

Agenda Item 9

Enclosure 5

**Health and Care Professions Council
22 May 2019**

**Transfer of Social Workers to Social Work
England**

For discussion

**From John Barwick, Executive Director of
Regulation**

Transfer of Social Workers to Social Work England (SWE)

Executive Summary

This paper provides an update on the progress of the project to manage the transfer of the regulation of Social Workers to Social Work England (SWE). The main focus of activity has been on:

- The delivery and testing of the data extract tools from our three core IT systems and the unstructured data held in the SharePoint system.
- Development of the Transfer Scheme and Data Sharing Agreement.
- Advancing the request for additional grant from the Department for Education (DFE) in respect of additional costs incurred as a result of the uncertainty around the transfer date.

Previous consideration	It was previously agreed that project progress update reports be provided to Council each time it meets. The last update was provided on 20 March. An update for the period up to 8 May 2019 is provided at Appendix 1.
Decision	The Council is invited to discuss the progress update report at Appendix 1.
Next steps	A further update will be provided to Council at its July meeting.
Strategic priority	Strategic priority 3: Ensure the organisation is fit for the future and is agile in anticipating and adapting to changes in the external environment
Risk	<p>The Social Worker Risk Register and Risk Treatment plan reflects current and recent levels of risk recognised by risk owners related to the project to migrate Social Workers to Social Work England.</p> <p>The Social Worker Risk Register and Treatment Plan is continually under review and was presented to the Audit Committee at its meeting on 5 March 2019.</p>

The risk appetite is minimal as the project relates to ensuring ongoing compliance with the law, regulations and standards in place to protect the public in relation to Social Workers to the point of transfer and for the remaining 15 professions pre and post transfer.

Financial and
resource
implications

Costs associated with the transfer of the regulation of Social Workers are being called off against the previously agreed DfE Grant of £2.4m.

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Appendix 1

Regulation of Social Workers Project Update

This report provides a summary update on the Regulation of Social Workers project up to 8 May 2019.

1. Executive Summary

- 1.1. The focus of the project since the last update provided by Council in March 2019 has been on:
 - the delivery and testing of the data extraction tools from our system suppliers in accordance with the project plan;
 - working closely with the Department for Education (DfE) and Social Work England (SWE) on the development of a Transfer Scheme and Data Sharing Agreement between HCPC and SWE. These documents are required to enable data to be lawfully shared prior to the formal transfer date to enable SWE to test their systems; and
 - progressing the request to the DfE for additional grant funding to cover the additional costs incurred as a result of the uncertainty around the transfer date.
- 1.2. The Project Board owns the Risk Register, and continues to review the mitigation plans at each project board meeting. Following the most recent review of the Risk and Issues Log, seven risks have been identified as being suitable for closure as they are no longer relevant or the mitigations have been fully implemented.
- 1.3. The Chair and Chief Executive attended a joint meeting convened by the PSA with the DfE, DHSC and SWE on 16 April 2019 to consider the status of the project. A further meeting has been scheduled for July.
- 1.4. A series of meetings have taken place involving legal representatives from DfE, SWE and HCPC to discuss data sharing and transfer arrangements. HCPC has provided significant input into the draft Transfer Scheme developed by DfE and the draft Data Sharing Agreement put forward by SWE.
- 1.5. The Chief Executive and senior HCPC colleagues have met with PWC who are the internal auditors appointed by DfE to scrutinise the request for additional grant funding which HCPC submitted in March 2019.

Detailed Update

2. Project Governance

- 2.1 The HCPC project board continues to meet on a fortnightly basis to manage the project.

3. Transitional process and data export progress

- 3.1 HCPC has held a number of joint meetings with the DfE, PSA, DHSC and SWE to discuss progress updates, the status of the data export build plan, the announcement of the transfer date and collaborative working to achieving a Transfer Scheme and Data Sharing agreement.
- 3.2 There continues to be ongoing discussion between HCPC, SWE, DfE and its legal teams regarding the critical importance of having a Transfer Scheme and Data Sharing agreement in place to facilitate safe transfer of test data, in the run up to the formal transfer date.
- 3.3 DfE submitted proposals for the arrangements required to allow the sharing of data and use of data for live testing between HCPC and SWE before the formal transfer date. The arrangements comprise a Transfer Scheme and a Data Sharing Agreement. The DfE is managing the process to ensure a Transfer Scheme is in place, and the HCPC and SWE's legal teams are managing the process to secure the Data Sharing Agreement for the purpose of testing prior and up until the go-live date. HCPC has provided significant input into the development of these documents. However, our position remains that data cannot be transferred until the Transfer Scheme and Data Sharing Agreement are in place.
- 3.4 We have not received any further clarification as to when the formal transfer date will be announced. However, we continue to work towards a provisional transfer date of the 3 December 2019.
- 3.5 HCPC's IT System suppliers each provided a Statement of Work (SoW) in January 2019, which outlines the approach to data extract and transfer. The suppliers managing the extract design work were engaged from February to March and have delivered a number of tools to enable the data export to commence. We have moved into the User Acceptance Testing (UAT) phase of the project using all extract tools/ scripts provided by each supplier.
- 3.6 Suppliers managing the extract of the data export from the SharePoint system (which contains the unstructured data), commenced work at the beginning of April and delivered the export tool to HCPC two weeks earlier than the

anticipated delivery date. HCPC is managing the project milestones and is on track with the overall plan ahead of any joint testing with SWE.

- 3.7 With the number of successful UATs that have taken place, we are now in the position to provide SWE with a version of the data for their live testing purposes. However this is dependent on the Data Sharing agreement and Transfer Scheme being in place.
- 3.8 The skeleton version of the data extracts (which do not contain personal data) for all three functions (Education, Registrations and FTP) has been shared with SWE for their testing purposes.

4. Grant update

- 4.1 HCPC has successfully submitted its 4th grant claim to the DfE for the claim up to the end of March 2019.
- 4.2 A request for additional grant funding in respect of additional costs incurred as a result of the uncertainty around the formal transfer date was submitted to the DfE in March 2019. The request is currently the subject of the DfE's internal audit process, which is being conducted by PWC. The Chief Executive and other senior HCPC colleagues recently met with the PWC auditing team to discuss the evidence requirements required to support the funding request. Additional evidence in support of the request has been provided. A further meeting will be held with DfE to discuss the request once they have received the PWC report.

5. Stakeholder Engagement

- 5.1 HCPC has implemented a robust Stakeholder management plan. Meetings with key internal and external stakeholders continue including SWE communications counterparts.

Stakeholder	Category	Purpose of Engagement	Frequency
SWE/ DfE/ DHSC	External	Discussion on project deliverables across HCPC and SWE Discussions and approvals on work processes, data transfer dates, legalities, finance and any contractual agreements	Every three months. Next meeting is scheduled in July.
PSA	External	Providing updates to PSA on project status and seeking advice on governmental decisions	Monthly

Joint Project Board SWE & HCPC	External	Ensuring all parties are involved in the aligning of project work processes and decision making	As required
Joint project management team meeting (SWE & HCPC)	External	Ensuring all parties are involved in the aligning of project work processes and decision making	As required
UK Parliament	External	Chair and CEO meetings with SWE	As required
HCPC Project Board	Internal	Review of project work, approvals and decision making on all actions, risks, issues and project milestones/ activities.	Fortnightly
HCPC and SWE IT project team meetings	External	HCPC and SWE's Head of IT and Data have now commenced on a weekly stand-up meetings to discuss Data transfer/ export activities	Weekly

6. Future activities

Future Activities (up to May 2019)	Due Date
Drafting and agreement of the Transfer Scheme with DfE	In progress
Drafting and agreement of Data Sharing agreement with SWE	In progress
Joint UAT testing of data with SWE prior to Go-live	In progress
Joint UAT testing of data with SWE prior to Go-live <i>(start date solely dependent on transfer scheme and data sharing agreement being in place)</i>	Ready. Dependent on transfer scheme, data sharing agreement and readiness of SWE systems

7. Risks

- 7.1** The Social Worker Risk Register and Risk Treatment Plan reflects current and recent levels of risk recognised by risk owners. This document is continually under review.