

**Social Work England**  
**Interim**  
**Framework Document**  
January 2019

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# Introduction to the Interim Framework Document and Social Work England (SWE)

## The Framework Document

1. This Interim Framework Document has been drawn up by the Department for Education (“the Department”) in partnership with the Department of Health and Social Care (“DHSC”) and Social Work England (“SWE”). This document sets out the broad framework within which SWE will operate until a full Framework Document is agreed; expected to be no later than Summer 2019.
2. Copies of this document and any subsequent substantive amendments have been placed in the libraries of both Houses of Parliament and made available to the public on SWE’s website. This document does not confer any legal powers or responsibilities. It sets out agreed expectations for how day-to-day interactions will be handled between all parties and all parties agree to its terms.
3. This document has been signed by the Permanent Secretary of the Department, the Chair and Chief Executive of SWE on behalf of its Board, the Minister for Children and Families and the Minister for Care.

## Glossary

4. In this document, unless otherwise stated, the following definitions shall apply:

“the Accounting Officer”	The Chief Executive of Social Work England
“the Act”	The Children and Social Work Act 2017
“the Annual Report and Accounts”	The report required to be prepared by SWE under Schedule 3 paragraphs 17 and 18 of the Act, including the strategic report, and other statements published alongside the annual statement of accounts required to be audited by the National Audit Office
“the Board”	The SWE members appointed by the Secretary of State
“the Chair”	The SWE member appointed to serve as Chair by the Secretary of State
“the Chief Executive”	The SWE member appointed to serve as the Chief Executive Officer
“the Department”	The Department for Education
“DHSC”	The Department of Health and Social Care
“GIAA”	Government Internal Audit Agency
“NDPB”	Non-Departmental Public Body
“the Government”	The UK Government
“the Minister”	The Minister for Children and Families
“SWE”	Social Work England
“Parliament”	The UK Parliament
“the Principal Accounting Officer (PAO)”	The Department’s Permanent Secretary

“the Secretary of State”

The Secretary of State for Education

#### Amendments to the Framework Document

5. The Department, DHSC or SWE may propose amendments to this document at any time under arrangements agreed by the Department’s Permanent Secretary, the Secretary of State and SWE’s Chief Executive. Significant variations to the document must be cleared with HM Treasury, Cabinet Office, and the Department and DHSC, as appropriate.

#### Interpretation of the Framework Document

6. Any question regarding the interpretation of the document will be resolved by the Department after consultation with DHSC, SWE and, as appropriate, with the Cabinet Office and/or HM Treasury.

## The Framework Document

### Introduction

7. SWE was established under the Act to be a new single-profession regulator for social workers in England. It is a separate legal entity in the form of an NDPB and will operate at arm's length from government.
8. SWE will regulate both child and family social workers, and adult social workers. The Department has policy responsibility for the former, and DHSC for the latter. Both Departments will fund SWE and, as such, will work in close partnership to oversee and support SWE in the delivery of its statutory responsibilities and objectives.
9. SWE was established in April 2018. It will take on its regulatory functions not before Spring 2019.

### Review process

10. All parties will adhere to the arrangements set out in this interim Framework Document. During the period the interim Framework Document covers, SWE will be primarily focused on developing the infrastructure, systems and governance framework needed to operate as an effective regulator.
11. This interim Framework Document will be reviewed and updated in advance of SWE taking on its regulatory functions; referred to in this document as 'full implementation date'. This review will be conducted by the Senior Sponsor in the Department, in collaboration with DHSC, and will look at the effectiveness of the arrangements set out in this document. This will include governance, performance and sponsorship arrangements, as well as how effectively all parties are working together to support SWE's readiness to take on regulatory functions.

### Purpose of SWE

12. As set out in the Act, and like the other health and social care regulators across the UK, SWE's over-arching objective will be the protection of the public.
13. In pursuing its over-arching objective, SWE will, as set out in the Act, aim:
  - to protect, promote and maintain the health, safety and well-being of the public;
  - to promote and maintain public confidence in social workers in England; and
  - to promote and maintain proper professional standards for social workers in England.
14. SWE will be responsible for delivering key regulatory functions in respect of social workers, these are as follows:
  - setting profession-specific education and training standards and approving training courses;

- setting profession-specific standards;
- maintaining a register of all social workers in England;
- running a fitness to practise system;
- auditing continuous professional development; and
- approving post qualifying courses and specialisms.

## Governance and accountability

### Legal origin (s) of SWE's powers and duties

15. The Act, which received Royal Assent in April 2017<sup>1</sup>, provides for the establishment of SWE, and sets out its duties and powers, as well as those of the Secretary of State in relation to SWE.

## Ministerial responsibility

### Accounting in Parliament

16. As the Secretary of State for the sponsoring department, the Secretary of State for Education will have ultimate accountability for SWE in Parliament. The Minister will account for SWE's business in Parliament and have lead responsibility for SWE on a day-to-day basis, consulting DHSC ministers specifically in relation to adult social work policy.
17. DHSC has a significant interest in SWE as it has policy responsibility for adult social work and associated programmes. To this end, as well as jointly funding SWE, it has a strong interest in ensuring it is successfully established and can operate effectively as the regulator of adult social workers to support delivery of its wider policy objectives.
18. Both Departments will work together closely to support SWE's senior leadership team and Board to oversee its successful establishment. However, both Departments will retain current accountabilities for their respective policy responsibilities; the Department, for the child and family social work workforce and DHSC for the adult social work and social care workforce.

## Contact and engagement

### The sponsor and partnership

19. The Department is the sponsor for SWE and will be ultimately accountable for its set up over the period that this interim Framework Document covers.
20. The Department, DHSC and SWE will have an open and honest, trust-based partnership supported by the principles set out in the [Partnerships between Departments and Arm's Length Bodies: Code of Good Practice; purpose, assurance, value and engagement](#). As such, all parties will ensure they clearly understand the

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<sup>1</sup> Further information and the full Act can be found at <https://www.legislation.gov.uk/ukpga/2017/16/contents>

strategic aims and objectives of the other parties. All partners will also commit to keeping each other informed of any significant issues and/or concerns.

### Ways of working

21. The Department, and DHSC, are committed to working in partnership with SWE and its senior team and staff to support its readiness to regulate the social work profession. To this end, all parties will adhere to the principles of two-way communication and openness and a 'no surprises' culture. Issues and conflicts, where they arise will be dealt with promptly and at the appropriate levels, and parties will work together to anticipate problems and to take preventative action where needed.

### The Senior Sponsor

22. The Department's Senior Sponsor for SWE will be the Deputy Director for Social Work Reform. If this post is at any time vacant after the signing of this document, the Director for Children's Social Care, Workforce and Practice will oversee sponsorship until a suitable replacement is in post. This arrangement reflects the nature of SWE as a new body and will be reviewed when this interim Framework Document is reviewed; expected to be no later than Summer 2019.

23. DHSC will also appoint a 'key point of contact', who will also be at senior civil service (SCS) level and will work closely with the Department's Senior Sponsor. The individual will attend regular meetings chaired by the Senior Sponsor on SWE's performance to feed in the views of DHSC.

24. The Senior Sponsor will:

- act as the senior point of liaison between SWE, the Department, DHSC, the Secretary of State and Ministers;
- be the main source of advice to Ministers on the discharge of their responsibilities in respect of SWE;
- support and advise the Principal Accounting Officer (PAO) on his or her responsibilities toward SWE;
- ensure that, where reasonably possible, SWE's Chief Executive has advance notice of wider government announcements on social work policy;
- aid the flow of information and nurture relationships, facilitating SWE's relationships with officials in other government Departments where reasonably possible;
- work collaboratively with SWE's Chief Executive to facilitate the smooth operation of the arrangements set out in this interim Framework Document; and
- ensure requests for approval of expenditure are dealt with promptly and proportionately, and that Departmental approval is not unreasonably delayed and/or withheld for any reason, except where the Secretary of State

reasonably considers that the proposed expenditure does not represent value for money.

### The Sponsor team

25. The Department has established a sponsor team in the Social Work Reform Unit to manage the relationship between the Department, DHSC and SWE on a day-to-day basis.
26. The sponsor team is the primary contact and first port of call for SWE, on all questions about the Department and/or central government's requirements of SWE. The sponsor team will also be responsible for managing the relationship with DHSC at an official-level and will work with DHSC officials to ensure that information/input in respect of SWE is shared and secured in a timely manner.
27. The sponsor team will support the Senior Sponsor in discharging their responsibilities toward SWE, and will provide briefing to enable effective support, challenge and monitoring at bi-monthly performance meetings.

### Meetings between SWE, the Secretary of State, the Minister and Departmental officials

28. The regular engagement between all parties is set out below in more detail. These arrangements will be kept under review during this period, and formally reviewed by the Senior Sponsor in 2019 to ensure that they are proportionate and adequately support SWE as it works towards taking over regulatory responsibilities.

### Engagement with the Secretaries of State for Education and Health and Social Care

29. The Secretaries of State of both Departments, or their appointed representatives, shall jointly meet the Chair and Chief Executive of SWE at least annually, and more regularly if necessary.
30. The Chair of SWE, may ask for a meeting with Secretaries of State at any time.

### Engagement with the Minister for Children and Families

31. The Minister shall meet the Chief Executive and Chair of SWE at least twice a year; the Minister for Care will be invited to attend these meetings.
32. The details of ministerial meetings in this interim Framework Document will be reviewed if arrangements for ministerial oversight of SWE changes during the period this interim Framework Document covers.

### Engagement with the Senior Sponsor

33. The Senior Sponsor (and DHSC 'key point of contact') will usually meet the Chief Executive of SWE monthly to discuss the operation and performance of SWE and its readiness to take on its regulatory functions, although the frequency of these meetings can change as necessary.
34. The Senior Sponsor will meet the Chair and Chief Executive of SWE bi-monthly for a 'strategic performance review'. The 'key point of contact' in DHSC will support the

Senior Sponsor at these meetings and provide DHSC's view on SWE's performance over this period.

#### Engagement with the sponsor team (in addition to day-to-day engagement)

35. The Department's sponsor team and the relevant Finance Business Partner will meet the SWE's finance team quarterly. The Finance Business Partner will meet with SWE's finance team monthly to review monthly reports. The relevant Finance Business Partner in DHSC will be invited to attend these meetings to provide a view on DHSC's financial position and/or priorities.

#### Resolution of disputes

##### Between SWE and the Department

36. Any disputes between the Department and SWE will be resolved in as timely a manner as possible. The Department (in consultation with DHSC where relevant) and SWE will seek to resolve any disputes through an informal process in the first instance. If this is not possible, then a formal process, overseen by the Senior Sponsor, will be used to resolve the issue. Failing this, the Senior Sponsor will ask the relevant policy Director General to oversee the dispute. They may then choose to ask the Permanent Secretary to nominate a non-executive member of the Department's Board to review the dispute, mediate with both sides and reach an outcome, in consultation with the Secretary of State for Education.

#### Procedure for complaints

37. By the date SWE takes over regulatory responsibilities it shall have established, and published on its website, a procedure to investigate and deal with complaints from social workers, other bodies and members of the public about SWE's actions. This shall be in accordance with [Parliamentary and Health Service Ombudsman's Principles of Good Complaint Handling](#). Prior to this date, any complaints about SWE will be handled using the Department's existing complaints procedure.

#### Freedom of information requests

38. Where a request for information is received by any party under the Freedom of Information (FOI) Act 2000, the party receiving the request will consult with the other party prior to any disclosure of information that may affect their respective responsibilities.

## The Principal Accounting Officer (PAO)

### The PAO

39. The Permanent Secretary as PAO of the Department has designated the Chief Executive as the Accounting Officer (AO) for SWE. The role/responsibilities of an AO are set out in Chapter 3 of [Managing Public Money](#), a letter was sent to the AO on appointment.

### The PAO's accountabilities

40. The PAO is accountable to Parliament for the issue of any grant-in-aid to SWE. The PAO is responsible for advising the Minister on:
- an appropriate framework of objectives and targets for SWE in the light of the Department and DHSC's wider strategic aims and priorities;

- an appropriate budget for SWE in light of the Department and DHSC’s overall public expenditure priorities; and
- how well SWE is achieving its strategic objectives and whether it is delivering value for money.

### Other accountabilities

41. The PAO is also responsible for ensuring arrangements are in place in order to:

- monitor SWE’s activities;
- address significant concerns that arise in connection with the work of SWE, making such interventions as are judged necessary to protect the interest of the government;
- periodically carry out an assessment of the risks connected to SWE, both to the Department and SWE’s statutory obligations, objectives and activities;
- inform SWE of relevant government policy in a timely manner through the Senior Sponsor;
- bring concerns about the activities of SWE to the full (SWE) Board, and, as appropriate to the Department’s Board requiring explanations and assurances that appropriate action has been taken; and
- inform the PAO of DHSC on any matters arising from SWE that are judged to be relevant.

## SWE’s CEO as Accounting Officer

### The general responsibilities of the Accounting Officer

42. The Chief Executive as AO is personally responsible for safeguarding the public funds for which he or she has charge; for ensuring propriety, regularity, value for money and feasibility in the handling of those public funds; and for the day-to-day operations and management of SWE. In addition, he or she should ensure that SWE as a whole is run on the basis of the standards set out in Box 3.1 of [Managing Public Money](#), in terms of governance, decision-making and financial management.

43. The Secretary of State appointed the first Chief Executive of SWE under Schedule 3, paragraph 8 (3) of the Act. As set out in Schedule 3, paragraph 8 (1) of the Act, the SWE Board will appoint subsequent Chief Executives with the approval of the Secretary of State, who will consult with the Secretary of State for Health and Social Care, as appropriate.

### The Accounting Officer’s responsibilities to Parliament

44. The AO’s accountabilities to Parliament include:

- signing the Annual Report and Accounts (ARA);
- ensuring that proper records are kept relating to the accounts;

- ensuring SWE can safeguard and account for its assets;
- ensuring that the accounts are properly prepared and presented in accordance with any directions issued by the Secretary of State (see Schedule 3 paragraph 18 of the Act) by:
  - ensuring adherence to guidance on the form and content of the accounts;
  - preparing and signing a Governance Statement covering corporate governance, risk management and assurance of any local responsibilities, for inclusion in the ARA;
  - giving evidence, normally with the PAO, when summoned before the Public Accounts Committee (PAC) on SWE's stewardship of public funds or other statutory responsibilities;
  - ensuring that effective procedures for handling complaints about SWE are established and made publicly available; and
  - acting in accordance with the terms of this interim Framework Document, [Managing Public Money](#) and other instructions and guidance issued from time to time by the Department, HM Treasury and the Cabinet Office.

### The Accounting Officer's responsibilities to the Department

45. The AO is responsible for:

- proposing annually, at the beginning of each financial year, a corporate and business plan to be signed off by SWE's Board. This will have been developed in agreement with the Department and DHSC and submitted to Ministers for information. As agreed, for this interim period, the AO will be responsible for developing and preparing a 'light-touch' business plan for 18-19, to be prepared by the end of November 2018 and published in due course; further information on these arrangements is set out in section 9 '*Annual Report and Accounts*';
- ensuring that timely forecasts and monitoring information on performance and finance are provided to the Department; that the Department is notified promptly if over or under spends are likely and that corrective action is taken; and that any significant concerns whether financial or otherwise, and whether detected by internal audit or by other means, are notified to the Department in a timely fashion;
- taking action, by bringing his or her concerns to the Board, (as set out in chapter 3 of "Managing Public Money") if SWE's Board, or its Chair, is contemplating a course of action involving a transaction he or she considers would infringe the requirements of propriety or regularity, or does not represent prudent or economical administration, efficiency or effectiveness, is of questionable feasibility, or is unethical. The AO may wish to seek the advice of the PAO in these instances, prior to raising any concerns; and

- providing the necessary and timely input to responses to Parliamentary Questions, and Parliamentary and public correspondence, including FOIs.

## Corporate Governance and SWE Board

46. SWE's Board will meet eight times annually and dates will be agreed in advance; additional meetings may be arranged as necessary. The Board will be chaired by the Chair of SWE and will comply with all of requirements for NDPBs, with non-executive members in the majority; it is anticipated that the Board will have no more than 10 members.
47. The CEO will be a member of the Board and arrange for a qualified finance professional to attend the Board in an advisory capacity in the interim to provide advice and support on financial matters. In the longer-term, this role will be undertaken by a qualified finance professional from SWE who will have equal status to other Board members. Other persons may also be invited to attend the Board, including representatives of either departments, as and when required; they will not have voting rights.
48. The arrangements set out below will apply to the Board in this 'interim' phase, unless otherwise stipulated. All arrangements will be kept under review.

### Appointments to the Board

49. SWE will comply with all of the requirements for an NDPB and the principles of good governance for public bodies and the Department will ensure that non-executive members will always be in the majority on the Board. This is to ensure that that the SWE executive are supported and constructively challenged in their roles. The Department will actively monitor the diversity of SWE's Board.
50. It is the responsibility of the Secretary of State, in consultation with DHSC, to make appointments to SWE's Board as set out in Schedule 3, paragraph 2 (b) of the Act. In doing so, they must have regard to all of the relevant guidance on public appointments. The appointment and reappointment processes will be carried out in line with the [Governance Code for Public Appointments](#). Appointment terms are made for three years. The Secretary of State may remove a member, by notice in writing, who has failed to meet the requirements of their role without reasonable excuse or is otherwise unable or unfit to carry out their role as set out in paragraph 5 of Schedule 3 to the Act.

### Audit and Risk Committee

51. The Board should ensure effective arrangements are in place to provide assurance on risk management, governance and internal control. The Board must establish an Audit and Risk Committee (ARC) in accordance with the Government's [Code of Good Practice for Corporate Governance](#) and the [Audit and Risk Assurance Committee Handbook](#).
52. The ARC shall be chaired by an independent non-executive member to provide independent advice on governance, risk management and internal control; it will

meet three times annually and additional meetings may be arranged if necessary. The approval of the ARA will be retained as a Board responsibility, albeit on the recommendation of the ARC.

53. The Board is expected to assure itself of the effectiveness of the internal control and risk management systems. There will be a link person from the Department who can observe the ARC. This arrangement will be reviewed, when this interim Framework Document is reviewed.

### Remuneration Committee

54. The Board will establish a Remuneration Committee and advise the Secretary of State annually on the remuneration of the Chief Executive and SWE's staff; it will meet at least once annually. The Chief Executive can take part in discussions, but cannot take part in the Remuneration Committee's decision-making process, and cannot attend or take part when the Committee is discussing their own remuneration. The Department's Director of HR may attend meetings of the Remuneration Committee, as the Secretary of State's representative, to advise on senior remuneration policy across the public sector and how this has been applied in other NDPBs.

### The responsibilities of the Board

55. The Board is specifically responsible for fulfilling its terms of reference including:
- establishing and taking forward the strategic aims and objectives of SWE;
  - ensuring that Ministers are kept informed of any changes likely to impact on the strategic direction or targets, and determining the steps needed to deal with such changes;
  - ensuring that any statutory or administrative requirements for the use of public funds are complied with; that the Board operates within the limits of its statutory authority, any delegated authority agreed with the Department, including conditions related to the use of public funds, and guidance issued by the Department;
  - ensuring that the Board receives and reviews regular financial information concerning the management of SWE; is informed in a timely manner about any concerns and provides positive assurance to the Department that appropriate action has been taken;
  - demonstrating high standards of corporate governance at all times;
  - in consultation with the Department, setting performance objectives and remuneration terms linked to these objectives for the Chief Executive; and
  - establish a publicly accessible register to list all of the interests of its Board members.

## The Chair's personal responsibilities

56. The Chair will account to the PAO and the Minister. He or she is responsible for ensuring that SWE's affairs are conducted with probity. The Chair will support the Senior Sponsor in discharging their role in respect of SWE and in advising Ministers on its performance. The Chair's performance will be reviewed annually by the Secretary of State and the PAO of the Department, seeking relevant input from DHSC where necessary.
57. The Secretary of State is responsible for appointing the Chair of SWE as set out in Schedule 3, paragraph 2(a) of the Act. The Secretary of State will always consult with the Secretary of State for Health and Social Care prior to making any appointments.

## Further responsibilities of the Chair

58. In addition, the Chair has the following leadership responsibilities:
- setting the overall strategy for the new organisation, provide strategic direction and ensure compliance with statutory responsibilities;
  - establishing constructive and consultative relationships with a diverse range of stakeholders and embedding the views and interests of service users and social workers in the organisation's culture and operating model;
  - leading SWE's Board, ensuring it provides leadership, direction and the overall strategy for the organisation;
  - overseeing the full range of SWE's regulatory functions as set out in the Act;
  - ensuring effective arrangements are in place to provide assurance on risk management, governance and internal control;
  - working constructively in establishing SWE and ensuring the successful delivery of its objectives;
  - providing additional scrutiny of SWE's performance and risks, including escalating any issues to the PAO or Ministers of both Departments as deemed appropriate; and
  - delivering high standards of regularity and propriety.
59. The Chair also has an obligation to ensure that the work of the Board and its members is reviewed and working effectively. The Chair will usually do this annually. Subject to the Secretary of State's power to appoint members to the Board, the Chair is responsible for ensuring Board members have the skills appropriate to directing SWE's business, as set out in the [Code of Good Practice for Corporate Governance](#).
60. The Chair also has the following responsibilities in this area:
- ensuring Board members are fully briefed on terms of appointment, duties, rights and responsibilities;

- ensuring that he or she, together with the other Board members, receive appropriate training on financial management and reporting requirements and on any differences that may exist between private and public sector practice;
- ensuring that the Minister is advised of SWE's needs when Board vacancies arise;
- assessing and reporting to the Secretary of State on Board member performance and the performance of individual Board members when being considered for re-appointment; and
- ensuring that there is a published description of the role and responsibilities of the Board consistent with the [Code of Good Practice for Corporate Governance](#) ensuring that there is a Code of Practice for board members in place, consistent with the [Code of Conduct for Board Members of Public Bodies](#)

### The Chief Executive's responsibilities to the Board

61. The Chief Executive is responsible for:

- advising the Board on the discharge of its responsibilities as set out in this document, in the founding legislation, and in any other relevant instructions and guidance that may be issued from time to time;
- advising the Board on SWE's performance with reference to its aims and objectives and promoting the efficient and effective use of staff and other resources;
- ensuring that financial considerations are taken fully into account by the Board at all stages in reaching and executing its decisions, and that appropriate financial appraisal techniques are followed; and
- bringing to the attention of the board any matters, which are inconsistent with the AO standards, including the obligation to bring them to the attention of Ministers in line with the guidance in [Managing Public Money](#) (3.4.2).

### Duty to promote equality

62. SWE, as a public authority, is subject to the public sector equality duty under the Equality Act 2010. This means it is legally obliged to have due regard to equality issues when performing its functions.

### Individual Board members' responsibilities and indemnities

63. Section 12.2 of the [Civil Service Management Code](#) will apply to Board and Committee members. All Board and Committee members, including those co-opted from outside SWE, and who are not SWE Board members, will be indemnified as set out in section A5.4.19 of [Managing Public Money](#). Individual Board members should:

- comply at all times with the [Code of Conduct for Board Members of Public Bodies](#) and with the rules relating to the use of public funds and to conflicts of interest;
- not misuse information gained in the course of their public service for personal gain or for political profit, nor seek to use the opportunity of public service to promote their private interests or those of connected persons or organisations;
- comply with the Board's rules on the acceptance of gifts and hospitality, business appointments and conflicts of interest; and
- act in good faith and in the best interests of SWE.

## Annual Report and Accounts (ARA)

### The requirement to provide an ARA

64. The SWE Board must prepare and publish an ARA, which sets out its activities together with its audited accounts after the end of each financial year. SWE shall provide the Department with its final (audited) ARA and other financial data following an agreed timetable each year in order for the accounts to be consolidated within the Department's ARA. In addition to the ARA, additional detailed working papers may also be required to be submitted to the Department (at the Department's discretion) to support the consolidation.
65. Arrangements have been made for SWE to prepare 7-month accounts for the financial year ended 31 March 2019 and subsequent accounts, annually to the financial year 31 March. The Accounts Direction is annexed at Appendix 2 of this document.

### Requirements of the ARA

66. The annual reporting and accounting requirements are set out in Schedule 3 paragraph 14 of the Act. The Department will also monitor activity and progress in this area as part of SWE strategic quarterly performance reviews.

### Content of the ARA

67. The ARA must:
- comply with the HM Treasury's [Government Financial Reporting Manual](#) (FReM) and Public Expenditure Systems (PES) requirements; and
  - outline main activities and performance during the financial year and set out in summary form forward plans.

## Internal audit and risk

### Internal audit and risk requirements

68. SWE shall:
- establish and maintain arrangements for internal audit and risk in accordance with HM Treasury's [Public Sector Internal Audit Standards](#) (PSIAS) from 3

September 2018. For the current financial year 2018-19, this service will be provided by the Government Internal Audit Agency (GIAA);

- ensure that the internal auditors also provide independent and objective assurance to SWE's AO and the Board on the adequacy and effectiveness of SWE's governance, risk management and control. This will support the AO's governance statement for 2018-19;
- ensure the Department is satisfied with the competence and qualifications of its internal auditors and the requirements for approving appointments in accordance with PSIAS;
- ensure the Department and its internal auditors (GIAA) have complete access to all relevant records, including where a service is contracted out;
- forward the audit strategy, periodic audit plans and annual audit report, including the SWE's opinion on risk management, control and governance as soon as possible to the Department; and
- keep records of, and prepare and forward to the Department an annual report on fraud and theft suffered by SWE and notify the Department of any unusual or major incidents as soon as possible.

## External audit

### External audit procedure

69. The Comptroller & Auditor General (C&AG) audits SWE's accounts. Once the C&AG audit report has been issued and incorporated into the ARA, the Secretary of State will lay the accounts before Parliament.

### The C&AG

70. The C&AG may carry out examinations into the economy, efficiency and effectiveness with which SWE has used its resources in discharging its functions. For the purpose of these examinations the C&AG has statutory access to documents as provided for under section 8 of the National Audit Act 1983. In addition, SWE shall provide, in conditions to grants and contracts, for the C&AG to exercise such access to documents held by grant recipients and contractors and sub-contractors as may be required for these examinations; and shall use its best endeavours to secure access for the C&AG to any other documents required by the C&AG which are held by other bodies.

71. The C&AG:

- will consult the Department and SWE on who – the National Audit Office (NAO) or a commercial auditor – shall undertake the audit(s) on his behalf, though the final decision rests with the C&AG;
- has a statutory right of access to relevant documents, including by virtue of section 25(8) of the Government Resources and Accounts Act 2000, those held by another party in receipt of payments or grants from SWE;

- will share with the Department information identified during the audit process and the audit report (together with any other outputs) at the end of the audit, in particular on issues impacting on the Department's responsibilities in relation to financial systems within SWE; and
- will, where asked, provide Departments and other relevant bodies with Regulatory Compliance Reports and other similar reports that Departments may request at the commencement of the audit and which are compatible with the independent auditor's role.

### Right of access

72. Subject to any data protection or other legal requirements, the Department has the right of access to all SWE records and personnel for any purpose.

## Management and Financial responsibilities

### Managing Public Money and other government-wide corporate guidance and instructions

73. Unless agreed by the Department and HMT, as necessary, SWE shall follow the principles, rules, guidance and advice in [Managing Public Money](#), referring any difficulties or potential requests for exceptions, to the SWE sponsor team in the Department in the first instance. The sponsor team will be responsible for seeking advice from relevant Departmental teams (Financial Controls and Governance Team) and HM Treasury. A list of guidance and instructions with which SWE should comply is set out in Appendix 1.

### Delegated Financial Authority Letter

74. SWE shall comply with the financial delegations set out in the Department's letter of Delegated Financial Authority, the delegated limits for SWE for 2018-19 are set out at a high-level in Appendix 3. If any changes are made to these limits outside of this document, then a new letter will be issued separately.

### Incurring expenditure

75. Once the budget has been approved by the Department and subject to any restrictions imposed by statute, the terms and conditions of grant, Minister's instructions, and this interim Framework Document, SWE shall have authority to incur expenditure approved in the budget without further reference to the Department, on the following conditions:

- SWE shall comply with [Managing Public Money](#) regarding novel, contentious or repercussive proposals;
- inclusion of any planned and approved expenditure in the budget shall not remove the need to seek formal Departmental approval where any proposed expenditure is outside the delegated limits, or is for new schemes not previously agreed; and

- SWE shall provide the Department with such information about its operations, performance individual projects or other expenditure as the department may reasonably require.

## Risk management procedures and arrangements

### Risk Management Strategy

76. SWE shall ensure that the risks that it faces are dealt with in an appropriate manner, in accordance with relevant aspects of best practice in corporate governance and the wider Departmental approach. It will develop a risk management strategy, in accordance with the Treasury guidance [Management of Risk: Principles and Concepts](#) and the Department's risk management framework (available through the sponsor team). In addition, it should adopt and implement policies and practices to safeguard itself against fraud and theft, in line with HM Treasury's guidance on tackling fraud. It should also take all reasonable steps to appraise the financial standing of any firm or other body with which it intends to enter into a contract or to give grant or grant-in-aid.
77. SWE will have in place an information security policy and processes that provide assurance on the appropriate management and treatment of information across SWE.

### Reporting risk

78. The Senior Sponsor is responsible for escalating any risk that meets the escalation criteria as set out in the Department's risk management framework initially to the Performance, Risk and Resourcing Committee who will escalate to the Leadership Team and the Department's ARC where appropriate. SWE's ARC will provide independent advice on the effectiveness of risk management to SWE's Board. SWE will:
- respond to Departmental commissions for information on performance and risk as appropriate to support the Senior Sponsor in carrying out their role;
  - maintain robust contingency and business continuity plans and will review and test these frequently; and
  - report monthly to the Senior Sponsor on risks carried by the organisation and progress on their management.

## Corporate and Business Plan

### Interim arrangements

79. As SWE has been established part-way through financial year 2018-19 it has been agreed that it will produce an Interim Business Plan for this period. This plan will be agreed via the Senior Sponsor, with input from DHSC and signed off by SWE's Board.
80. This Interim Business Plan will be agreed no later than the end of 2018, and we expect to be published shortly afterwards.

## Corporate Plan

81. For the period, 2019-20, SWE shall submit to the Department a draft of its strategic corporate plan covering the next three years or the length of the current Spending Review period, whichever is greater. This will also be shared in draft with DHSC, via the senior 'point of contact' and it will be given the opportunity to comment on the content of the plan.
82. SWE shall agree with the Department the issues to be addressed in the plan and the timetable for its preparation, which will be in line with the Department's business planning process. The plan shall reflect SWE's general and/or other duties and include decisions taken on policy and resources in the light of wider public expenditure decisions. The plan shall demonstrate how SWE contributes to the achievement of both Departments' priorities for the social work workforce and cover objectives and associated key performance targets for the forward years, and the strategy for achieving those objectives.

## Business Plan

83. In addition to the corporate plan, SWE will produce an annual business plan covering the period 2019-20. This will comprise key targets and milestones for the year immediately ahead and a monthly budget profile. Resources shall be clearly allocated to objectives. Subject to any commercial considerations, a digest of the corporate and business plans will be published by SWE on its website and made available to staff.
84. SWE will provide information for the Main and Supplementary Estimates each year as advised by the department as well as other data as required for HM Treasury's Online System for Central Accounting and Reporting (OSCAR).

## Content of the business plan

85. The following should be included in the business plan:
  - key non-financial performance targets;
  - an estimate of performance in the current year and remaining years within the Spending Review period;
  - alternative scenarios and an assessment of the risk factors that may significantly affect the execution of the plan but that cannot be accurately forecast; and the volatility around any forecast amounts; and
  - other matters as agreed between the Department and SWE.

## Advance sight of corporate and business plans

86. SWE will give the Senior Sponsor (and the senior 'point of contact' in DHSC) advanced sight of its draft corporate and business plans. Ministers will be given the opportunity to comment on the final drafts of the Corporate and Business plans, however they will be ultimately approved by the Chief Executive and Board of SWE.

## SWE's input to the Department's annual business planning process

87. SWE will also input into the Department's annual business planning exercise updating detailed templates covering admin (including payroll information), programme and capital budgets for the year immediately ahead and future years as advised by the Department. This will include providing evidence to support any assumptions made. SWE will work with the Department to meet any efficiency targets and to respond to any challenges arising as a result of this business planning work as agreed by the Department's Leadership Team.

## Budgeting procedures

### Budget information in the business plan

88. The approved annual business plan will take account both of approved funding provision and any forecast receipts, and will include a budget of estimated payments and receipts together with a profile of expected expenditure and of drawdown of any Departmental funding and/or other income over the year. These elements form part of the approved business plan for the year in question.

## Grant-in-aid and grant payments

### Grant-in-aid voted

89. Any grant-in-aid provided by the Department for the year in question will be voted in the Department's Supply Estimate and be subject to Parliamentary control.
90. Grant-in-aid will be provided to SWE by the Department. As per the process for jointly funded ALBs, DHSC will provide the Department with the funding to cover the aspects of SWE's budget that they have agreed to fund every financial year. The process and the frequency for this transfer of funding between the departments will be set out in more detail in a Memorandum of Understanding (MoU).

### Timing of grant-in-aid

91. The grant-in-aid will normally be paid in monthly instalments on the basis of written applications showing evidence of need.
92. SWE will comply with the general principle that there is no payment in advance of need. Cash balances accumulated during the course of the year from grant-in-aid or other Exchequer funds shall be kept to a minimum level consistent with the efficient operation of SWE. Grant-in-aid not drawn down by the end of the financial year shall lapse. Subject to approval by Parliament of the relevant Estimates provision, where grant-in-aid is delayed to avoid excess cash balances at the year-end, the Department will make available in the next financial year any such grant-in-aid that is required to meet any liabilities at the year-end, such as creditors.

### Ring-fenced grants

93. In the event that either Department provides SWE separate grants for specific (ring-fenced) purposes, it would issue the grant, as and when, SWE needed it on the basis of a written request. SWE would provide evidence on request that the grant was used for the purposes authorised by the Department issuing the grant. SWE shall not have uncommitted grant funds in hand, nor carry grant funds over to another financial year, without prior agreement.

## Reporting financial and non-financial performance to the Department

### Regular reporting

94. SWE shall operate management, information and accounting systems that enable it to review in a timely and effective manner its financial and non-financial performance against the budgets and targets set out in the corporate and business plans. SWE shall inform the Department, via the Senior Sponsor, of any changes that make achievement of objectives more or less difficult. It shall report financial and non-financial performance, including performance in helping to deliver Ministers' policies, and the achievement of key objectives regularly.
95. SWE's strategic performance shall be formally reviewed by the Department bi-monthly in this interim period. The Senior Sponsor will chair the review and will be supported by the named senior 'point of contact' in DHSC. Further details are set out in the '*Contact and Engagement*' section of this document.

### Providing financial monitoring information to the Department

96. SWE will be required to report their monthly outturn via the Multi-Company Translation Tool (MCTT) (or by other means determined by the Department) that feeds into the Departmental reporting systems, as well as providing a monthly report summarising variances (and explanations of these variances) against budget, forecast and expected run rates for resource and capital budgets in a template agreed with the Department's Finance Business Partner team.

### Forecasts

97. SWE will also be required to provide monthly cash forecasts in line with the Department's cash management deadline to accurately forecast their cash flows in accordance with HM Treasury targets, and support the grant-in-aid cash requirement for the following month. This will enable the department satisfactorily to monitor cash and budgetary limits, and report the following information to HM Treasury:
- SWE's cash management;
  - its draw-down of grant-in-aid;
  - forecast outturn by resource headings;
  - other forecast and outturn data required to be reported to the HM Treasury database, OSCAR; and
  - other data required for transparency reporting to the Cabinet Office and HM Treasury. SWE will submit its transparency data to the Cabinet Office, via the Department's sponsor team.

### SWE/departmental working-level liaison arrangements

98. In this period, there will be quarterly meetings held between the Department's sponsor team, the relevant Finance Business Partner, and SWE's finance team. The escalation of any issues arising from these meetings will be via the Senior Sponsor in monthly meetings with SWE's Chief Executive or via bi-monthly strategic performance review meetings.

99. The Finance Business Partner/s, together with SWE's sponsor team, will meet monthly with SWE officials to review financial performance against plans, achievement against targets and expenditure against its DEL and AME allocations.

#### Sponsor team meetings with SWE

100. The above meetings do not replace day-to day reporting, working and meetings between the sponsor team and the appropriate SWE officials, such as are needed to explain any wider policy developments in either Department that might have an impact on SWE.

#### Delegated authorities

101. SWE shall obtain the Department's prior written approval before:

- entering into any undertaking to incur any expenditure that falls outside the delegations, or which is not provided for in SWE's annual budget as approved by the Department;
- incurring expenditure for any purpose that is or might be considered novel, contentious or repercussive, or which has, or could have, significant future cost implications;
- making any significant change in the scale of operation or funding of any initiative or particular scheme previously approved by the Department;
- making any change of policy or practice which has wider financial implications that might prove repercussive or which might significantly affect the future level of resources required; and
- carrying out policies that go against the principles, rules, guidance and advice in [Managing Public Money](#).

#### Staff

102. SWE will be staffed by Crown Servants to ensure independence from government.

#### Broad responsibilities for staff

103. Within the arrangements approved by the responsible Minister and HM Treasury, SWE will have responsibility for the recruitment, retention and motivation of its staff. The broad responsibilities toward its staff are to ensure that:

- the rules for recruitment and management of staff create an inclusive culture in which diversity is fully valued; appointment and advancement is based on merit: there is no discrimination on grounds of gender, marital status, sexual orientation, race, colour, ethnic or national origin, religion, disability, community background or age;
- the level and structure of its staffing, including grading and staff numbers, are appropriate to its functions and the requirements of economy, efficiency and effectiveness;

- the performance of its staff at all levels is satisfactorily appraised and SWE's performance measurement systems are reviewed from time to time;
- its staff are encouraged to acquire the appropriate professional, management and other expertise necessary to achieve SWE's objectives;
- proper consultation with staff takes place on key issues affecting them, including with any recognised union/s;
- adequate grievance and disciplinary procedures are in place;
- whistle-blowing procedures consistent with the Public Interest Disclosure Act are in place; and
- a code of conduct for staff is in place based on the Cabinet Office's [Model Code for Staff of Executive Non-departmental Public Bodies](#).

#### Staff costs

104. Subject to its delegated authorities, SWE shall ensure that the creation of any additional posts does not incur forward commitments that will exceed its ability to pay for them.

#### Pay and conditions of service

105. SWE should have regard to Chapter 5 of the Cabinet Office's [Public Bodies: A Guide for Departments](#) that provides guidance on staff issues in public bodies. SWE's staff are subject to levels of remuneration and terms and conditions of service (including pensions) within the general pay structure approved by the Department and HM Treasury.

#### Terms and conditions

106. The Act grants SWE the power to determine staff terms and conditions with the approval of the Secretary of State. SWE requires Secretary of State's approval for staff remuneration, including annual sign off for the pay remit. SWE has no delegated power to amend these terms and conditions without Secretary of State's approval.

#### Handbook

107. Staff terms and conditions should be set out in an Employee Handbook, which is made available to all staff.

#### Pay structure

108. The pay and reward structure for SWE was approved by the Department and agreed with HM Treasury in May 2018.

#### Expenses

109. The travel expenses of Board members shall be tied to the rates allowed to senior staff of SWE. Reasonable actual costs shall be reimbursed.

#### Legislation

110. SWE shall comply with all applicable employment legislation.

### Pensions, redundancy and compensation

111. SWE staff will be eligible for a National Employment Savings Trust (NEST) pension, with an employer contribution as agreed with the Department and HM Treasury.
112. Any proposal by SWE to move from the existing pension arrangements, or to pay any redundancy or compensation for loss of office, requires the prior approval of the department and HM Treasury/Cabinet Office where applicable. Proposals on severance must comply with the rules in Chapter 4 of [Managing Public Money](#) and Cabinet Office guidance on severance payments.

### Arrangements for reviews of SWE's status

113. In line with Cabinet Office policy for the tailored reviews of public bodies, SWE will undergo its first tailored review during 2021. It will then be reviewed at least once in the lifetime of each Parliament, or sooner in the event of a significant change in the scope or direction of its primary aims. These reviews ensure, inter alia, that SWE is delivering effectively against its aims and objectives.

### Procedures for winding up SWE

#### Orderly winding up

114. The Department shall ensure that the arrangements in the event SWE is wound up are set out in the full Framework Document when it is published.

List of appendices

Appendix 1 - List of Government corporate guidance and instructions

Appendix 2 - Accounts Direction for SWE

Appendix 3 – Delegations for SWE

Signed  .....

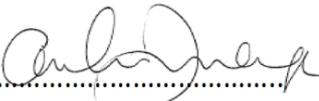
Date 20/12/18

(Chief Executive of SWE)

Signed  .....

Date 10/1/2019 .....

(Parliamentary Under Secretary of State for Children and Families, Department for Education)

Signed  .....

Date 30/01/2019 .....

(Minister of State for Care, Department for Health and Social Care)

## Appendix 1 – Government Corporate Guidance and Instructions

SWE shall comply with the following general guidance documents and instructions:

- This interim Framework Document
- Appropriate adaptations of sections of [Corporate Governance in Central Government Departments: Code of Good Practice](#)
- [Code of Conduct for Board Members of Public Bodies](#)
- [Guidance for Ministerial Appointments to Public Bodies](#)
- [Managing Public Money](#), including:
  - Chapter 6, Fees and Charges Guide;
  - Annex 5.6, Departmental Banking: A Manual for Government Departments
- [Public Sector Internal Audit Standards](#)
- [Management of Risk: Principles and Concepts](#)
- [HM Treasury Guidance on Tackling Fraud](#)
- [Government Financial Reporting Manual](#)
- Relevant [Dear Accounting Officer letters](#)
- [Regularity, Propriety and Value for Money](#)
- The Parliamentary and Health Service Ombudsman’s Principles of Good Administration [www.ombudsman.org.uk/improving-public-service/ombudsmansprinciples](http://www.ombudsman.org.uk/improving-public-service/ombudsmansprinciples)
- [Partnerships between Departments and Arm’s Length Bodies: Code of Good Practice](#)
- Consolidation Officer Memorandum, and relevant DCO letters
- Relevant Freedom of Information Act guidance and instructions (Ministry of Justice)
- [Model Code for Staff of Executive Non-departmental Public Bodies](#)
- other relevant guidance and instructions issued by the Treasury in respect of Whole of Government Accounts
- Other relevant instructions and guidance issued by central departments

- Specific instructions and guidance issued by the department
- Recommendations made by the Public Accounts Committee, or by other Parliamentary authority, that have been accepted by the Government and relevant to SWE
- Tailored Reviews of public bodies guidance  
[www.gov.uk/government/publications/tailored-reviews-of-public-bodies-guidance](http://www.gov.uk/government/publications/tailored-reviews-of-public-bodies-guidance).

## Appendix 2 – SWE Accounts Direction



Department  
for Education

### **ACCOUNTS DIRECTION GIVEN BY THE SECRETARY OF STATE FOR EDUCATION, IN ACCORDANCE WITH PARAGRAPH 18(3), SCHEDULE 3 OF THE CHILDREN AND SOCIAL WORK ACT 2017**

1. This direction applies to Social Work England.
2. Social Work England shall prepare accounts for the 7 months to the financial year ended 31 March 2019, and then annually for all subsequent financial years to 31 March, in compliance with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual issued by HM Treasury (“the FReM”) which is in force for the financial year for which the accounts are being prepared, together with any additional disclosure or other requirements as agreed with the department.
3. The accounts shall be prepared so as to:
  - (a) give a true and fair view of the state of affairs at 31 March 2019 and subsequent financial year-ends, and of the income and expenditure (or, as appropriate, net resource outturn), changes in taxpayers’ equity and cash flows for the financial year then ended; and
  - (b) provide disclosure of any material expenditure or income that has not been applied to the purposes intended by Parliament or material transactions that have not conformed to the authorities which govern them.
4. Compliance with the requirements of the FReM will, in all but exceptional circumstances, be necessary for the accounts to give a true and fair view. If, in these exceptional circumstances, compliance with the requirements of the FReM is inconsistent with the requirement to give a true and fair view, the requirements of the FReM should be departed from only to the extent necessary to give a true and fair view. In such cases, informed and unbiased judgement should be used to devise an appropriate alternative treatment which should be consistent with both the economic characteristics of the circumstances concerned and the spirit of the FReM. Any material departure from the FReM should be discussed with the Department for Education and HM Treasury.

Signed for and on behalf of the Secretary of State for Education,

Sam Olsen

Deputy Director

24 September 2018

## Appendix 3 – Delegations for SWE

Nature of Delegation		SWE
<b>Policies and programmes agreed and announced at the Spending Review</b>	Resource DEL	Delegated up to the limits set out in this letter and the annual budget allocation letter, apart from the specific restrictions set out overleaf.  SWE should discuss these issues with its sponsor team in any case where it is unclear whether a new delegation authority is required.
	Capital DEL	As above.
<b>All new announcements, policies and programmes creating one off or on-going expenditure</b>	Resource and Capital DEL	£0m. Not delegated and departmental approval required (may also require HMT approval).
<b>Operational expenditure</b>	Resource DEL	Delegated up to the limits set out in the annual budget allocation letter issued by the department.
<b>Spending commitments beyond 19/20</b>	All expenditure	£0m. Not delegated and departmental approval required.
<b>Internal funding allocations</b>	Resource and Capital	£0m. Not delegated. This relates to the restrictions set out on the transfer of funding between different categories of expenditure, not to the distribution of funding within those categories of expenditure.
<b>Write offs and losses (6,4)</b>	All expenditure	To cover small amounts up to a maximum value of £1,000 per case individual case (provided these don't fall into the novel, contentious and/or repercussive category) and within a total ceiling in any one financial year of £10k. Anything above this will require departmental approval.