

**Agenda Item 9**

**Enclosure 5**

**Health and Care Professions Council  
04 July 2019**

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

**For discussion**

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

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## Transfer of Social Workers to Social Work England (SWE)

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### 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 key achievements and focus of activity since the last Council meeting in May have been:

- The Transfer Scheme and Data Sharing Agreement necessary to enable the legal and safe transfer of data to SWE prior to go live are now in place;
- We have shared data with SWE for all three regulatory functions and continue to work closely with to provide appropriate support during their testing phase;
- We have received the draft PWC report, commissioned by the Department for Education, on our request for further grant funding in respect of additional costs incurred as a result of the uncertainty around the transfer date. We are proactively engaging with the Department for Education (DFE) and Department of Health and Social Care (DHSC) to receive confirmation of the final grant settlement;
- The Infrastructure and Projects Authority (IPA) are reviewing the project to establish SWE, in particular its readiness to regulate. HCPC's CEO and Registrar is being interviewed by the IPA as part of this review.

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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 22 March. An update for the period up to 18 June 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 September 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

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**Risk** 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.

A review of all the risks within the project risk register has been completed. This has resulted in risks being re-assigned to reflect appropriate risk owners as well as the closure of 15 risks. The Social Worker Risk Register and Treatment Plan was presented to the Audit Committee at its meeting on 4 June 2019.

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.

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**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 18 June 2019.

#### **1. Executive Summary**

1.1. The achievements and focus of the project since the last update provided by Council in May 2019 has been on:

- The Transfer Scheme and Data Sharing Agreement necessary to enable the legal and safe transfer of data to SWE prior to go live are now agreed.;
- We have shared data with SWE for all three regulatory functions and continue to work closely with SWE and their suppliers to provide appropriate support during their testing phase;
- We have received the draft PWC report, commissioned by the Department for Education (DfE), on our request for further grant funding in respect of additional costs incurred as a result of the uncertainty around the transfer date. We are proactively engaging with the DfE and the Department of Health and Social Care (DHSC) to receive confirmation of the final grant settlement;
- The Infrastructure and Projects Authority (IPA) are reviewing the project to establish SWE, in particular its readiness to regulate. HCPC's Chief Executive is being interviewed by the IPA as part of this review.

1.2. A review of the project Risk Register has been completed. This has resulted in some risks being reassigned to ensure ownership of the risk resides in the most appropriate functional area. 15 risks have been closed, many of which related to the receipt of the Transfer Scheme and Data Sharing Agreement. The Risk Register has been developed to include mitigation deadlines and completion dates. Implementation of the mitigations will be monitored by the Project Board.

1.3. On 3 July the Chair and Chief Executive are due to attend a joint meeting convened by the PSA with the DfE, DHSC and SWE.

#### **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 We have successfully extracted and exported data to SWE from our three regulatory IT systems to enable SWE to commence their live testing. We continue to work with SWE and their suppliers and business users to provide support necessary for their testing phase.
- 3.2 We are due to receive the extraction tool for FTP data held in SharePoint during the week commencing 17 June.
- 3.3 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. The Chair and Chief Executive are scheduled to attend a joint meeting convened by the PSA on 3 July with the DFE, SWE and DHSC which will provide an opportunity to seek confirmation of the SWE go-live date.
- 3.4 In FTP we have held a 'kick off' meeting with SWE's team to introduce them to the newly established dedicated social worker case team. The meeting was used to agree the scope and frequency of information sharing and access to cases. It was also an opportunity to provide SWE insight into the types of cases we receive, the types of information we get and seek, and how we risk assess and escalate the case.
- 3.5 With regards HR matters, as part of the Cabinet Statement of Practice (COSOP) process three roles have been matched as being matched to similar roles within SWE and therefore could form part of the transfer agreement. However, the composition of the workforce, between permanent and fixed term contract employees, means that we do not anticipate any permanent employees performing the three roles identified being at risk of redundancy. This is based on the assumption that the 2019/20 budget remains unchanged
- 3.6 A number of employees in Fitness to Practise and Registrations had contracts due to end in September, the original anticipated transfer date. SMT has taken the decision to harmonise the end dates of FTCs to reflect the December transfer date.
- 3.7 SWE has presented to HCPC a change request for additional data from the Registration function. The additional (qualification) data requested for was not factored in their initial business analyst discovery report, used to build the export tool with the supplier. Based on the original request, HCPC is currently only providing this data for new applicants. HCPC has informed SWE of the risks, in terms of delay and extra costs, in making a change request very close to the transfer date. The request from SWE incorporating the need for HCPC to provide registrant's qualification data will delay the data migration timeline by at least a month. Incorporating this change request into the social worker project work

stream is not HCPC's recommended approach, however, SWE is now prepared to accept the increased risk profile this change request presents, and HCPC will begin the process to implement this change.

#### 4. Grant update

- 4.1 We have received payment in respect of the 4<sup>th</sup> grant claim submitted to the DfE which covered expenditure up to the end of March 2019. The 5<sup>th</sup> grant claim is due to be submitted by the end of June.
- 4.2 We have continued to work closely with PWC to answer queries and requests for additional evidence in support of the request for additional grant funding from the DfE in respect of additional costs incurred as a result of the uncertainty around the formal transfer date. We have now received PWC's draft audit report and are proactively engaging with DfE and DHSC to seek confirmation of the expected quantum of the additional grant.

#### 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. A SWE communications plan and interim consultation update has been shared with relevant colleagues.
- 5.2 A website notice outlining our approach to sharing data with SWE has been prepared and will be published as soon as the transfer date has been confirmed.

#### 6. Future activities

<b>Future Activities (up to July 2019)</b>	<b>Due Date</b>
Extraction tool for FTP SharePoint data ( <i>Final extraction tool from supplier</i> )	21 June 2019
HCPC officially starts joint data testing phase with SWE in preparation of GO-live	24 June 2019
Joint meeting with PSA, SWE, DfE, DHSC	3 July 2019
HCPC to acquire additional systems/server in preparation of transfer date	July 2019
HCPC supplier (EnergySys) to begin development of updated tool based on SWE's change request.	July 2019

## **7. Risks**

- 7.1** A review of the Risk Register has been completed. This has resulted in some risks being reassigned to ensure ownership of the risk resides in the most appropriate functional area. 15 risks have been closed, many of which related to the receipt of the Transfer Scheme and Data Sharing Agreement. The Risk Register has been developed to include mitigation deadlines and completion dates. Implementation of the mitigations will be monitored by the Project Board.