)	Appointing adjudicators for registration appeals	Hearings case manager
19(4)	Requiring witnesses to attend and give evidence to registration appeals	Head of Registration and Advice
19(7)	Informing applicants of their right to appeal registration appeal decisions	Hearings Support Officer
19(8)(d)	Disposing of matters remitted from the County Court as a result of a registration appeal.	Head of Registration and Advice
20(1)	Operating education and training approval scheme	Head of Education Programmes

20(3)	Keeping the education and training approval scheme under review	Head of Education Programmes
20(4)	Maintaining and publishing lists of (formerly) approved courses	Repeated in Education and Training Rule 16(3)
20(5)	Requiring information from training providers	Repeated in Education and Training Rule 7(1), 8, 13
21(1)	Appointing inspectors	AD, Policy and Strategy, or where delegated, Head of Education Programmes
21(4)	Making staff and facilities available to inspectors	Repeated in Education and Training Rule 7(2)(b)
22(1)	Attaching conditions to training approvals	Repeated in Education and Training Rule 12
22(2)	Notifying the training provider of the proposed condition	EQA Officer
22(4)	Notifying training provider of the final condition	EQA Officer
23(1)	Refusing/withdrawing approval of courses	Repeated in Education and Training Rule 14
23(2)	Notifying the provider of the intention to refuse/withdraw approval	EQA Officer
23(3)	Notifying the provider of the decision to refuse/withdraw approval	EQA Officer
24(1)	Charging fee for course approvals	Repeated in Education and Training Rule 19
24(3)	Paying fees to the Secretary of State, unless agreed otherwise	Repeated in Education and Training Rule 19
25(1)	Ensuring that fitness to practise proceedings are carried out in accordance with legislation	ED, Regulation
25(2)	Considering public interest of grounds that took place outside the UK or pre-December 2019	Triage Lead
25(7)	Appointing investigators, case examiners and adjudicators	AD, Regulation
26(2)	Notifying the registrant of a proposed automatic removal	Head of Registration and Advice
26(3)	Considering submissions from registrant in case of automatic removal and determining whether there is an error of fact	Head of Registration and Advice
26(4)	Notifying that a proposed automatic removal is not going ahead	Head of Registration and Advice
26(5)	Deciding on and notifying of an automatic removal	Head of Registration and Advice
27(3)	Disposing of remitted automatic removals	Head of Registration and Advice (depending on Court direction).
35(3)	Making representations to SoS if they are investigating a default of our powers	Chief Executive Officer
37(8)	Cooperating with appointee where there has been a failure to take remedial action	Chief Executive Officer
Sch 1, para 1	Considering qualifications and determining if they are satisfied	Head of Registration and Advice

Schedule 2		
Para 1(1)	Determining whether there are reasonable grounds for investigating a concern (triage)	Repeated in Fitness to Practise Rule 3(a)
Para (1A)	Requiring the supply of information or documents in accordance with paragraph 5(1)	Senior Triage Officer (for triage)
Para 1(3)	Notifying of investigation and inviting written submissions	Investigator
Para 2	Informing complainant that there will not be an investigation	Triage and Investigations Officer
Para 3(1)	Appointment of investigators and case examiners	Lead Investigator (for Investigators) Case Examiner Operations Manager (for Case Examiners)
Para 5(1)	Requiring a person to attend and give evidence, or produce documents, in FtP proceedings	Investigators, Case Examiners, Adjudicators
Para 5(5)(a)	Consider whether an interim order may be necessary	Triage Lead (triage) Investigator (investigations) External legal provider (adjudications)
Para 5(5)(b)	Propose an interim order be made	Triage Lead (triage) Investigator (investigations) External legal provider (adjudications)
Para 5(6)	Consider whether an interim order may be necessary following notification by investigator or case examiner	Triage manager (triage) Investigations manager (investigations)
Para 5(7)	Appointment of adjudicators for interim orders	Hearings Case Managers
Para 8(1A)	Appointment of adjudicators for interim orders	Hearings Case Managers
Para 8(3A)	Regulator must inform social worker that interim order may be made and reasons why it may be made	AD, Regulation
Para 8(3B)	Regulator must give the social worker the opportunity to make written submissions or attend before the adjudicators.	AD, Regulation
Para 8(4)	Regulator must inform a number of parties of the terms of the interim order	Hearings support officer
Para 9A	Review a decision of the case examiners	Legal Manager (Regulation)
Para 10	Appointment of adjudicators for substantive hearings	Hearings Case Managers
Para 14(1)	Reviewing interim orders	Adjudicators
Para 14(2)	Applying for High Court extensions	Head of Hearings Operations and Case Review
Para 14(4)	Notifying of High Court extensions	Head of Hearings Operations and Case Review
Para 14(5)	Decisions on review of interim orders	Adjudicators
Para 14(6)	Informing registrant of proposed interim order review decision	External legal provider

Para 14(7)	Notifying registrant of decision on review of interim order.	Hearings Support Officer
Para 15(1)	Review of substantive orders before expiry	Adjudicators
Para 15(2)	Review of substantive order where there is new evidence	Adjudicators
Para 15(5)	Notification of social worker of proposed action at substantive review	External legal provider
Para 15(6)	Notification social worker of outcome of substantive order review	Hearings Support Officer
Para 16(3)	Disposing of remitted cases in accordance with High Court order	Head of Hearings Operations and Case Review

Updated: January 2023