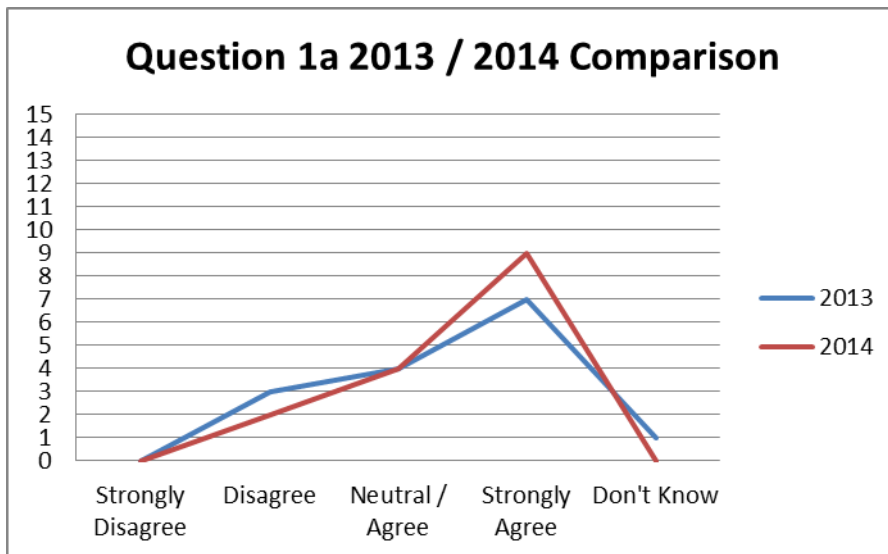
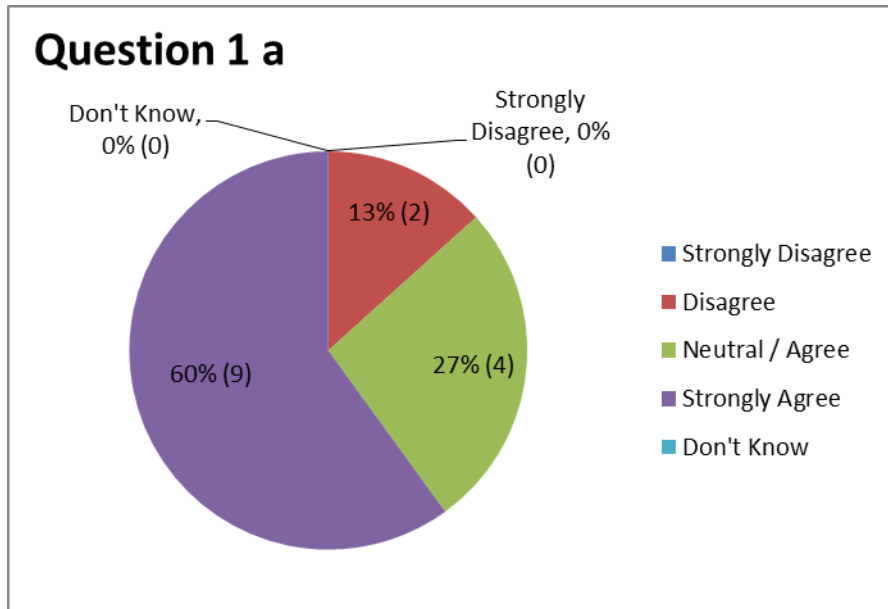


Board Effectiveness Review Questionnaire

1. The Role of the Board

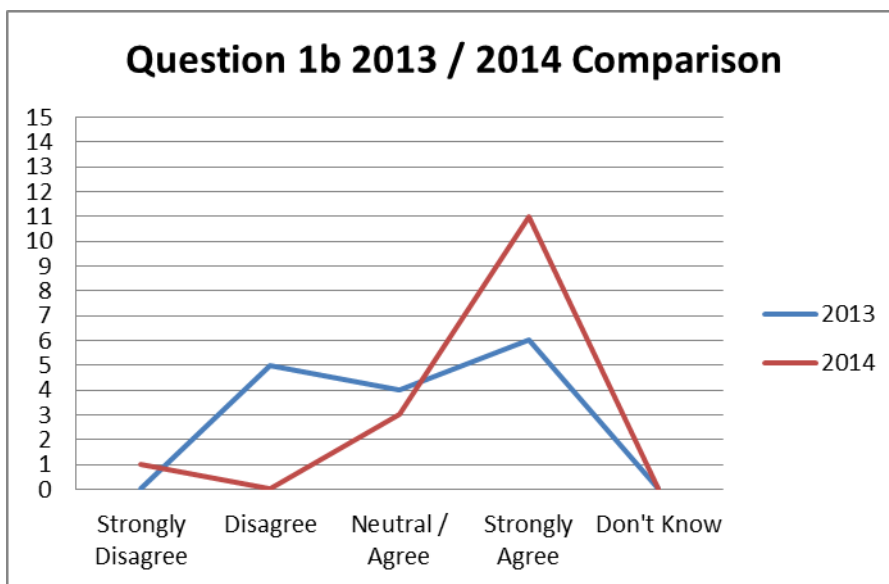
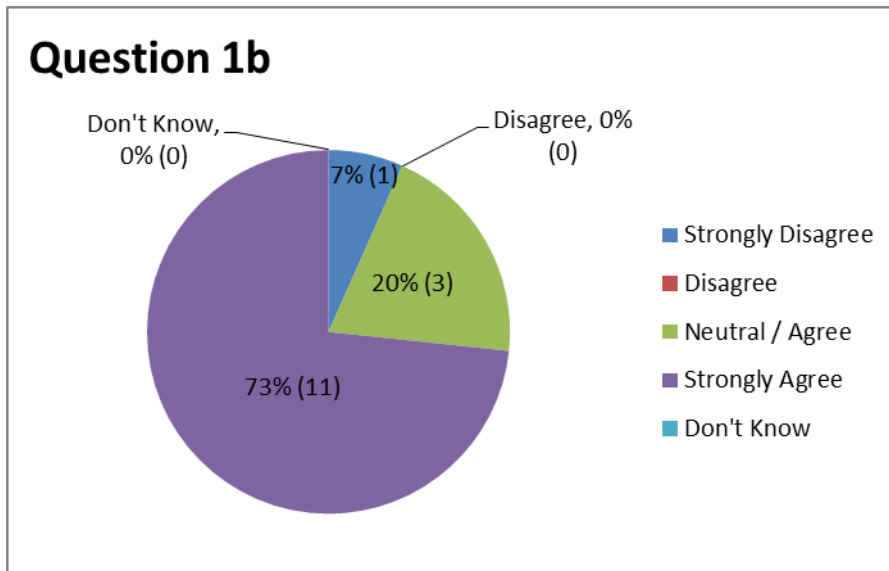
a. The Board sets a clear strategy/purpose and objectives for the ARB.



Comments:

There were no additional comments to this question.

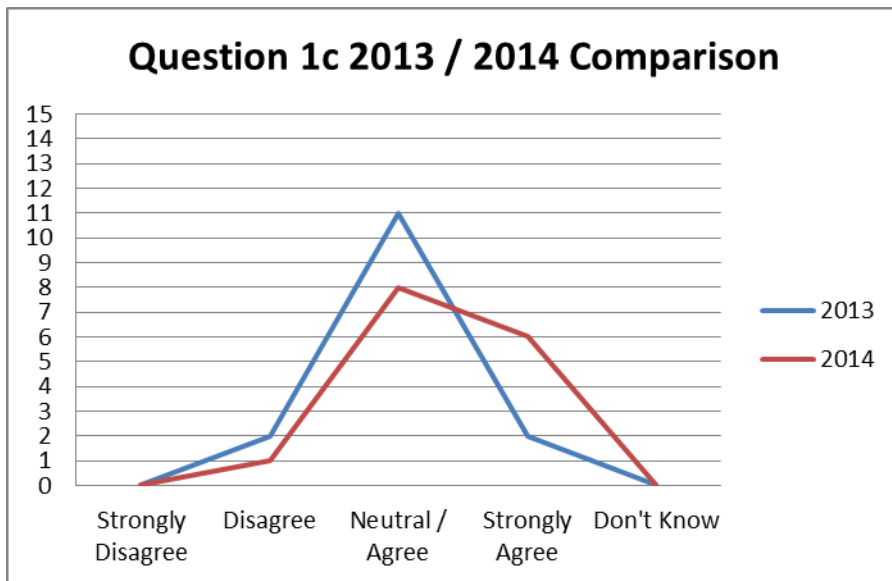
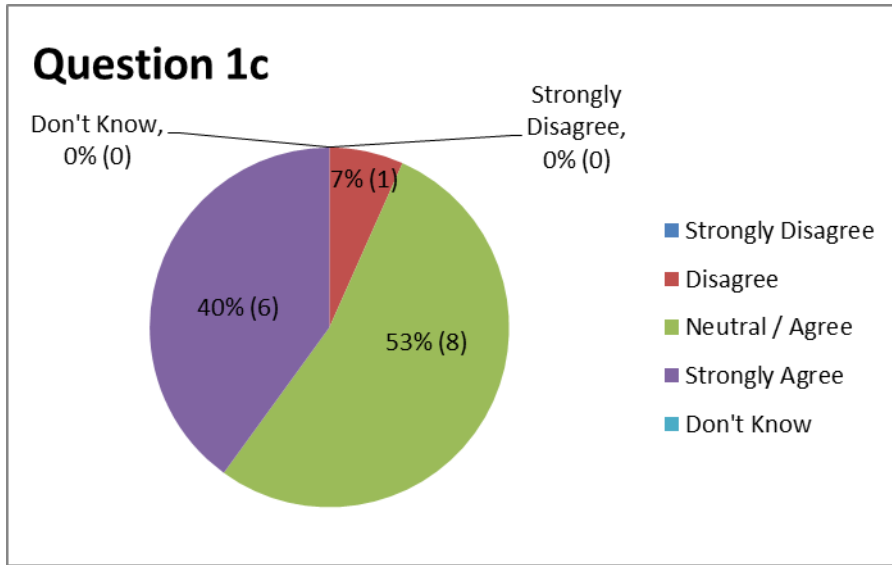
b. The Board understands its statutory responsibilities.



Comments:

- In the area of education I don't believe the Board's existing policy positions are consistent with its statutory responsibilities, specifically those set out in Section 4 of the Act.
- Not everyone is always clear and up to date on equalities responsibilities.

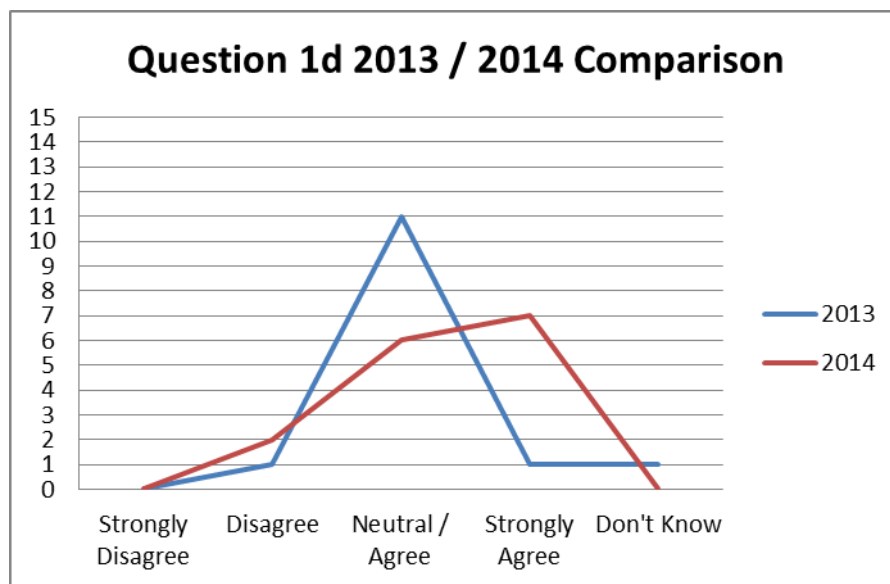
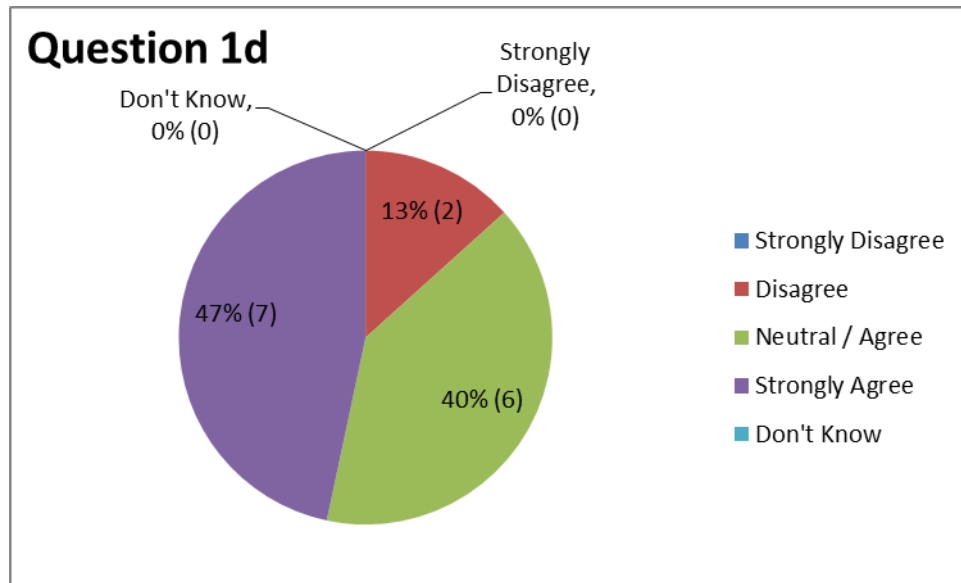
c. The Board understands its obligation for corporate collective responsibility.



Comments:

- I think it would help to remind Board members of this annually or as appropriate.
- Some do.
- Theoretically yes, but in practice people sometimes dissent from decisions without being clear as to why and it is hard to assess individual levels of commitment to supporting resolutions that they have opposed.

d. The Board is cohesive and combines support of management with appropriate challenge.

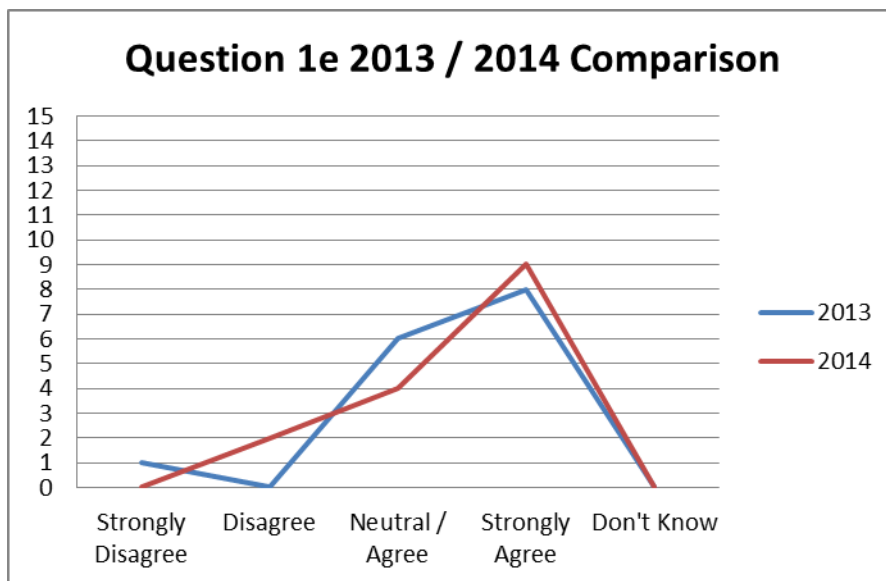
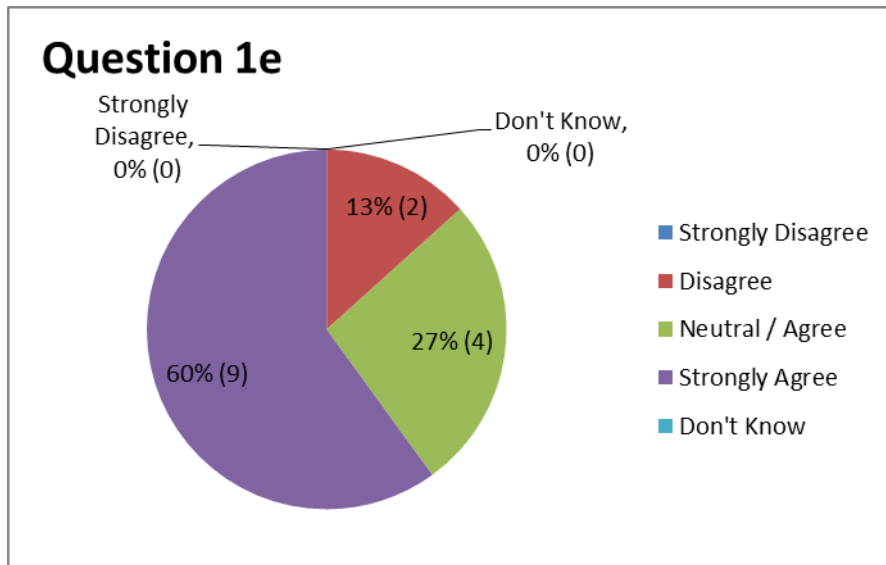


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- Some questioning / challenge is healthy, so we don't want to be too cohesive.
- It has greatly improved.
- Remarkable cohesion despite some quite different views about futures for education and training.
- Things have improved recently, and continue to improve.
- Cohesiveness is still not complete but has improved. Support/challenge of management has improved greatly and staff respond well to challenge under the leadership of the acting CEO.

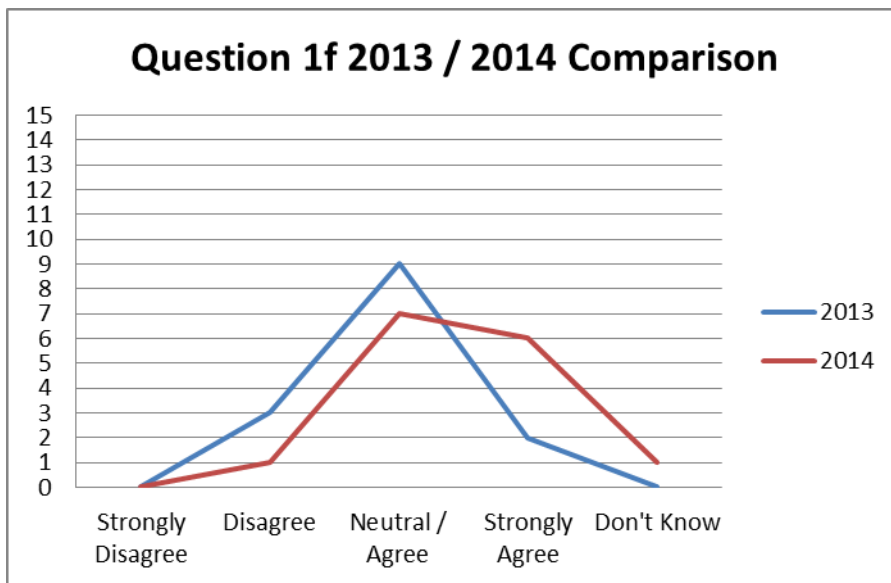
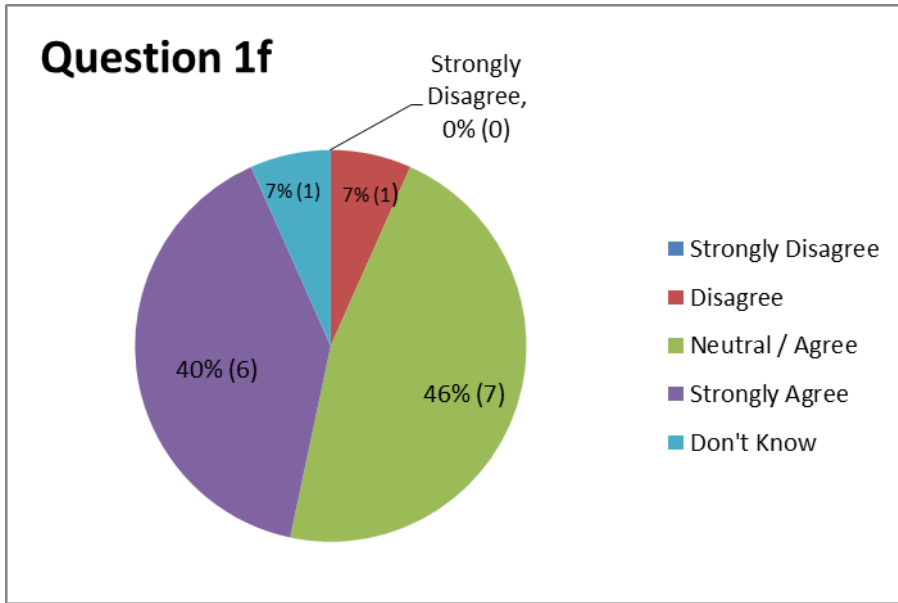
e. Significant programmes of work are aligned to ARB’s Purpose and Objectives.



Comments:

- Well, they are, but sometimes the timing is questionable, especially when projects are suggested when we are in the middle of a review.

f. Board members understand their individual roles and what is expected of them.

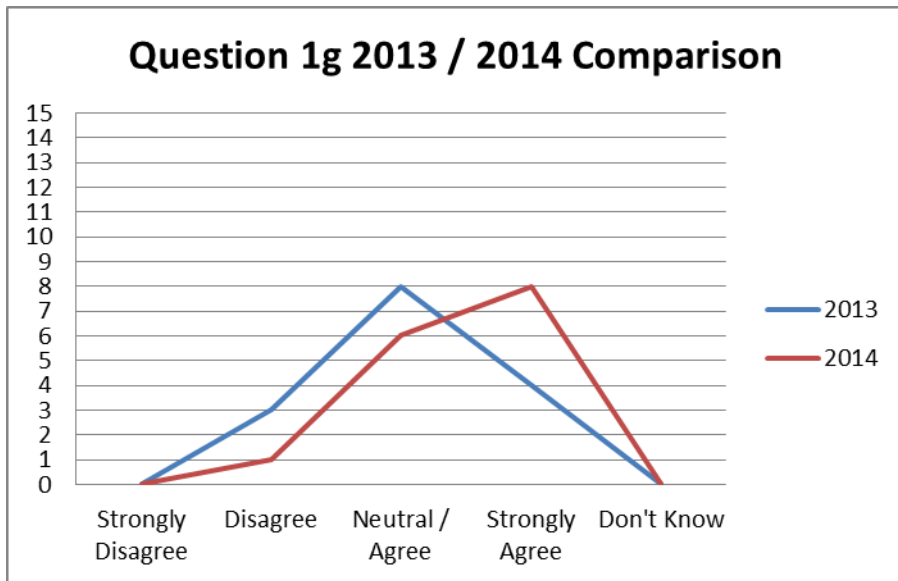
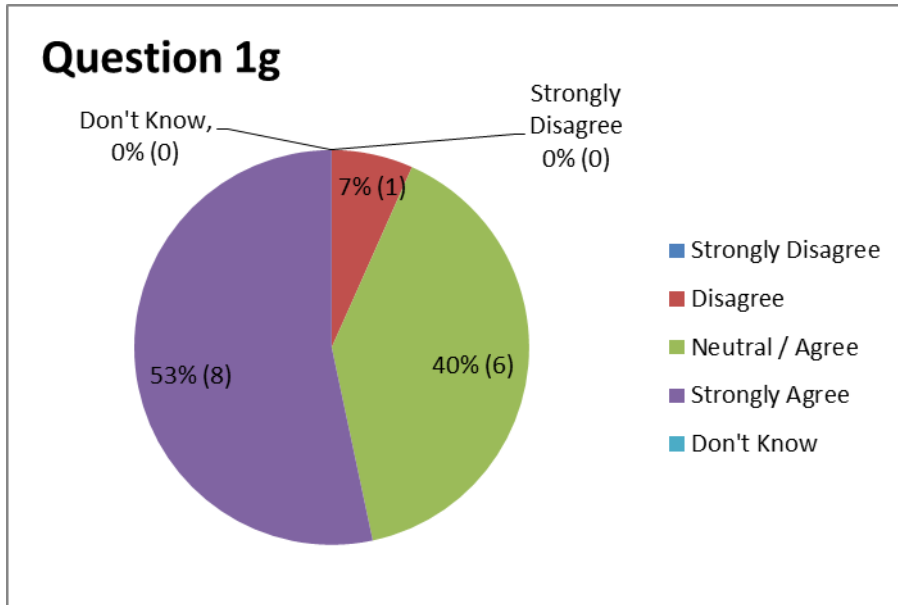


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- I can't answer for the others, but I think I do.

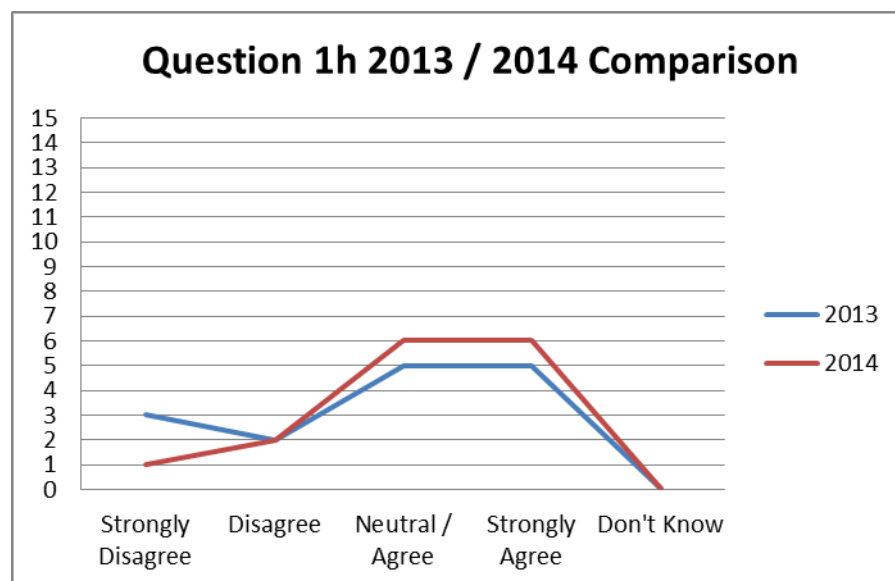
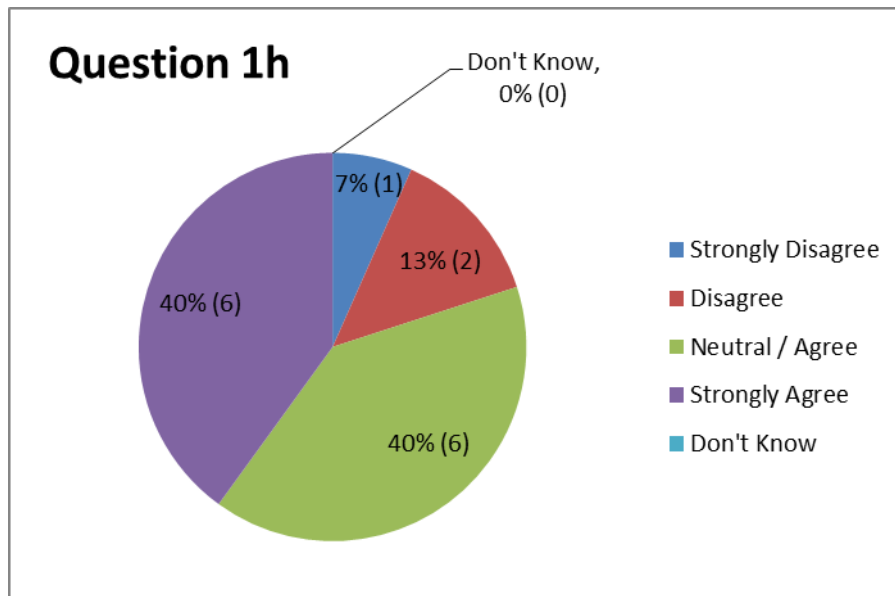
g. The Board understands the distinction between the roles of the Board and the staff of ARB.



Comments:

- Would be helpful to clarify this for members. Not sure everyone understands this.
- Usually, yes, but there are moments when individuals may seem tempted to go beyond a non-executive role.

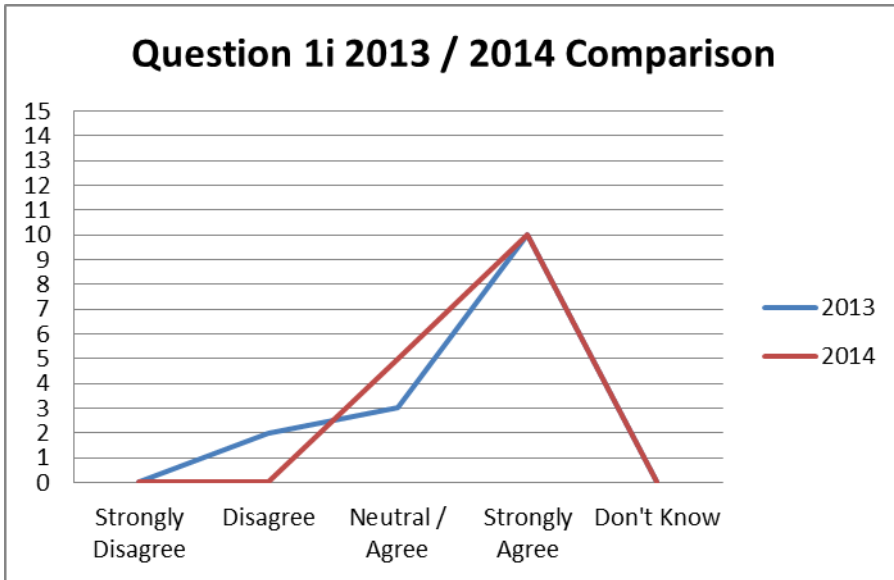
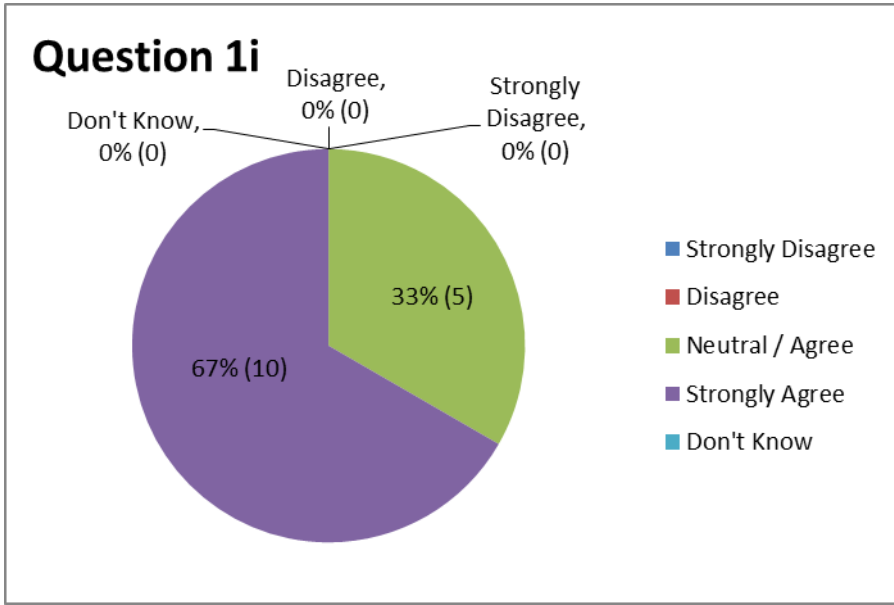
h. The Board devotes quality time to reviewing the implementation of the Purpose and Objectives.



Comments:

- Time is always constrained and stretched but that is unavoidable.

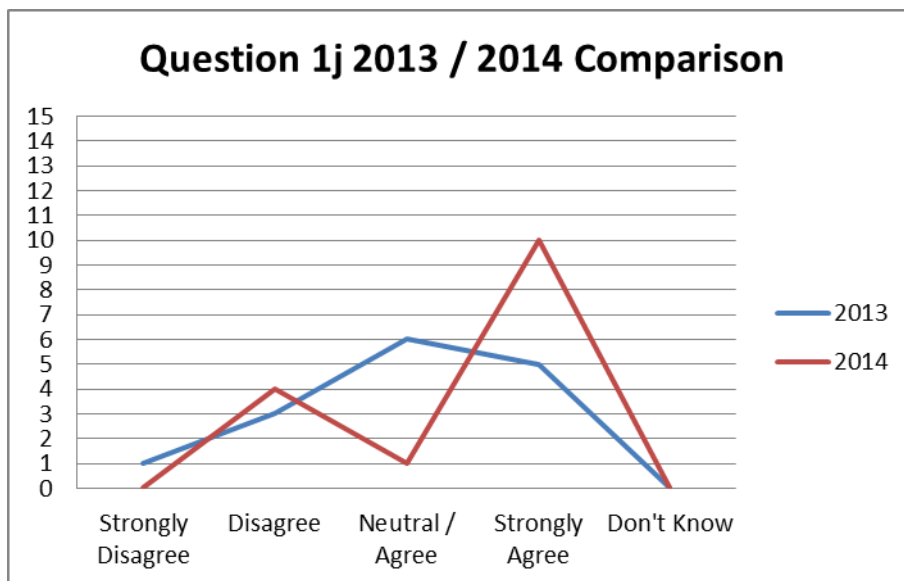
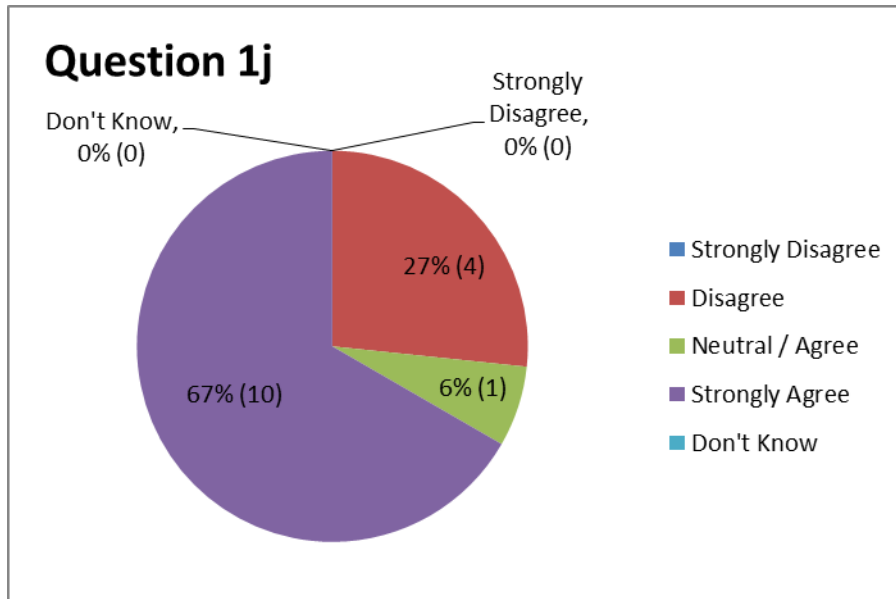
i. The roles of Board members and the Chair and Vice Chair are sufficiently clear in the Handbook.



Comments:

- Maybe more useful in the future to clarify this.

- j. The Board understands its responsibility to the public sector equality duty under the Equality Act 2010, and weighs this carefully in its decision making.

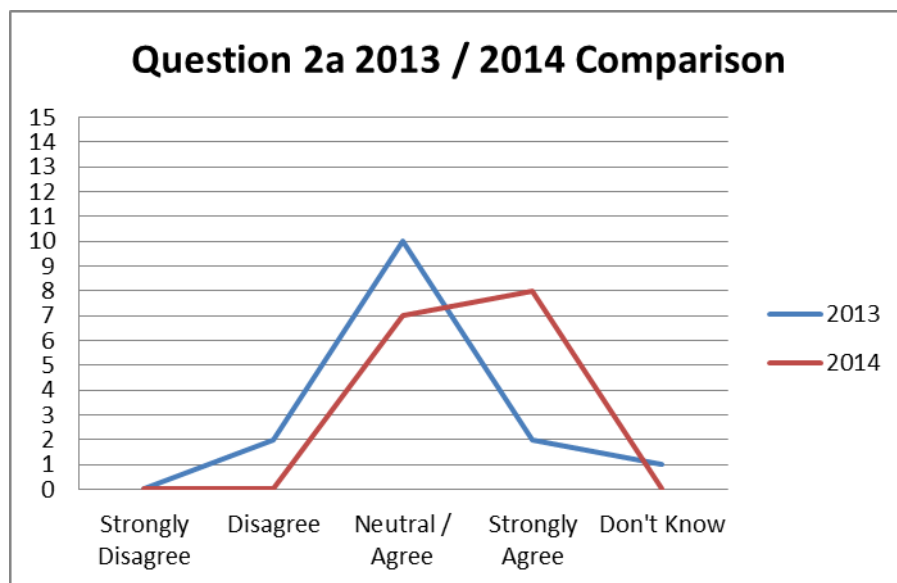
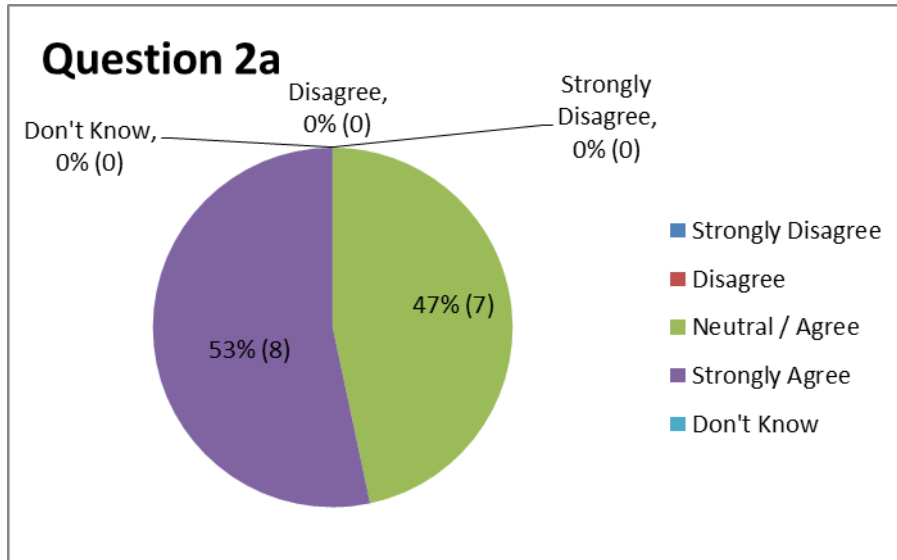


Comments:

- The understanding is still quite basic and it is not always given due weight. Board papers seldom identify equality issues in detail, although there is a heading in the papers to invite this.

2. Board Ethos and Approach

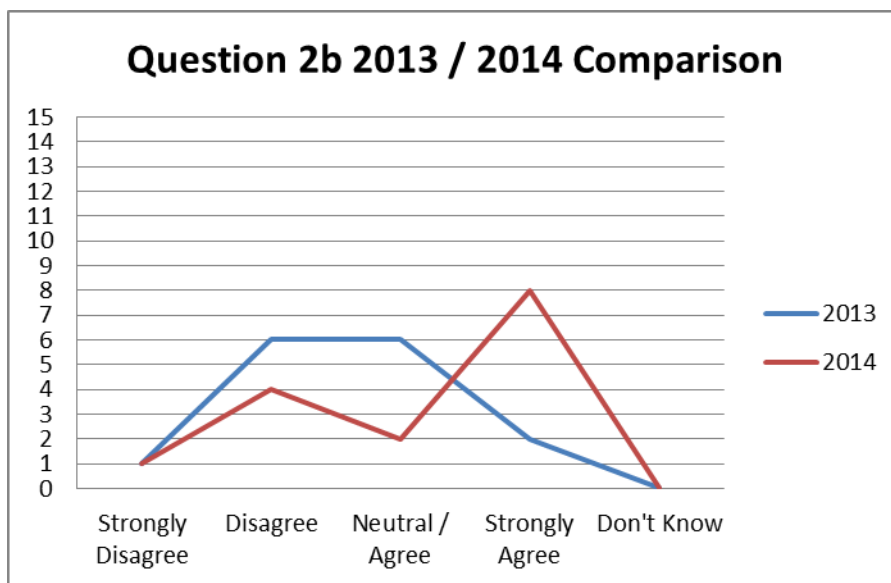
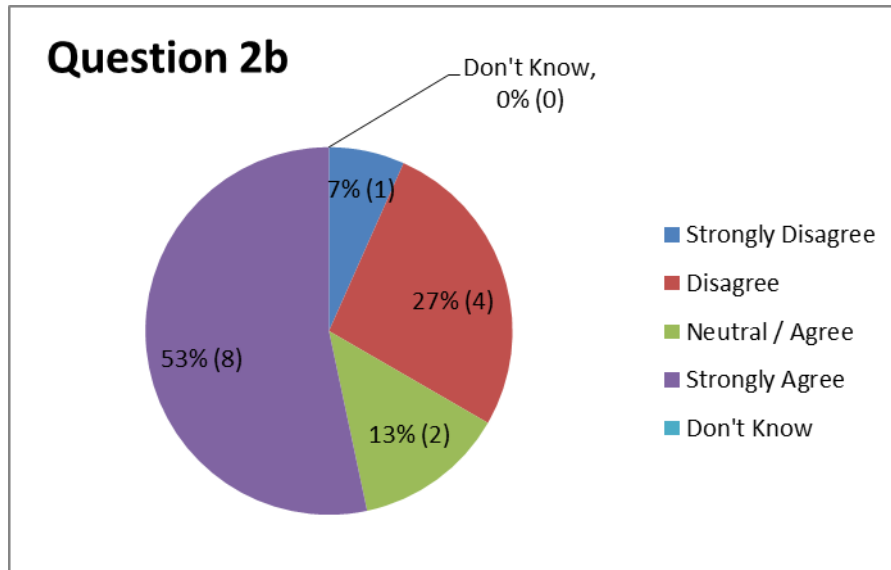
- a. Board members demonstrate compliance with the Board Members Code and the Principles of Public Life.



Comments:

- Much better this year. This is subject to review in 2015 Feb.
- The conflict of interest compliance is an example of overall compliance to the Code of Principles.

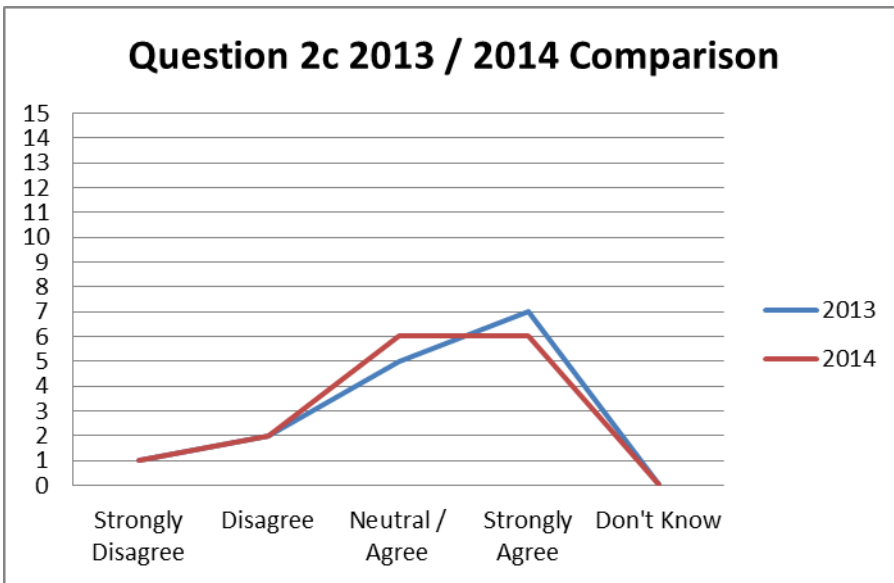
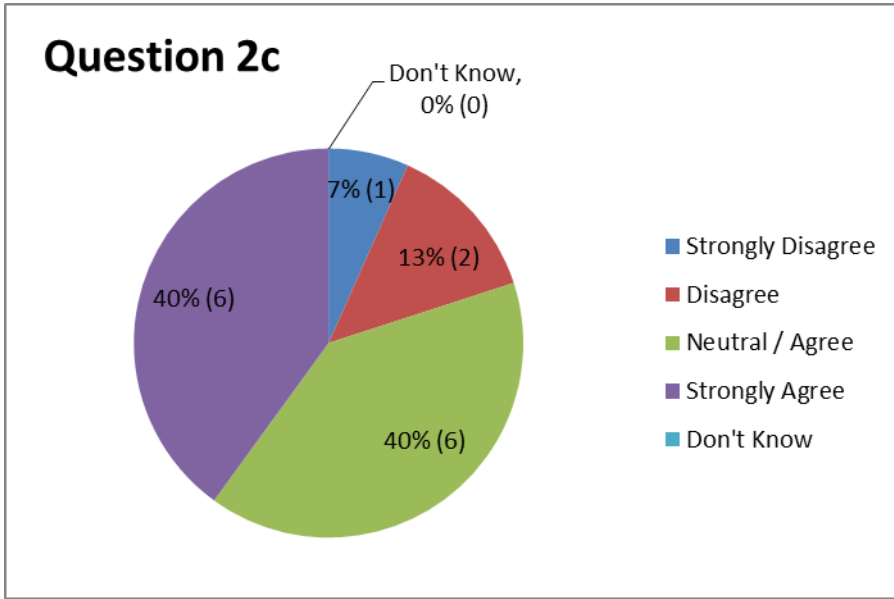
b. The Board he Board reflects ARB’s values, Proportionality, Objectivity, Openness, Transparency, Integrity and Consistency in its work.



Comments:

- There are areas where the Board has taken decisions which are inconsistent with its stated values. The change in the ARB’s processes which excludes some individuals from the prescribed part 1 exam (approved by the Board in 2012) is a notably example of such decisions.
- Too much is still in the confidential session.
- I am not sure that we are always proportionate – especially in relation to conflicts of interest – I think we are sometimes over-zealous and risk damaging quality of decision making.

c. The Board understands the need to constructively challenge.

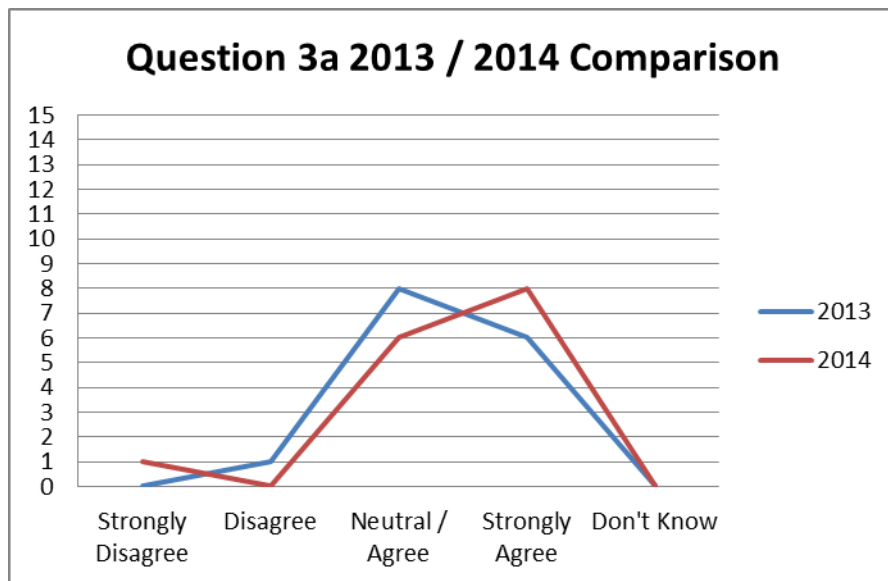
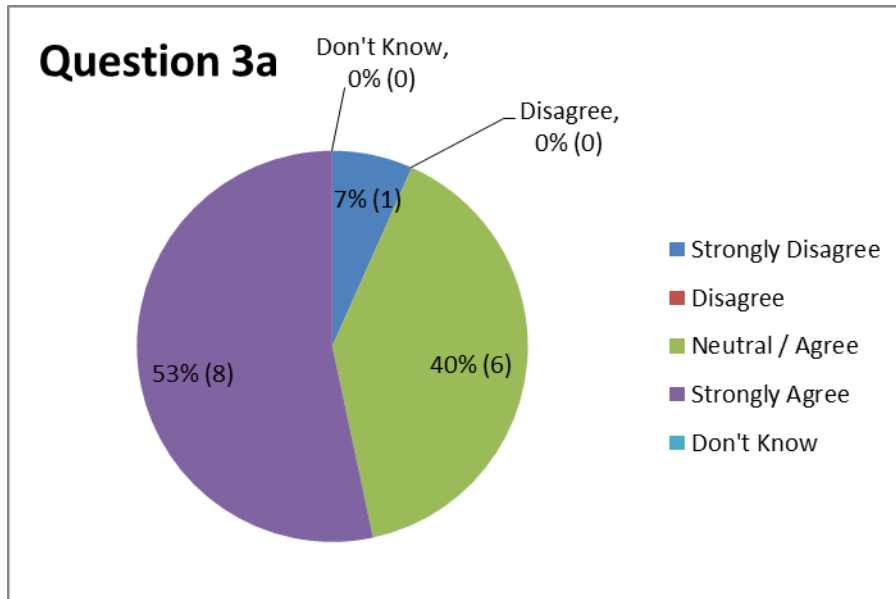


Comments:

There were no additional comments to this question.

3. Risk Management

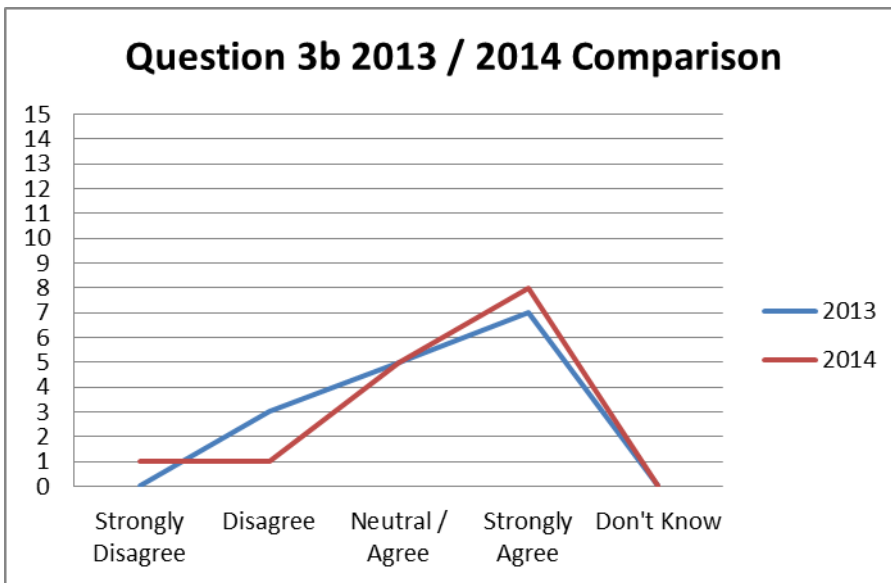
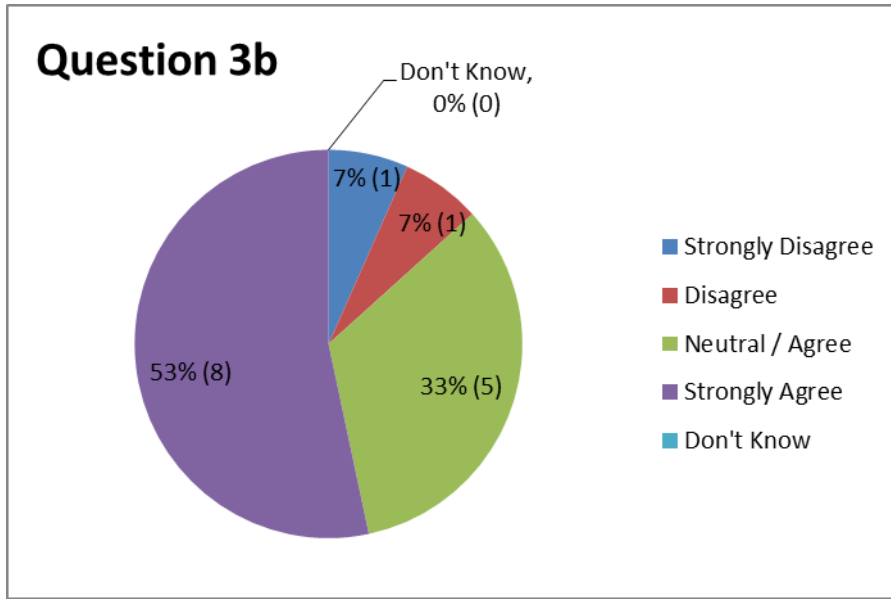
a. The Board devotes sufficient time to determining the risk strategy of the ARB.



Comments:

- This is well done in Audit Committee and the Board is involved too.
- Disproportional view of risk.

b. The Board scrutinises risk and gains sufficient assurance that risk is appropriately managed before reaching and implementing decisions.

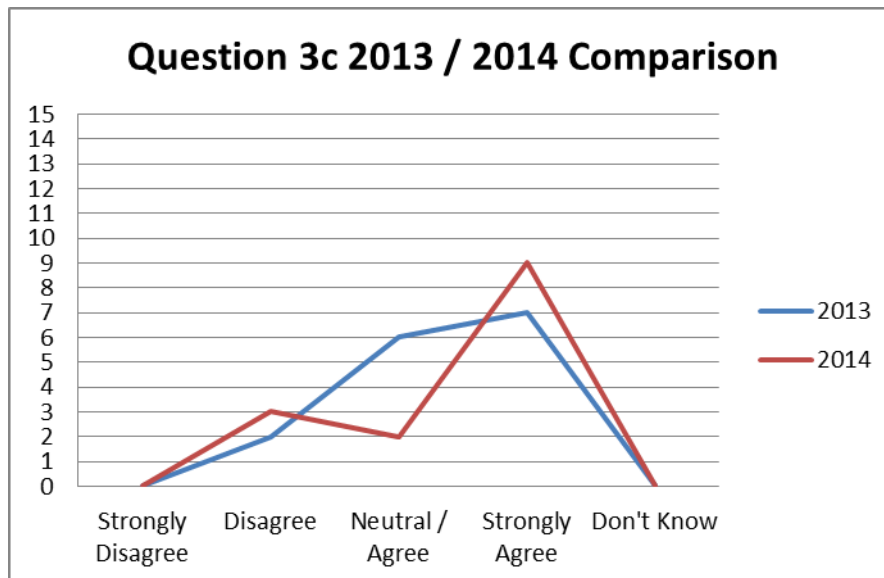
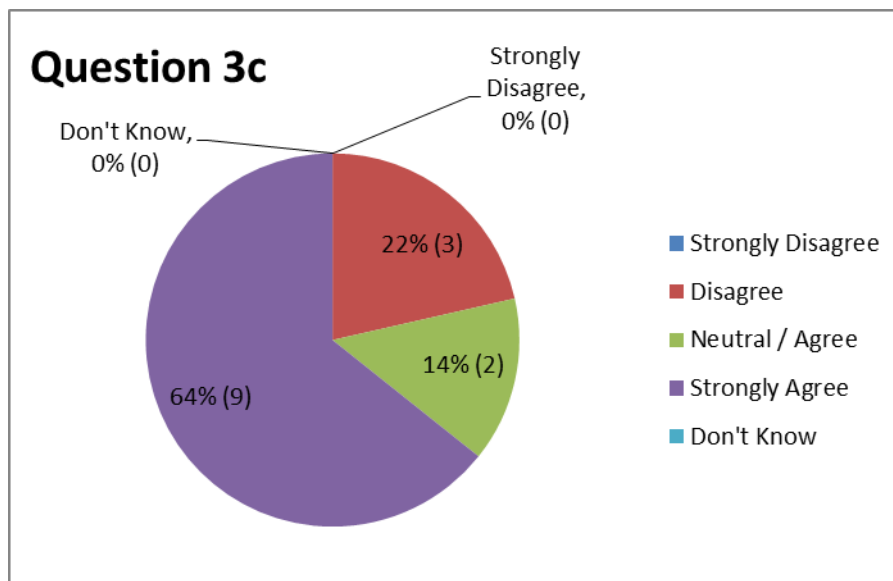


Comments:

- Although presented to the Board, the challenge and scrutiny comes from a few Board members.
- This is well managed by the Audit Committee.

c. The Board considers risk appetite in taking decisions.

***one Board member did not answer this question**

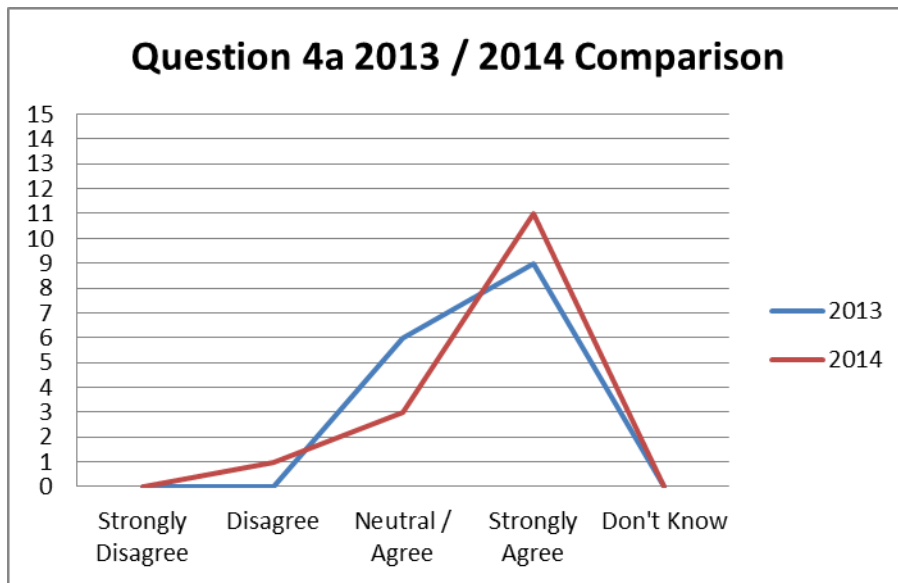
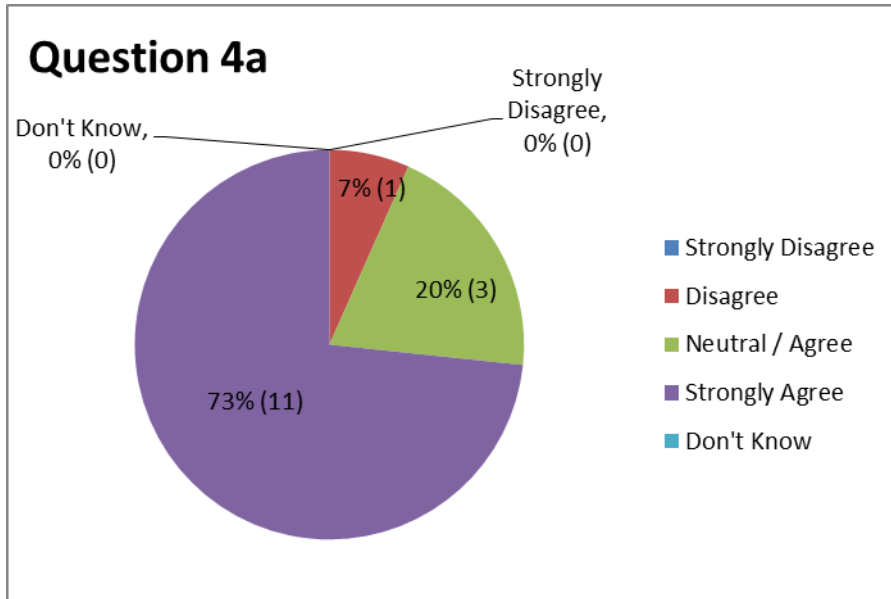


Comments:

- We do not do this. Perhaps refer to this in the reports so it is not overlooked?
- ... But is not afraid of taking difficult decisions.
- Relies on the Audit Committee.
- I don't think we often think about this.

4. Performance Management

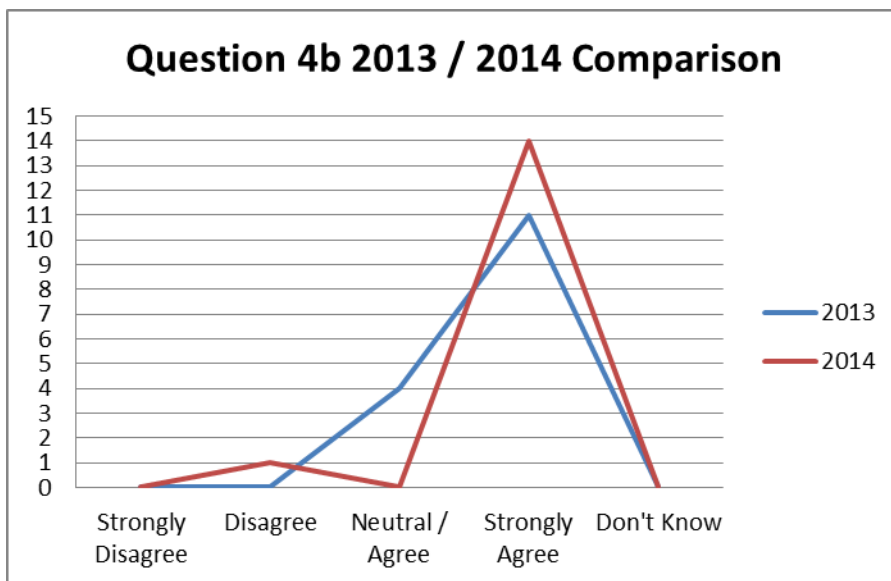
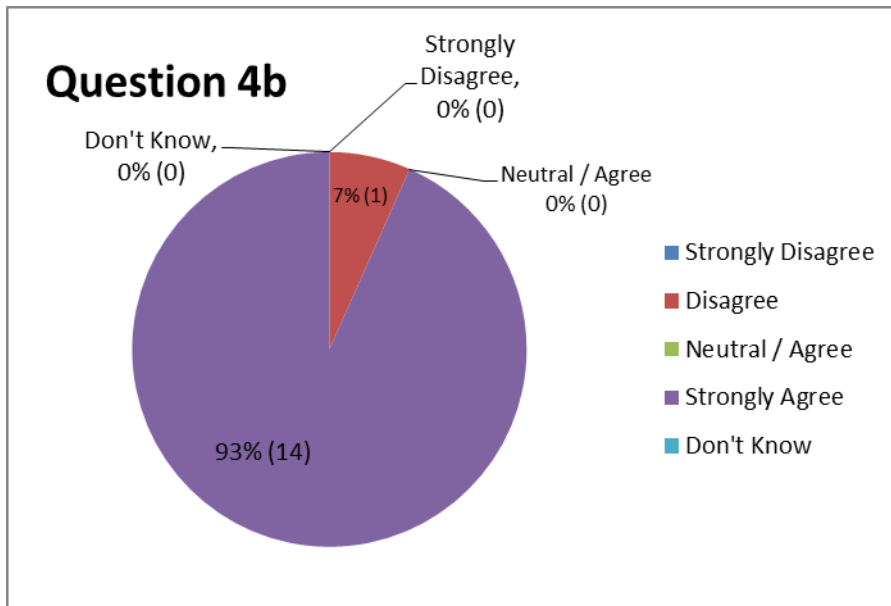
- a. The Board is fully informed on the performance and delivery of ARB’s statutory obligations through regular, high quality information.



Comments:

- This is well documented by the Executive – see the document considered at the Audit Committee.

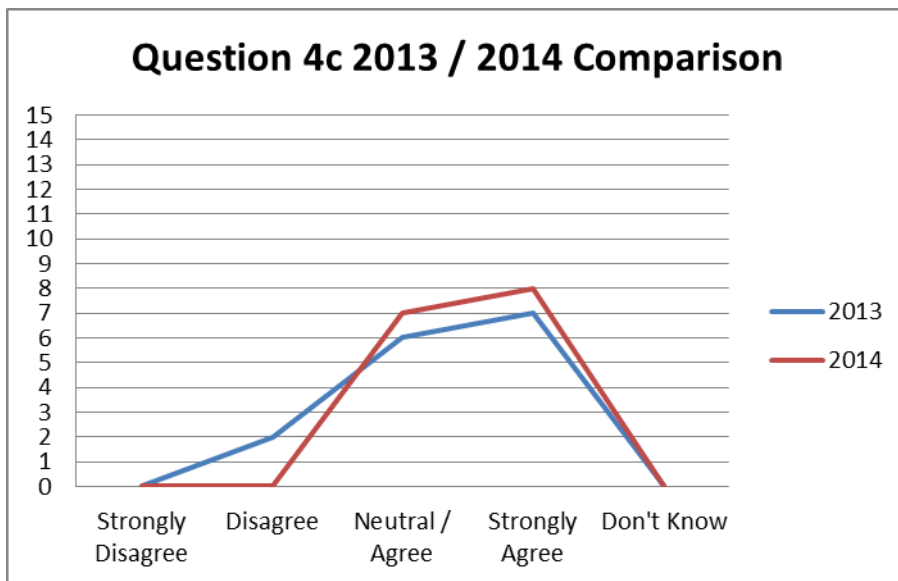
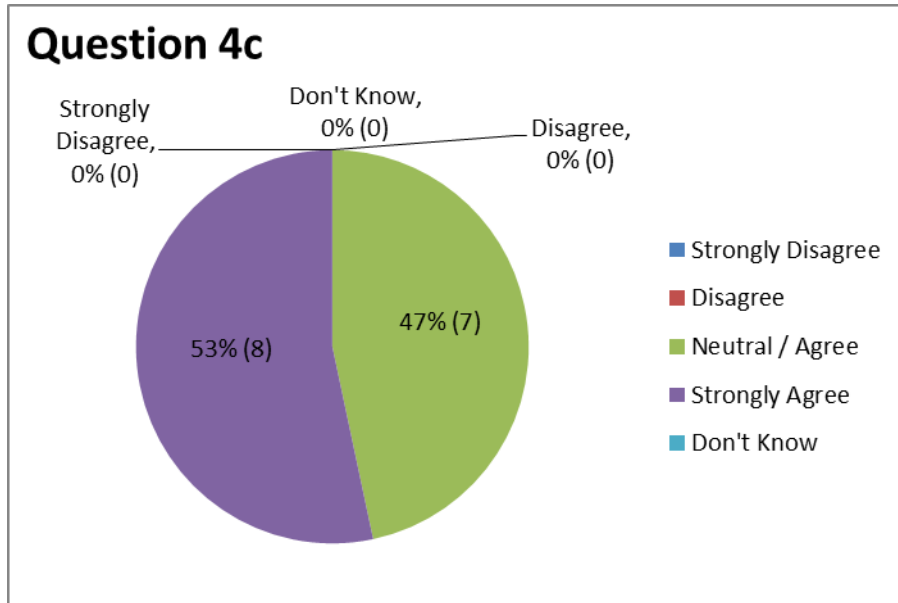
b. The Board receives sufficient and timely reports on financial management.



Comments:

- Yes- very good info.
- We are well briefed on this and helpfully in language that lay people can understand. The financial controller is always willing to explain.

c. The Board receives early warning of problems which may impact on the delivery of ARB’s Business Plan and statutory duties.

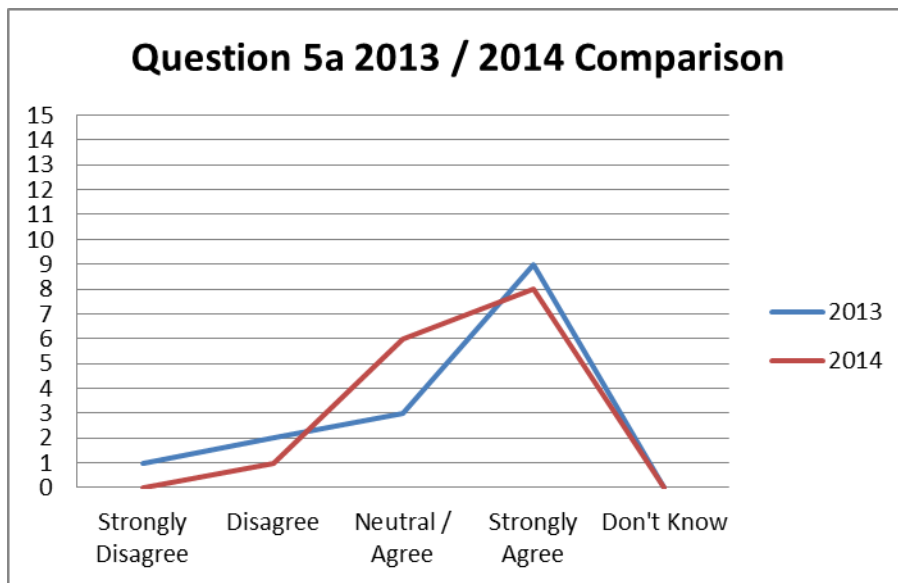
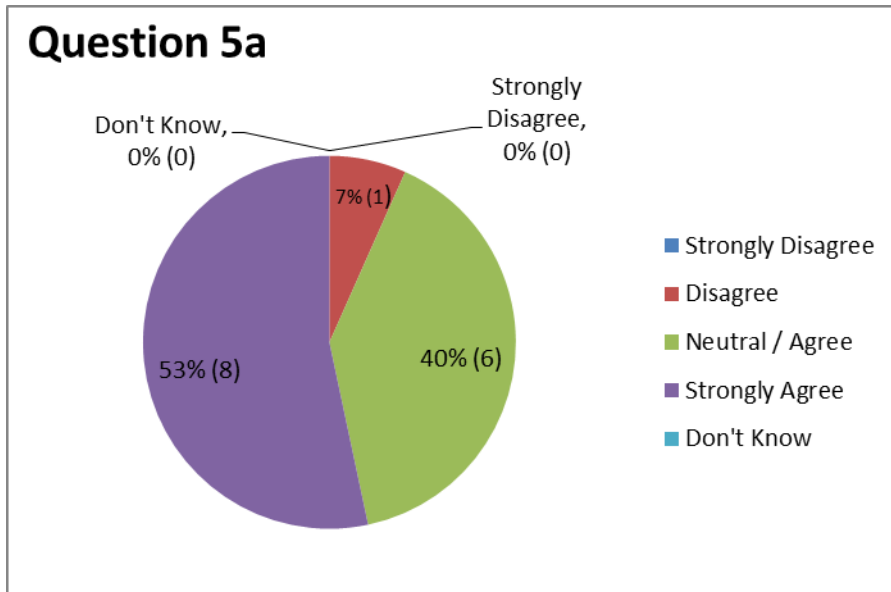


Comments:

- Where there is early warning!

5. Board Effectiveness

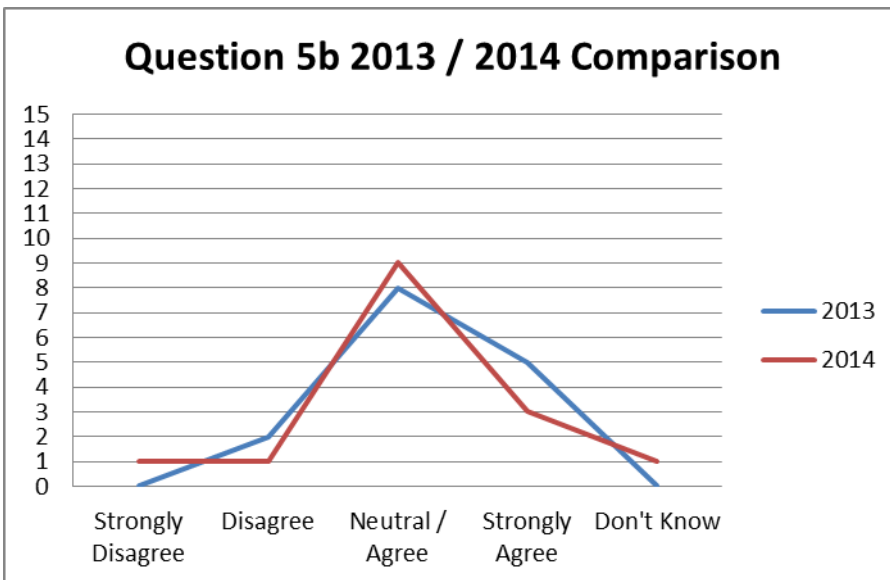
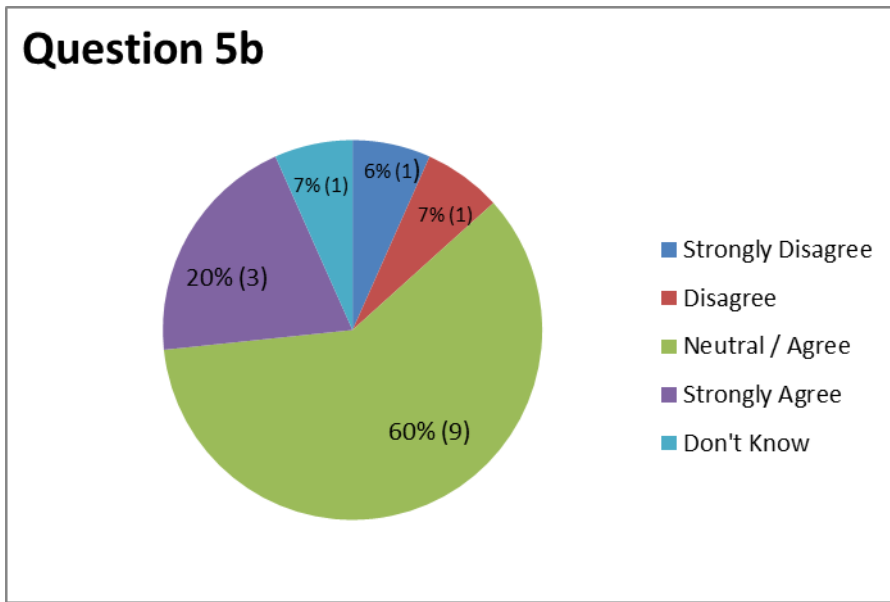
a. The work of the Board is transparent and open to public scrutiny.



Comments:

- Yes but the work is privileged and not open to freedom of information where the correspondence shows challenges to the education provider and is discussed in closed sessions.
- Not really. Too much is confidential.
- In theory, yes, but more could be done to make the Board’s work known and accessible e.g. through improved website design.

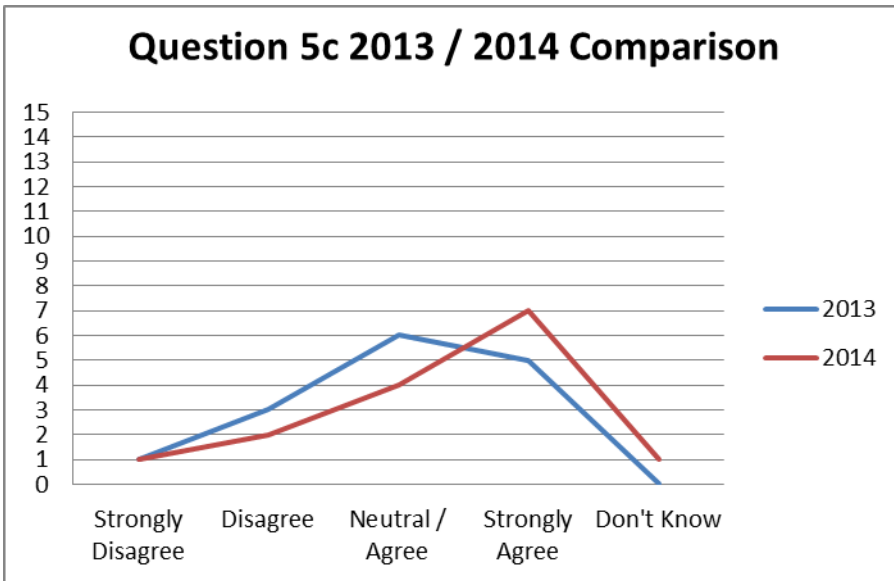
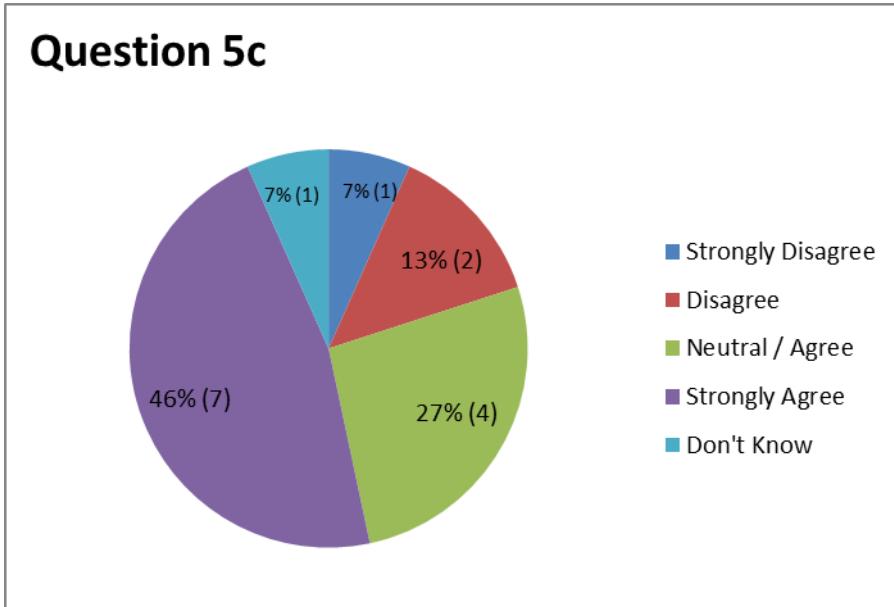
b. Conflicts of interest and potential conflicts of interest are declared and managed properly.



Comments:

- It is always going to be tricky to manage all conflicts.
- Area for further development.
- I think this is OK but do not know if people are not declaring. In any case, there seems to be a greater understanding of the importance of this than there was.
- See above (this relates to the highlighted comment under question 3c).

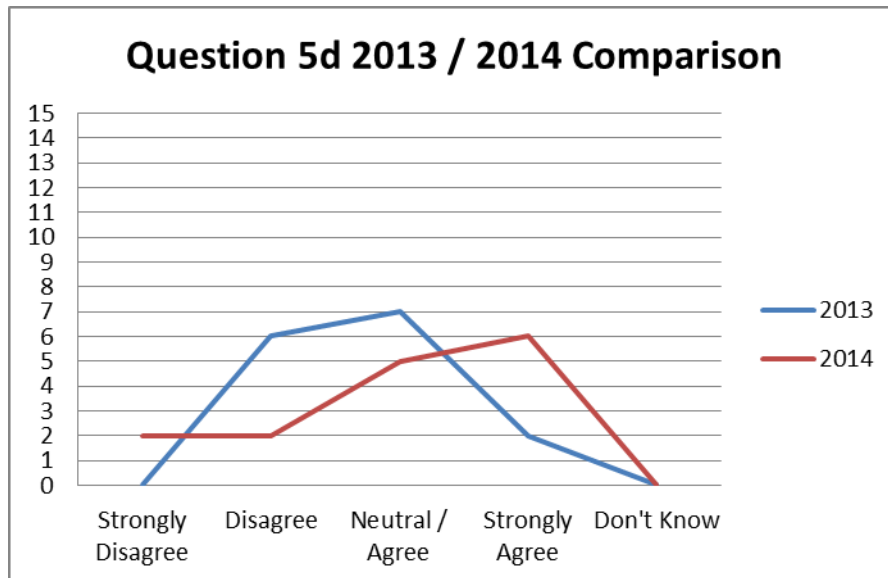
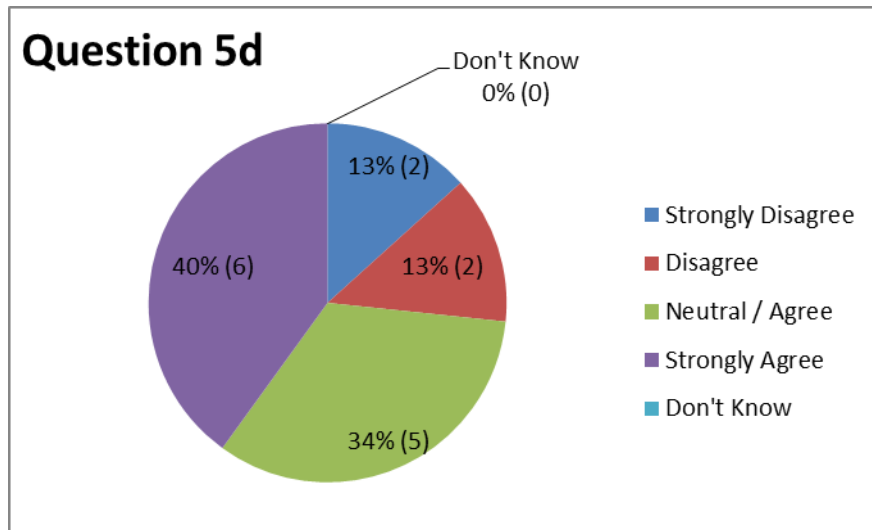
c. The Board focuses its discussions on the future rather than the past.



Comments:

- On the present and past.
- The Board has done more of this in 2014.
- Sometimes. Don't really understand the question. And as the saying goes, those who forget the past are destined to repeat it.

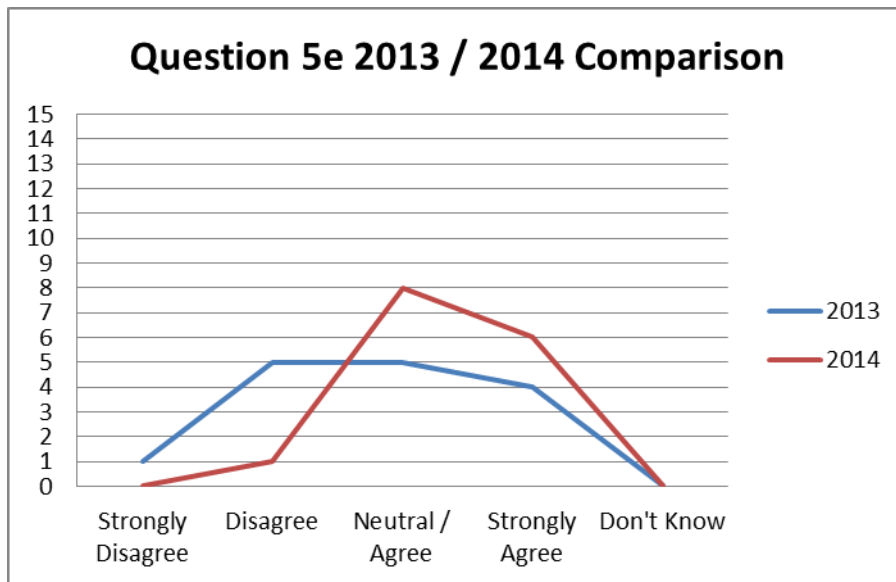
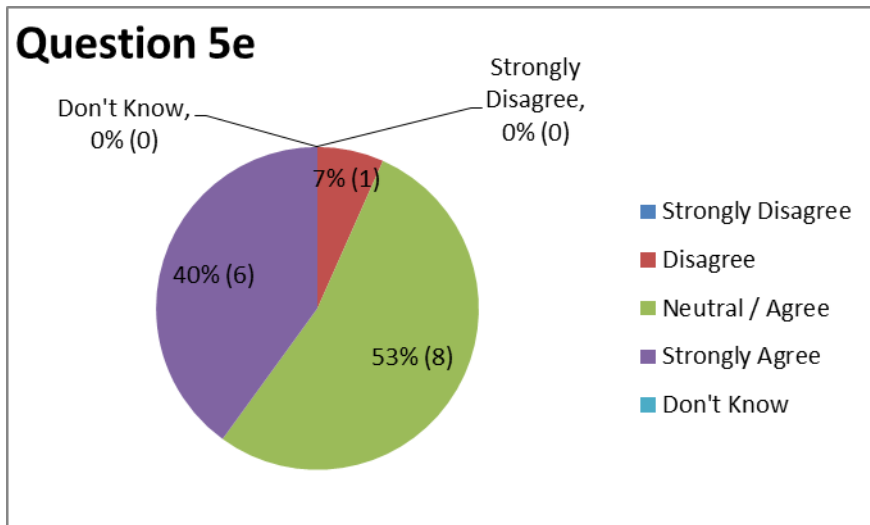
d. The Board deals comprehensively with difficult issues.



Comments:

- As far as it is able to.
- The Board has failed to deal with the difficult issues in the area of the regulation of architectural education. The opportunity for it to address these issues through an internal review may now have been lost, with the Periodic Review potentially making significant recommendations for reform in this area.
- Improved a huge amount.
- Not really. Too much is skated around.
- The triennial review has slowed down our capacity to deal comprehensively with some issues e.g. routes to registration.

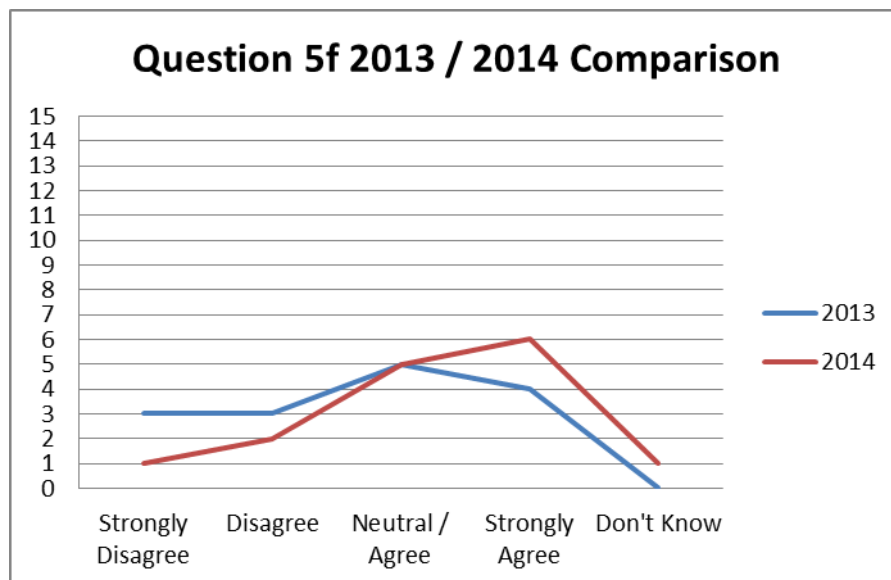
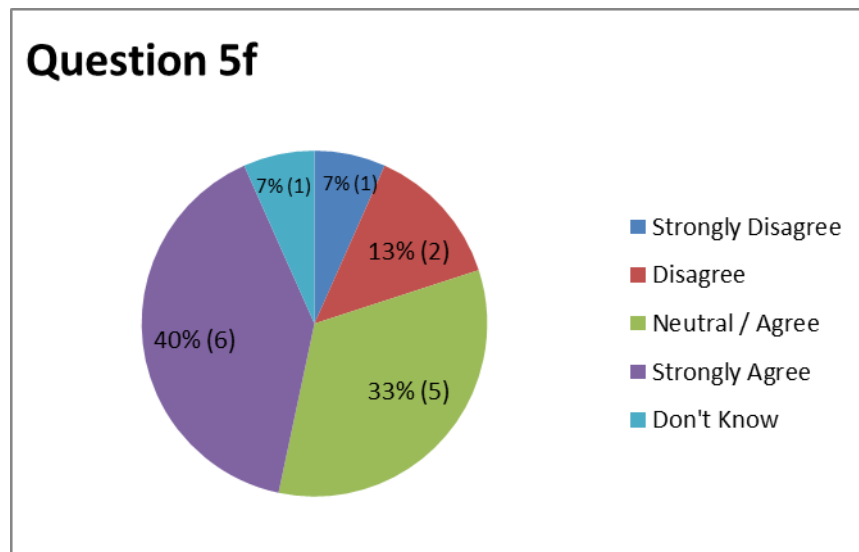
e. The Board demonstrates collaborative leadership rather than the interests of particular groups.



Comments:

- Not all the time.
- Although less evident in recent meetings, probably due to the Periodic Review, I do think this remains an issue.
- Getting better.

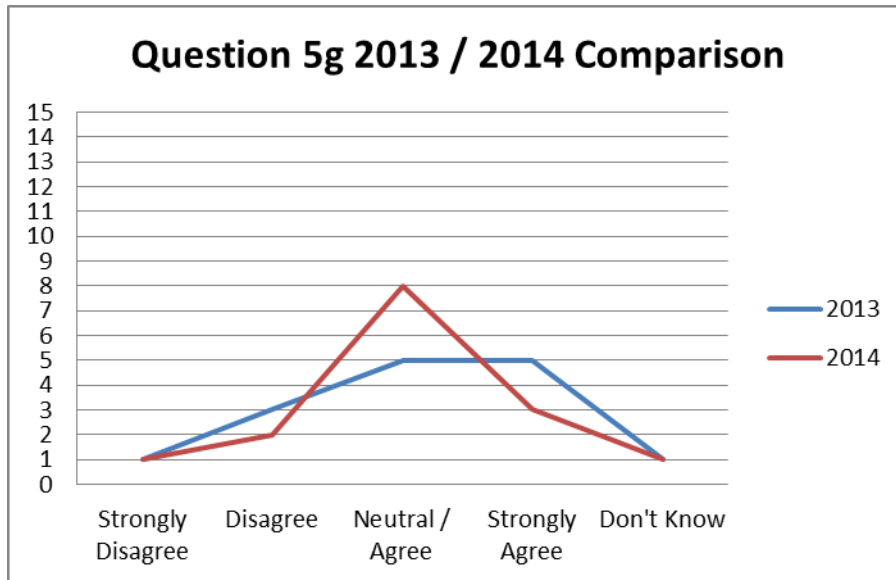
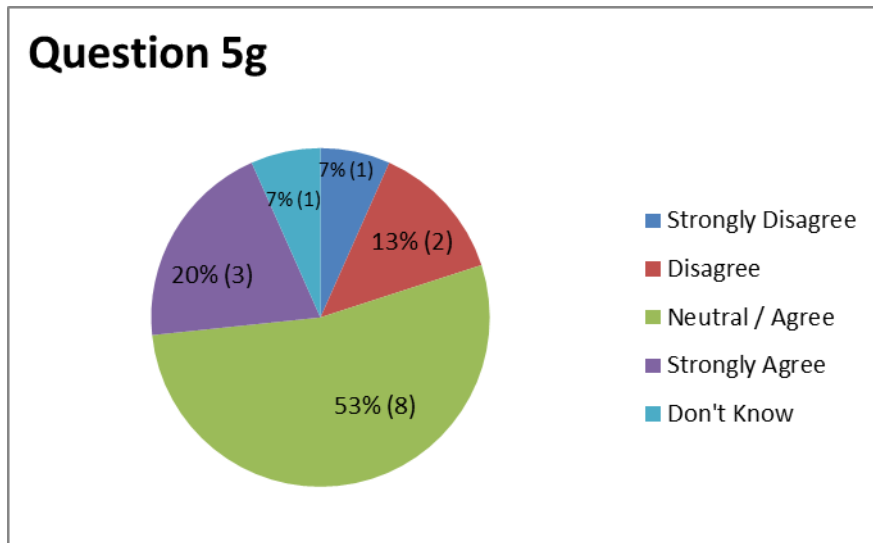
f. The Board understands the issues which are on the horizon for ARB over the next three years.



Comments:

- As much as anyone can.
- As much as anyone does...
- Greatly improved this year and greatly helped by the very good comms report – keep it up please!
- The focus has, understandably, been on the periodic review and we have done business planning.
- Not until the review is finished we don't.

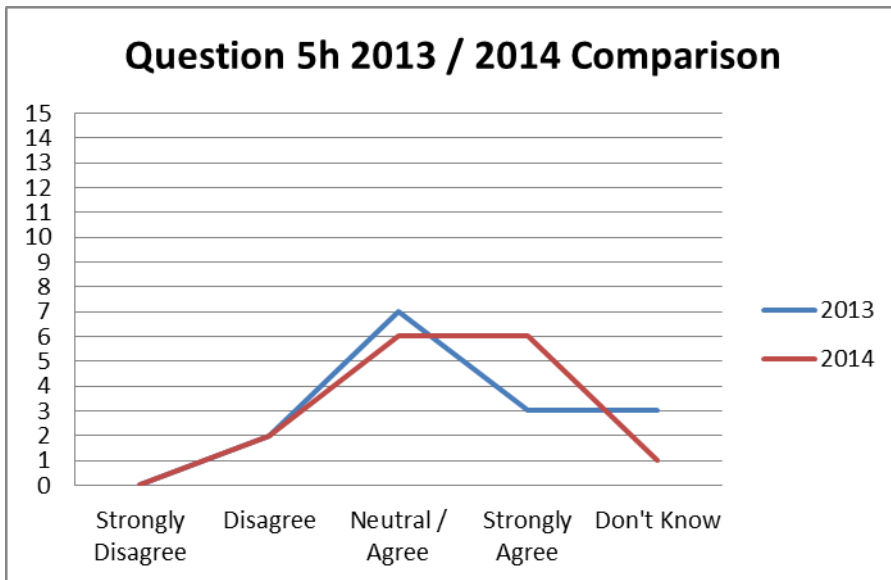
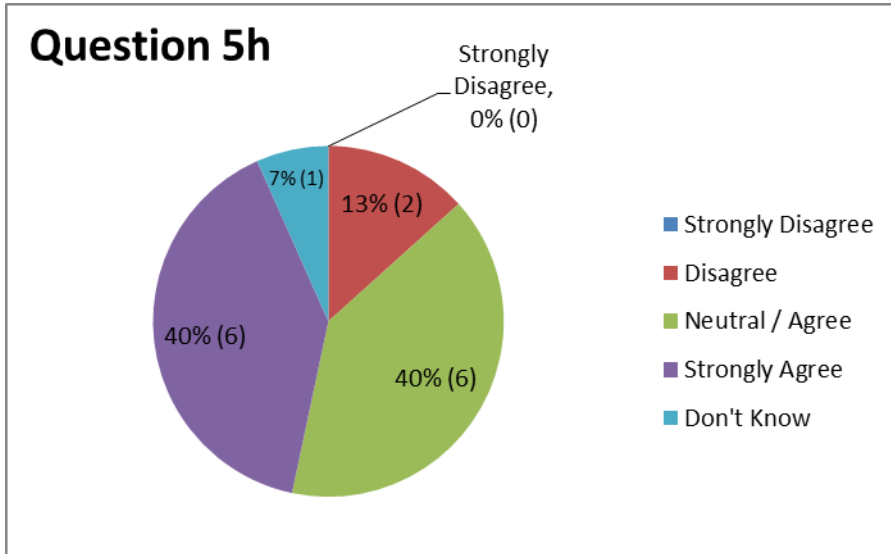
g. The Board evaluates the effectiveness of its decisions.



Comments:

- Not sure we do this.
- Not sure.
- Not sure that we do this systematically – though it happens on some things.

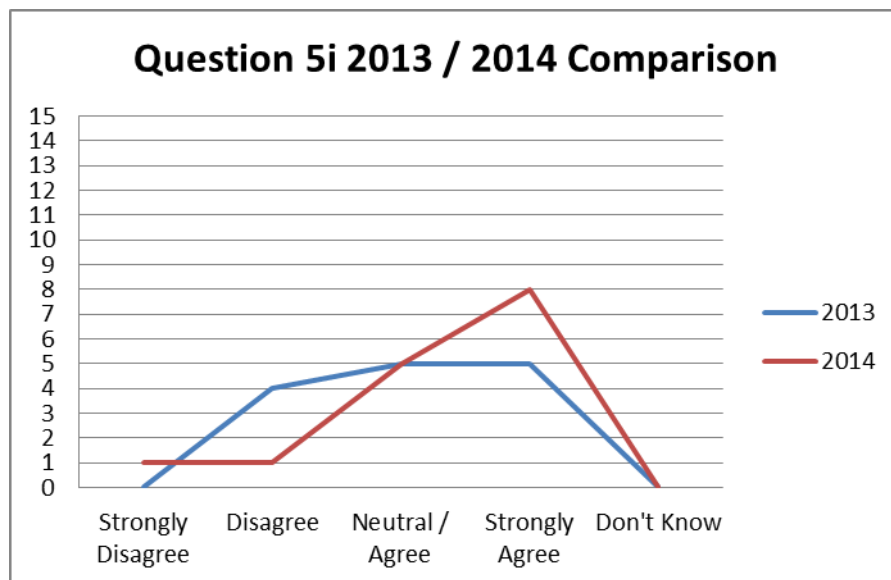
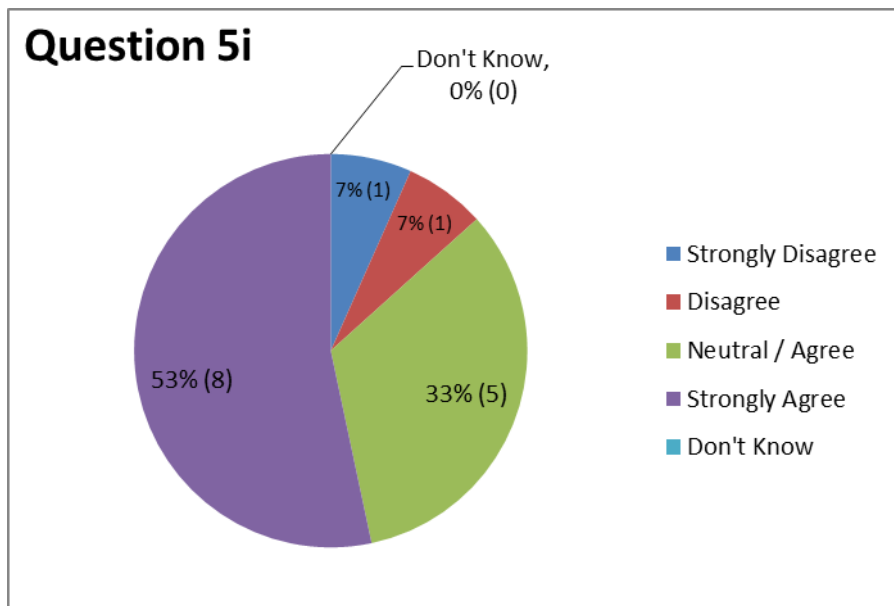
h. The Board is aware of and takes account of the Scheme of Decision making.



Comments:

- Again, yes in theory, but I don't know if we are always sure we are applying it.

i. The Board allows sufficient time to discharge its collective responsibilities.

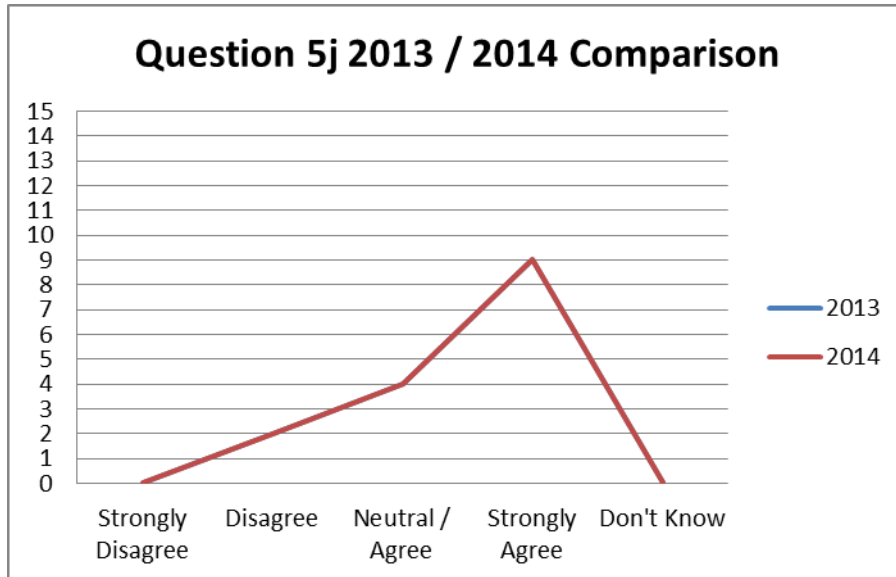
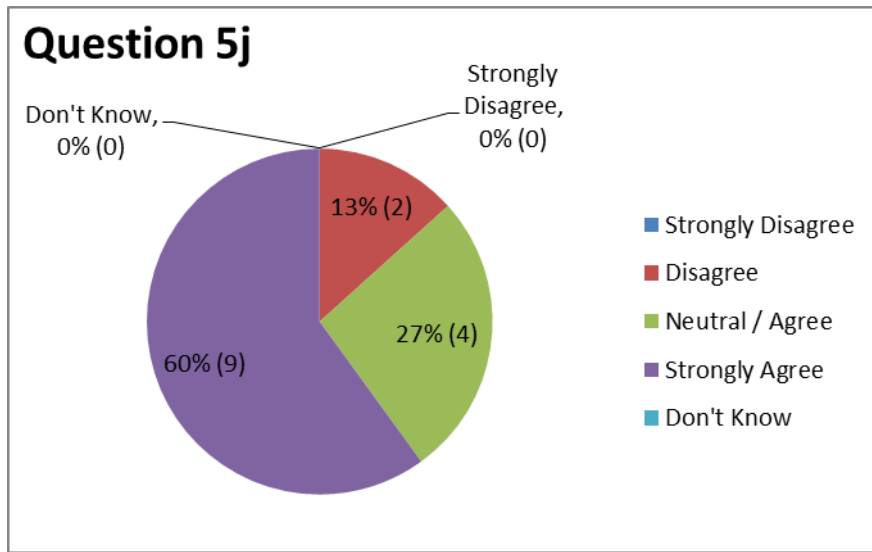


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- Timing has become tighter this year without any deterioration of the quality of discussion.
- As long as everyone reads their papers before the meetings. This is improving.

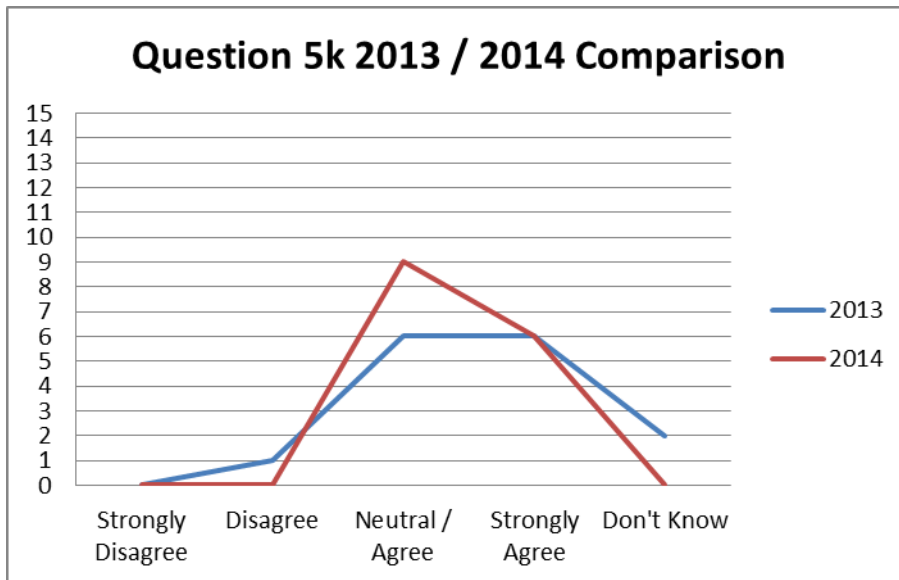
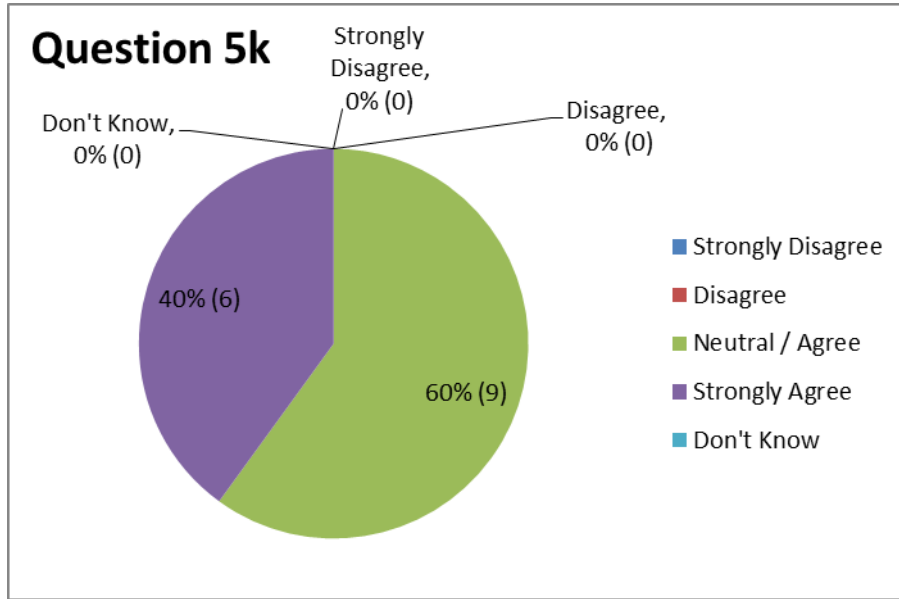
j. Board members are given equal opportunity to contribute to discussions on agenda items.



Comments:

- Time constraints can make this difficult and the Board is far too big to really discuss things in detail.
- The chair is very fair to all members and gives everyone a chance to contribute.

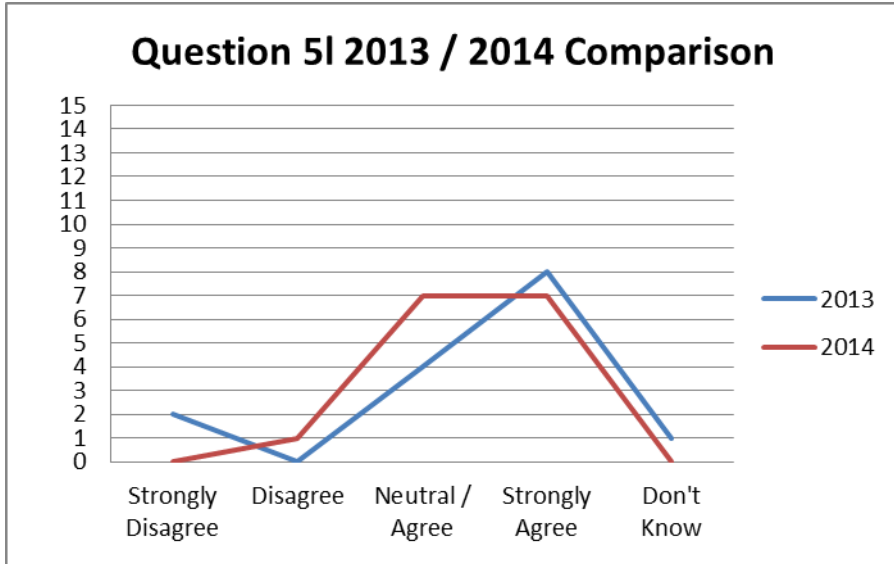
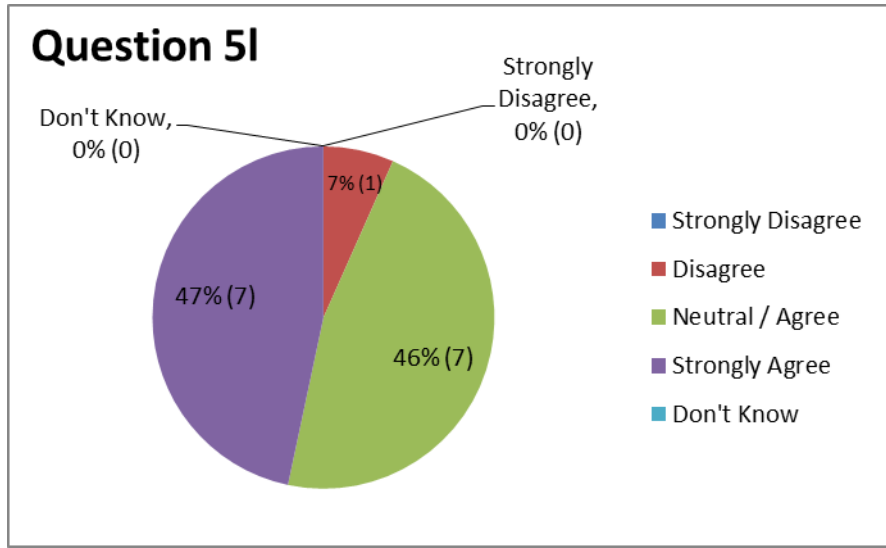
k. The Board receives appropriate advice on legal matters.



Comments:

- This is ok but more advanced info would be helpful.
- The lawyer is far too cautious and has stifled debate before.
- I believe we have taken a good decision to do this in a slightly different way i.e. by not requiring the Board's solicitor to attend each Board meeting, but we will need to review the effectiveness of this approach.
- I sometime wonder how appropriate some of the advice is – but have no evidence relating to specific situation.

I. The Board receives appropriate advice on issues impacting on regulation.

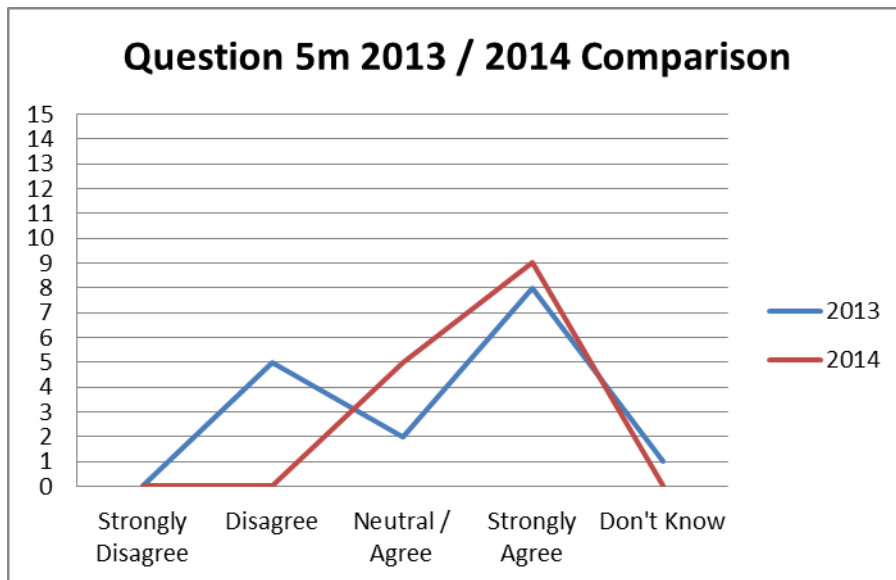
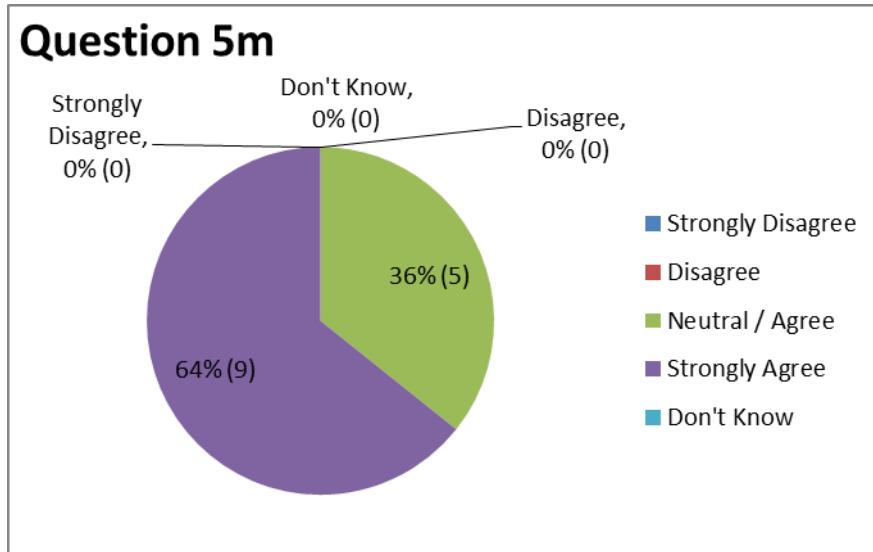


Comments:

There were no additional comments to this question.

m. The Board receives sufficient, timely, good quality information on which to base its decisions.

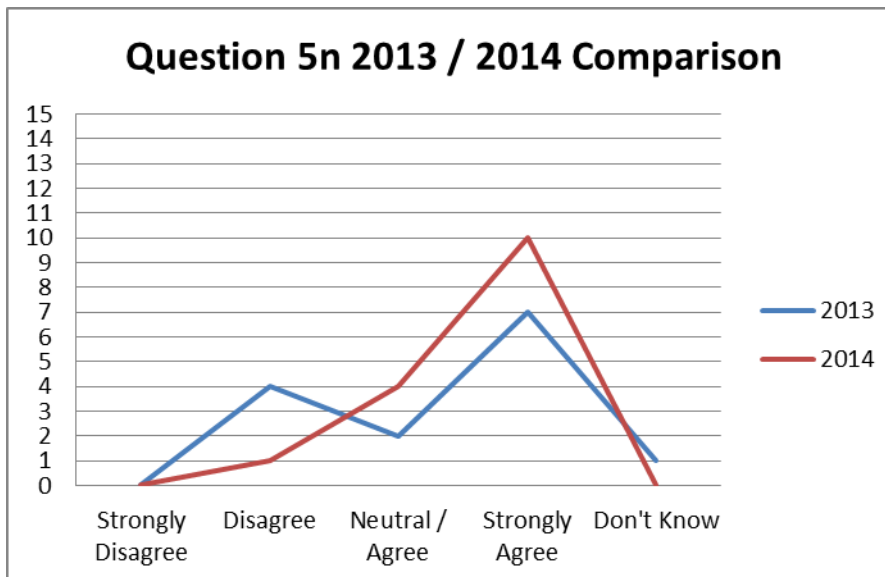
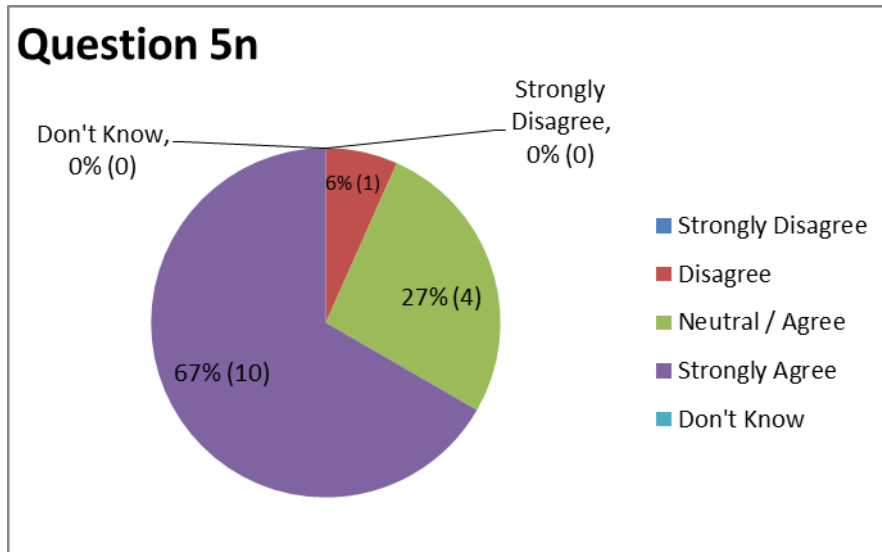
***one Board member did not answer this question**



Comments:

There were no additional comments to this question.

n. Papers prepared by the Executive are clear and contain sufficient good quality information on which to base decisions.

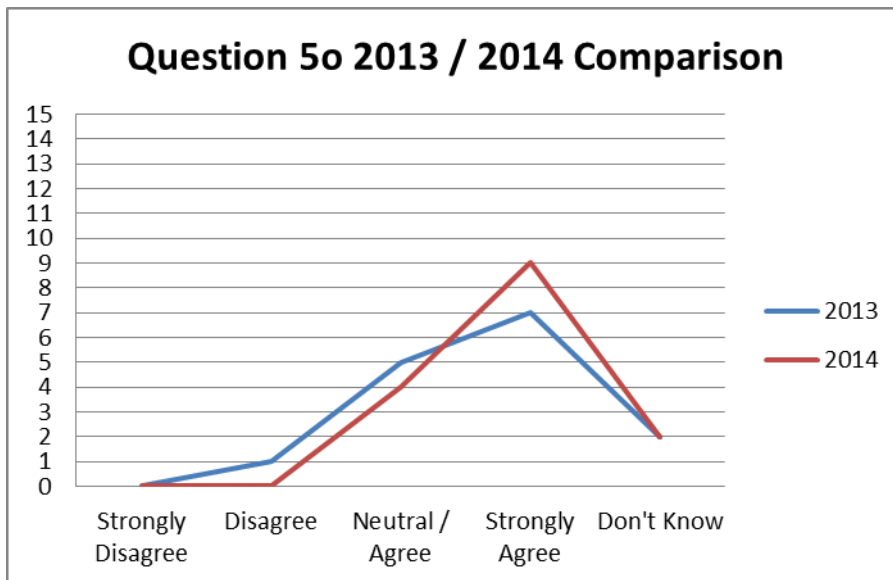
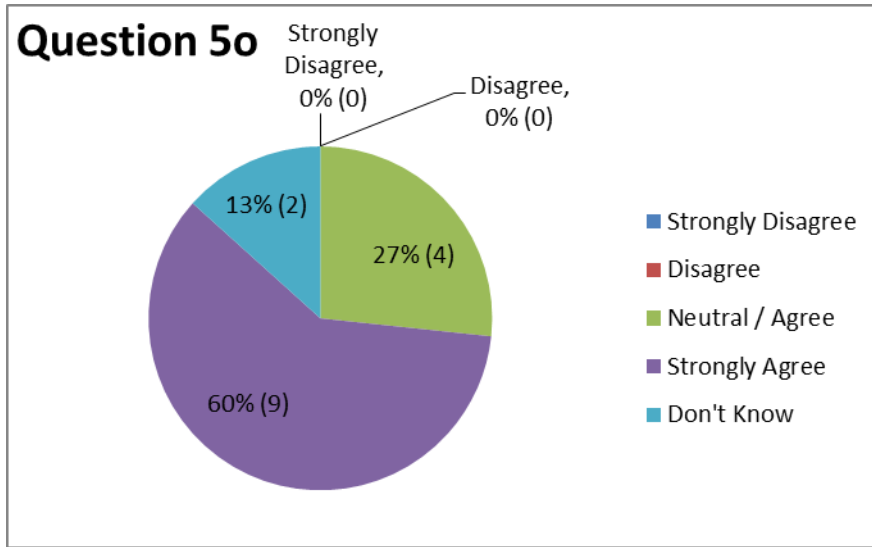


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- Generally very good –well done.
- Alternative recommendations could sometimes be indicated when there are several reasonable possibilities for the Board to explore.

- o. There is sufficient annual evaluation of the Board’s, Board members’ and Committees’ performance.

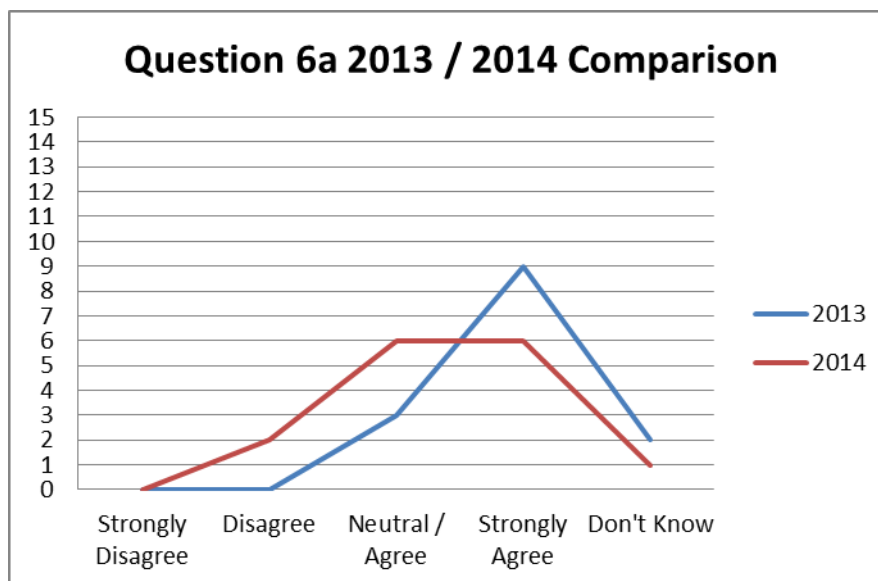
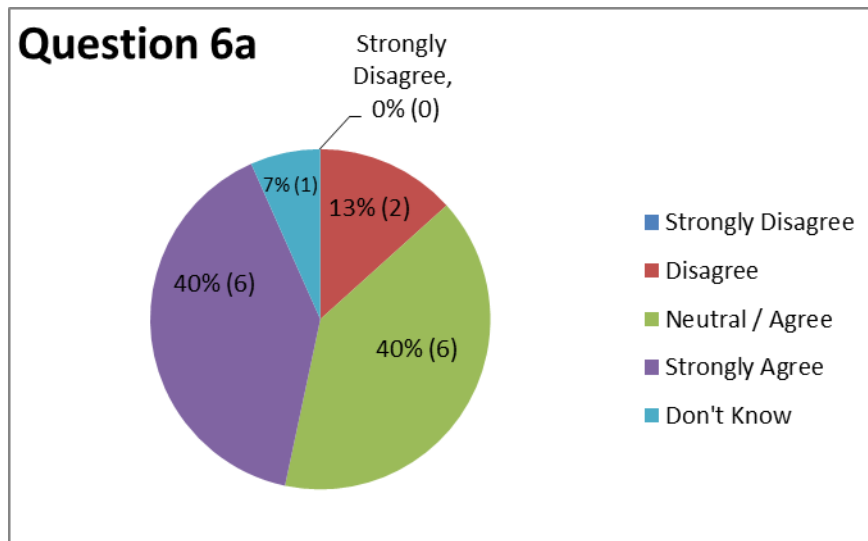


Comments:

- Do we really need to do this? It could be taken care of in the appraisal sessions.
- Certainly enough – perhaps too much.
- Too much – disproportionate checking/ data collection, could be streamlined.

6. Relationships with Stakeholders

- a. ARB has a defined relationship with its sponsoring Government Department, the Department of Communities and Local Government.

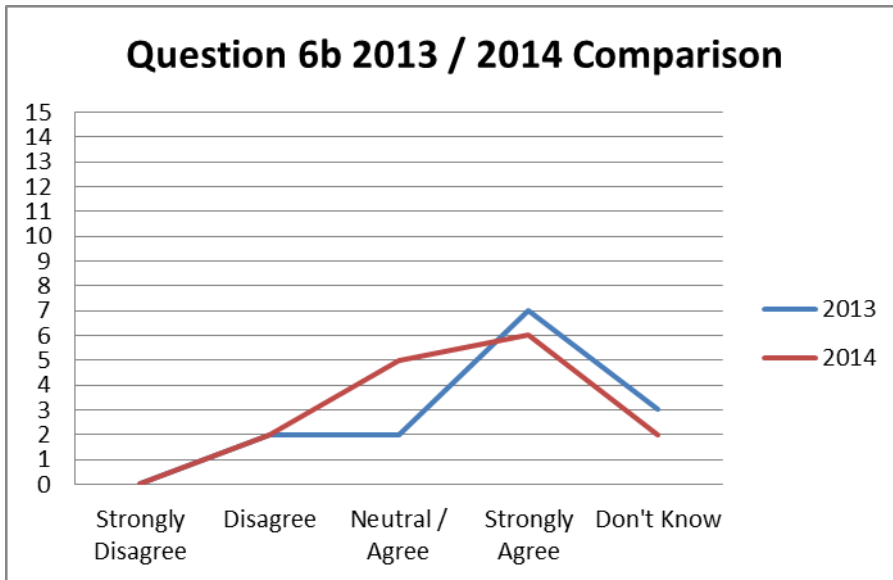
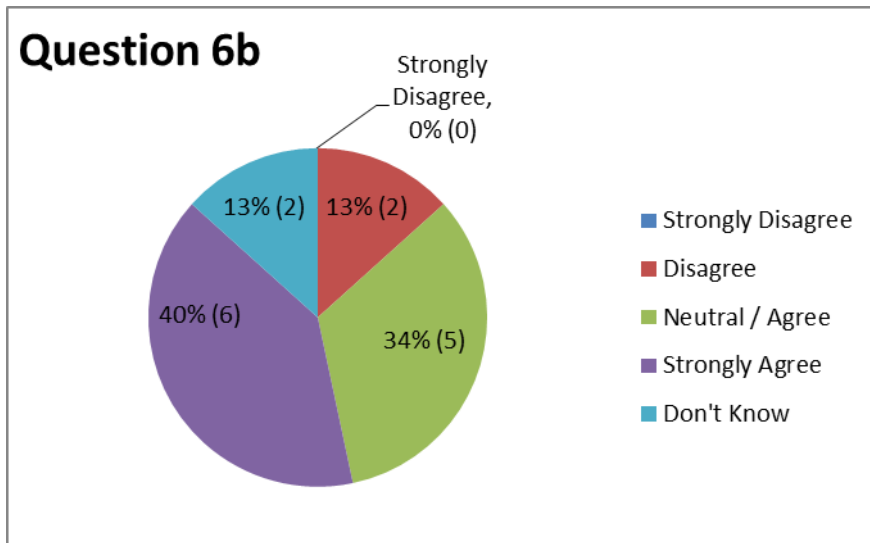


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- This has been evaluated this year which is very helpful.
- **Problems more at the DCLG end rather than our end!**
- it is a statutory body.
- Hmm.... Not sure about this – it seems a little ambiguous to me. We are sometimes told we are an independent body – at other we seem to be treated almost as an agent of government.

b. Relationships with the DCLG are productive and supported by regular communication.

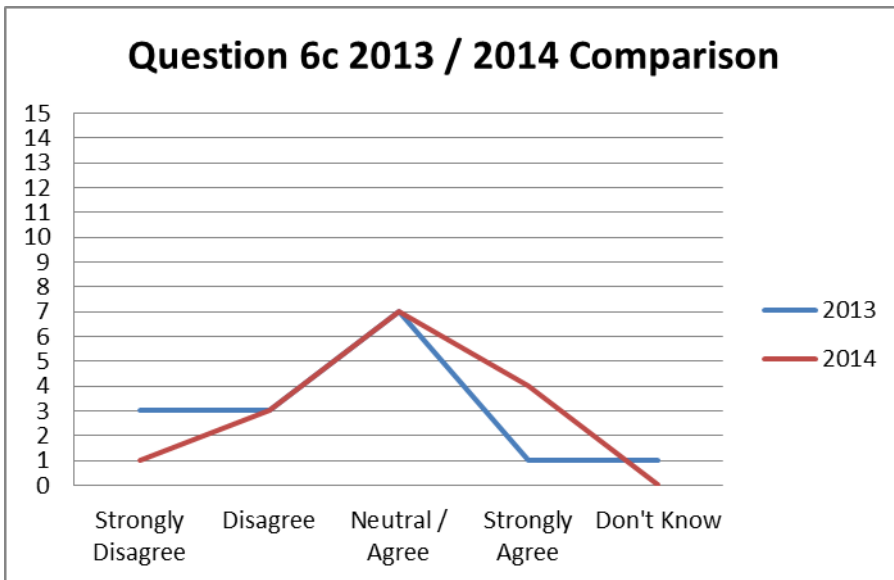
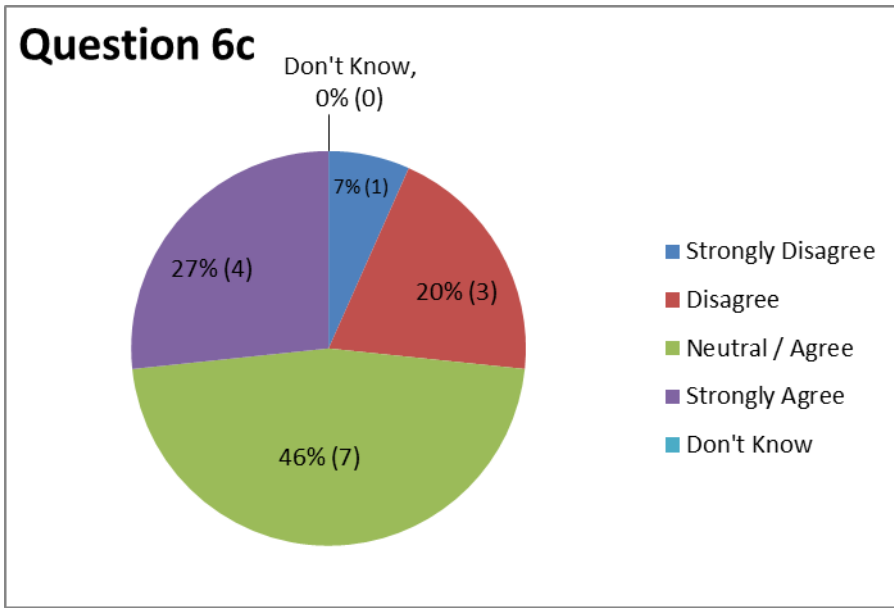


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- See above (this relates to the highlighted comment under question 6a).
- Not at all sure that ARB is seen as being worthy of time investment.
- The Board is less aware of these relationships than the staff are.
- I am not in a good position to judge but ‘productive and supportive’ are not words that immediately spring to mind.

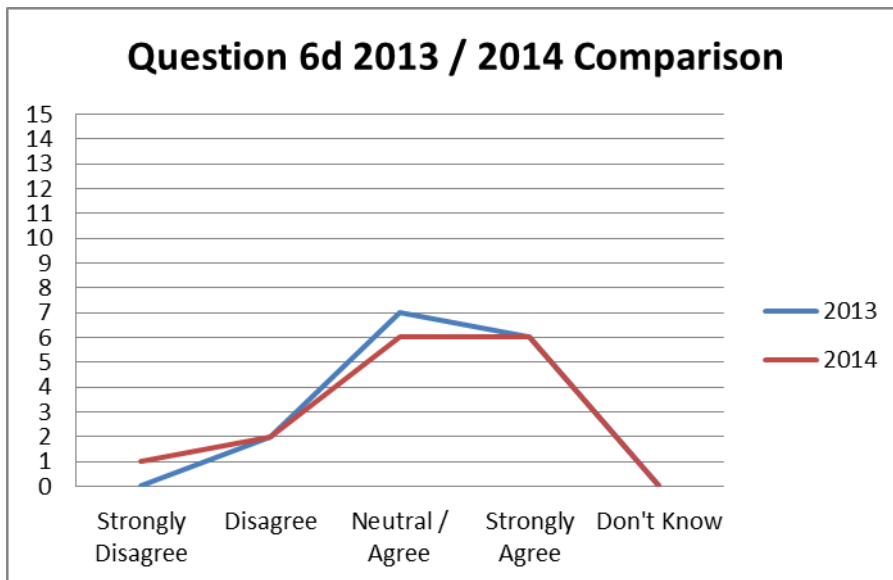
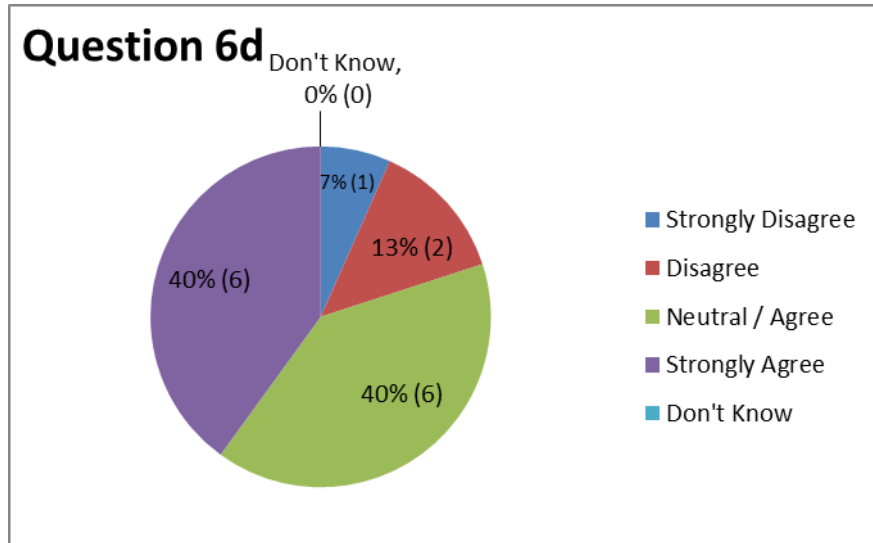
c. There is appropriate clear communication between the Board and ARB’s stakeholders.



Comments:

- If you mean the RIBA, things have got better recently.
- This can always be improved, but there are resource implications.
- This s true with some stakeholders but not all – and ‘stakeholder’ seems to be a rather diverse and fluid category.

d. The Board receives regular information with regard to key contacts and initiatives with major stakeholders.

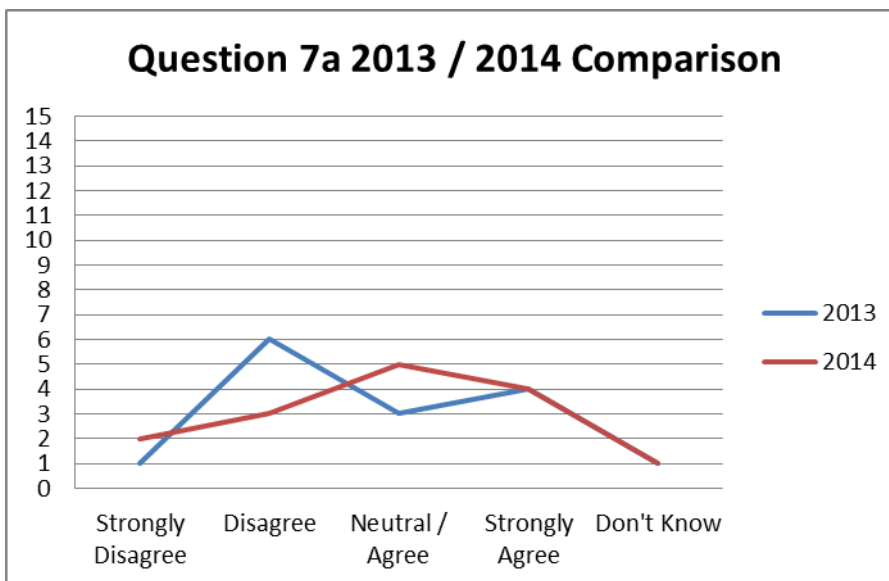
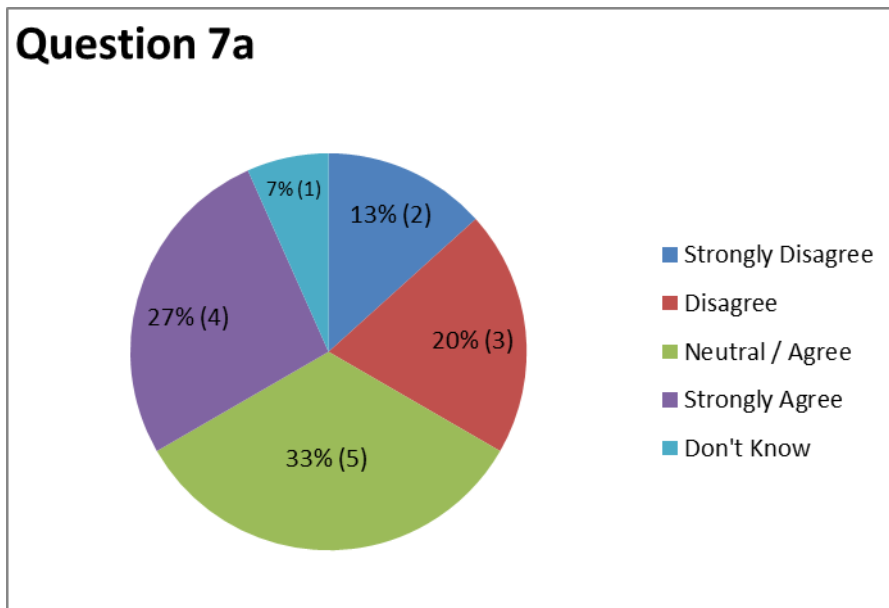


Comments:

- We hear about RIBA, but less about consumer stakeholders.
- Perhaps with some.

7. Board Composition

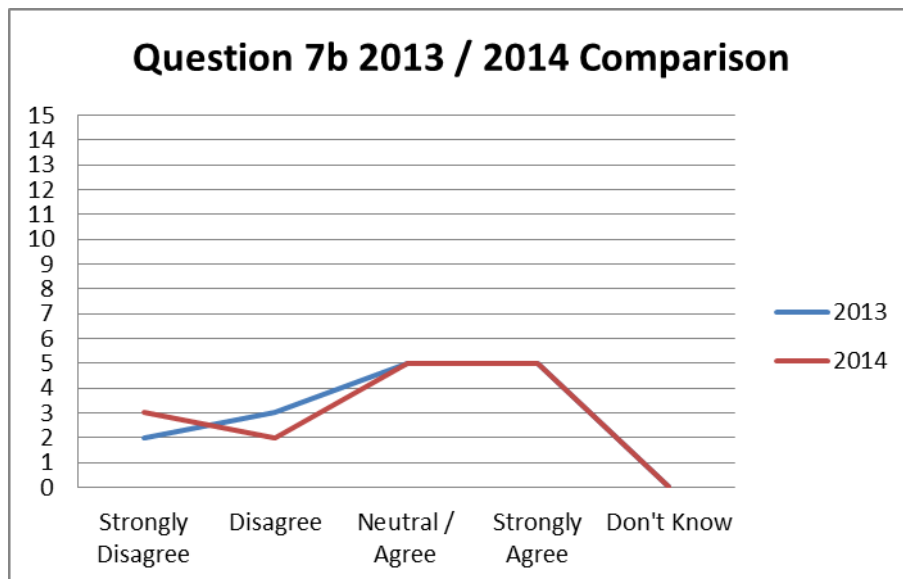
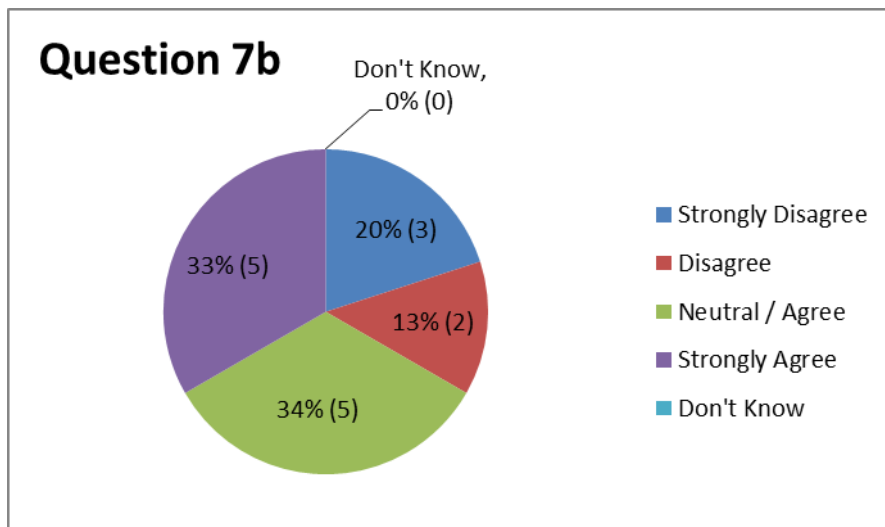
- a. The Board is sufficiently diverse, for example, in terms of age, gender and ethnicity.



Comments:

- This is an area not easy to control through the election system- we still need to replace specific helpful skills and experience from 2016 onwards.
- This is a politically motivated question and I do not think it is appropriate to even comment on people’s physical attributes. It is their ability to do the job that matters.
- Insufficiently diverse on every count. Hard to remedy while some members are elected.

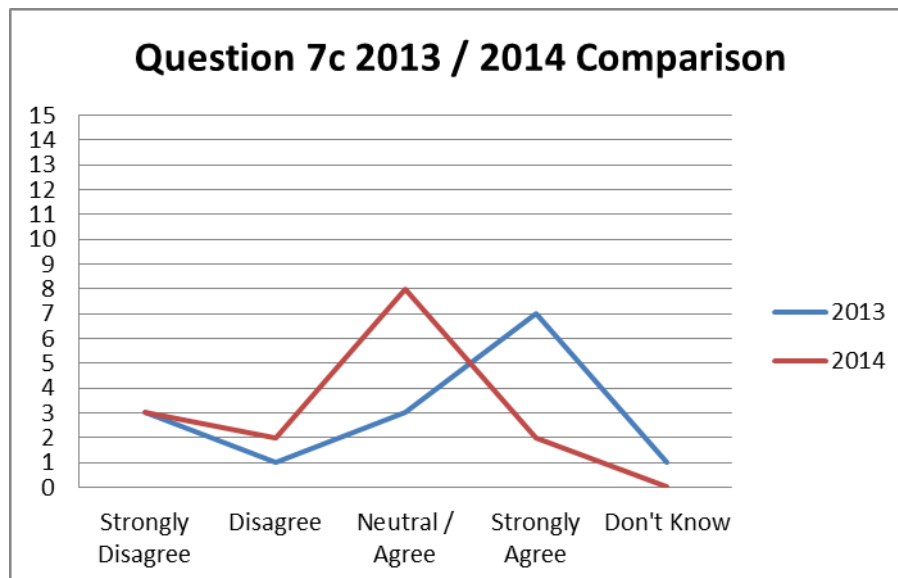
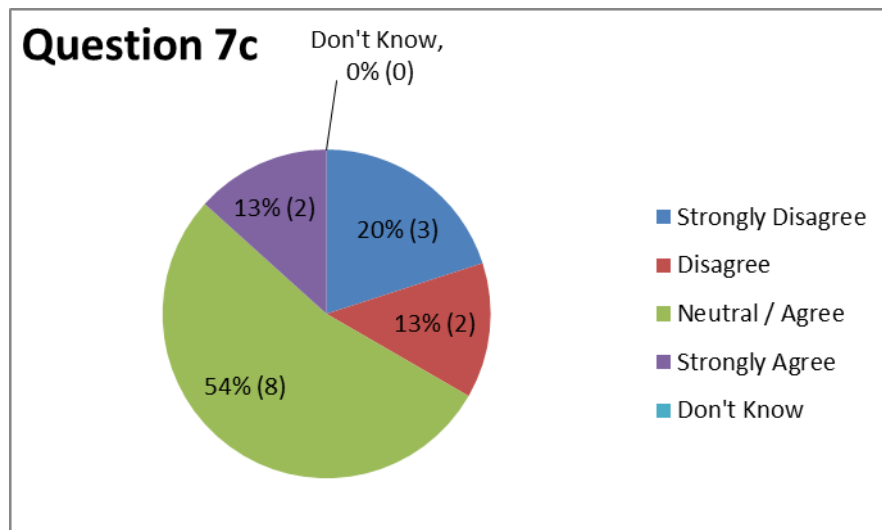
b. The Board is the right size to ensure effective decision making.



Comments:

- It could be a bit smaller and still be effective.
- Arguably too large but it is managed well.
- The Board is too large given the size of ARB and in comparison to other regulators.
- Conflicts of interest policy might mean that size should increase.
- Far too big.
- A smaller Board would be more efficient.
- We could manage with a smaller Board.

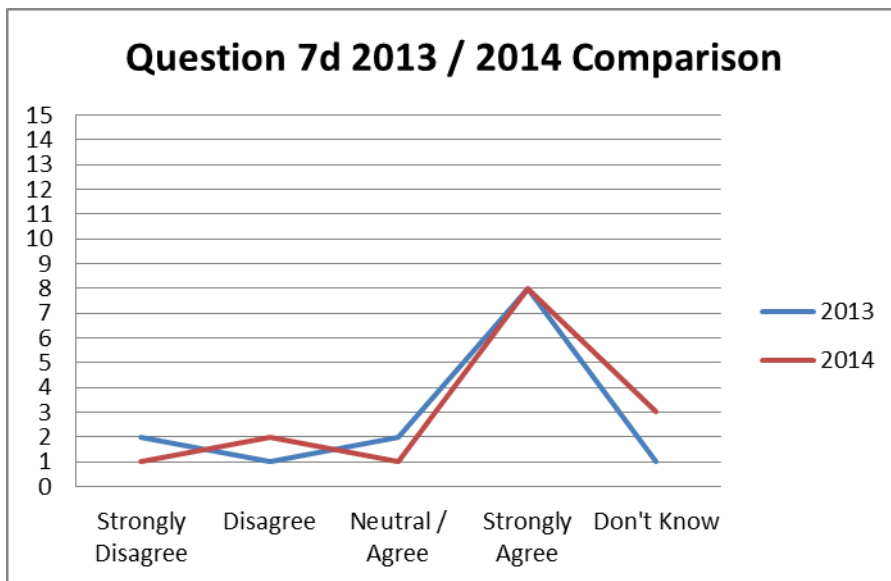
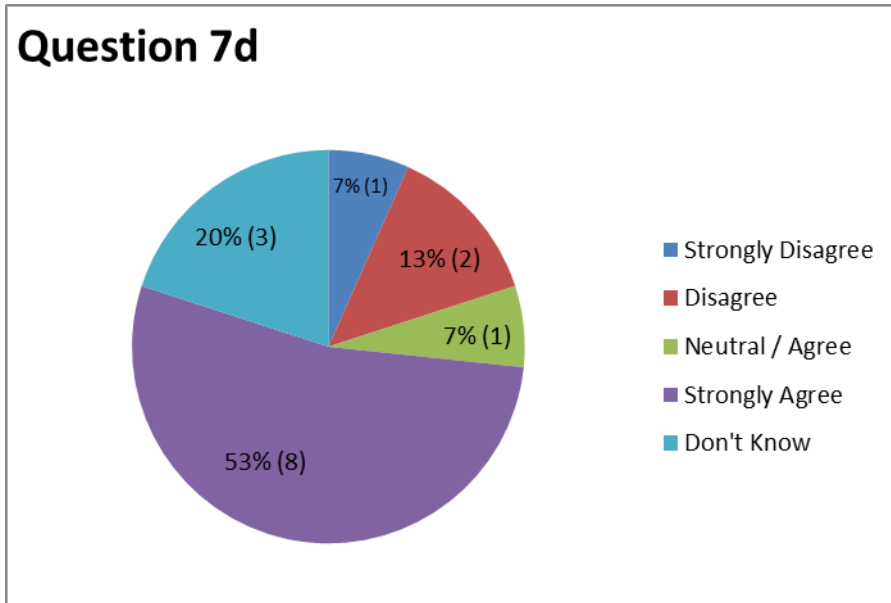
c. The Board has the right mix of skills and experience.



Comments:

- Outsourcing additional expertise when necessary is fine to top up Board skills and experience.
- Need Client organisations to be represented.
- Not a bad mix but could do with at least one more member with significant financial expertise.
- The lay members are good but we need more non-architect members familiar with the construction industry and the work that architects do.

- d. The appointment process for lay members to the Board is an open process based on competence and experience.

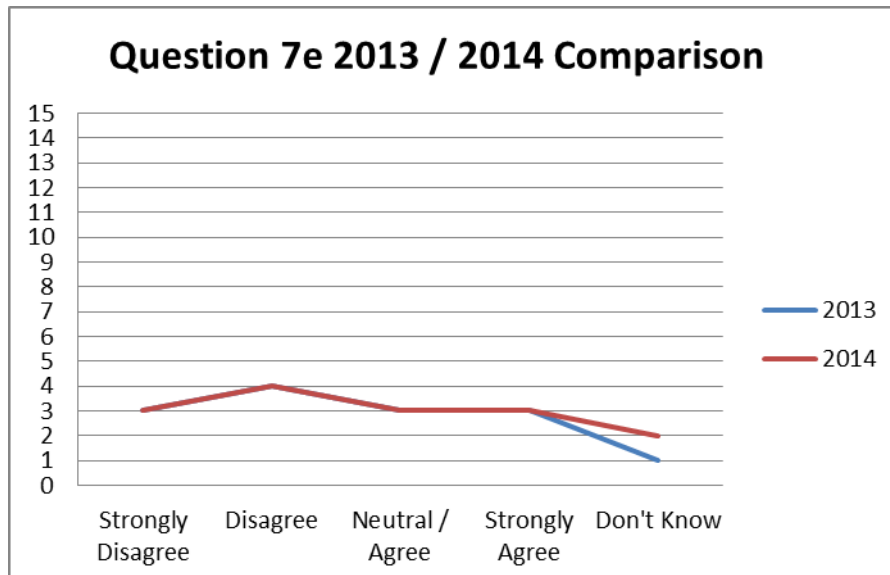
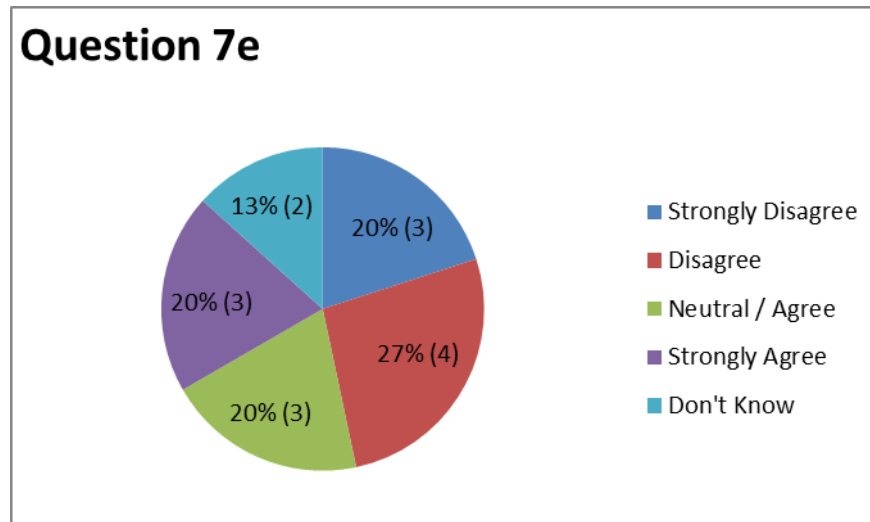


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- No idea how they're selected.
- Yes, but is limited because of the low attendance rate which almost certainly deters some people from applying.
- So I understand -- but I have no direct information to confirm this. We are dependent on who applies (and where posts are advertised) and the criteria for competence and experience – which I do not recall having seen.

- e. The election process for architects is appropriate, ensuring that the Board is diverse and has the right mix of skills and experience.

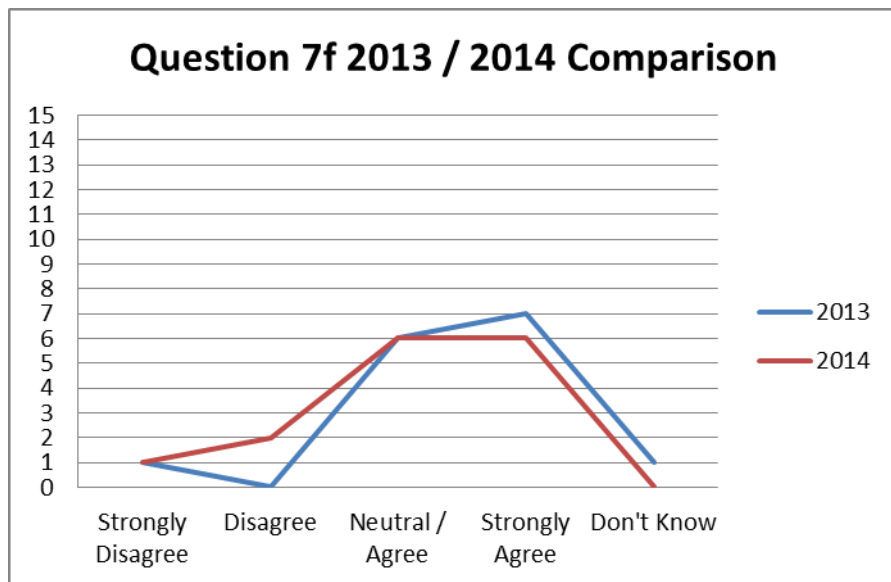
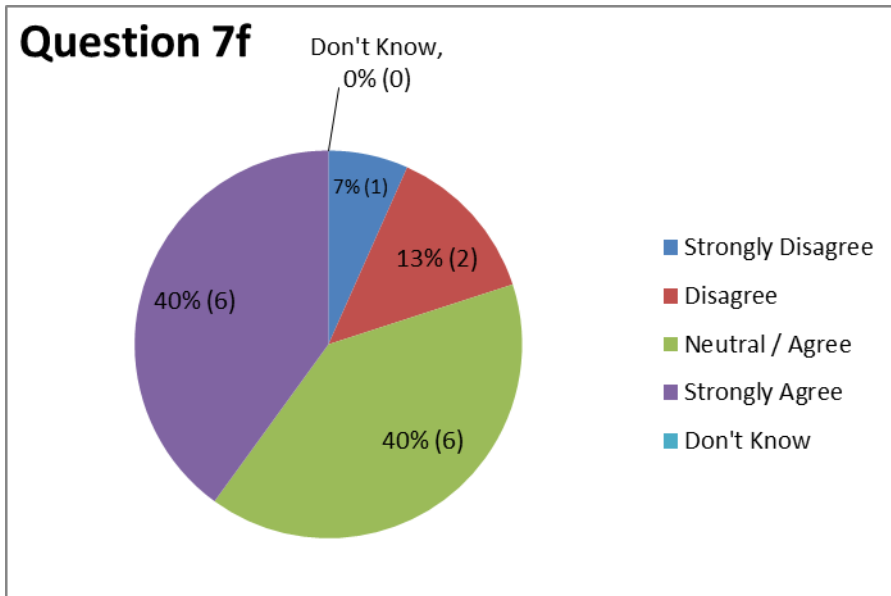


(Please note there were only 14 Board member responses for this question in 2013)

Comments:

- There are two questions here – election is entirely appropriate but obviously that doesn't always provide a completely diverse mix.
- The process is not designed to ensure this.
- An open free election cannot 'ensure' anything!
- Am not sure that those nominating candidates for election consider the persons specifications rather than professional issues. Am certainly not aware that the electorate pay any attention to the person's specifications.
- It is appropriate because it gives the profession a chance to engage with it. What we end up with is another matter.
- The election process does not have a way of selecting people for their governance skills.
- Election is almost a random process. It certainly does not produce the best set of skills and experience – nor does it produce a group representative of the diversity of the profession.

f. The Board has sufficient expertise for informed decision making and for meeting its statutory responsibilities.

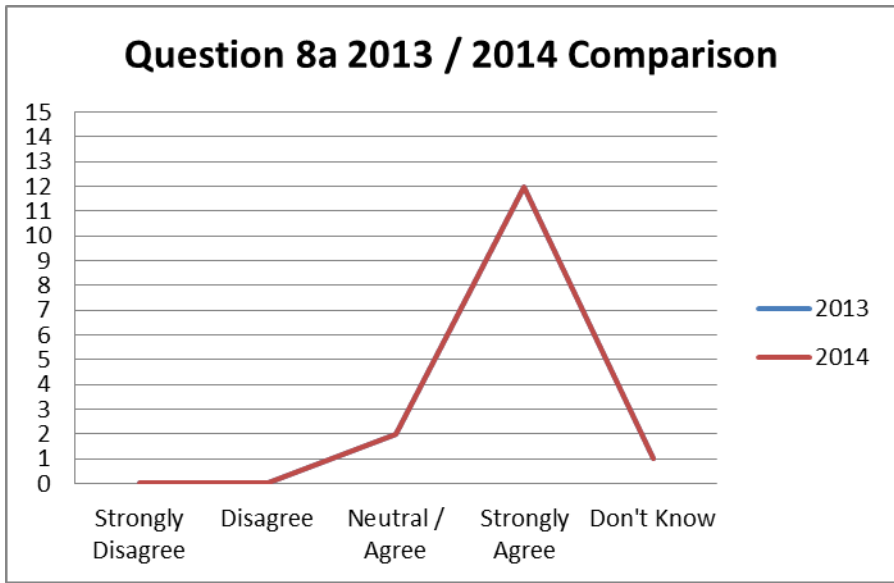
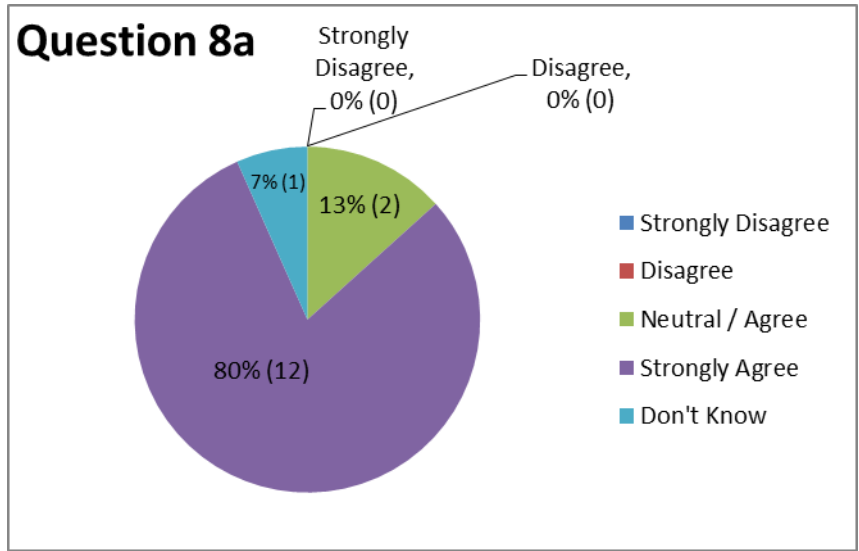


Comments:

- Agreed with the help of good advice from staff.
- ‘Sufficient’ about right .. but not ‘optimal’ or ‘ideal’.
- Too many ‘special advisors’ required because skills are not there, special advisor creep over the years.

8. Corporate Reporting

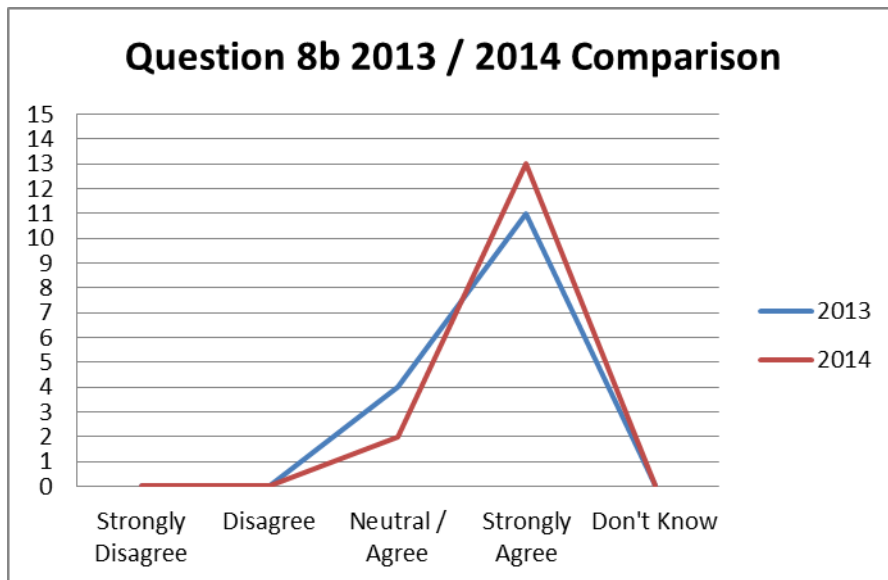
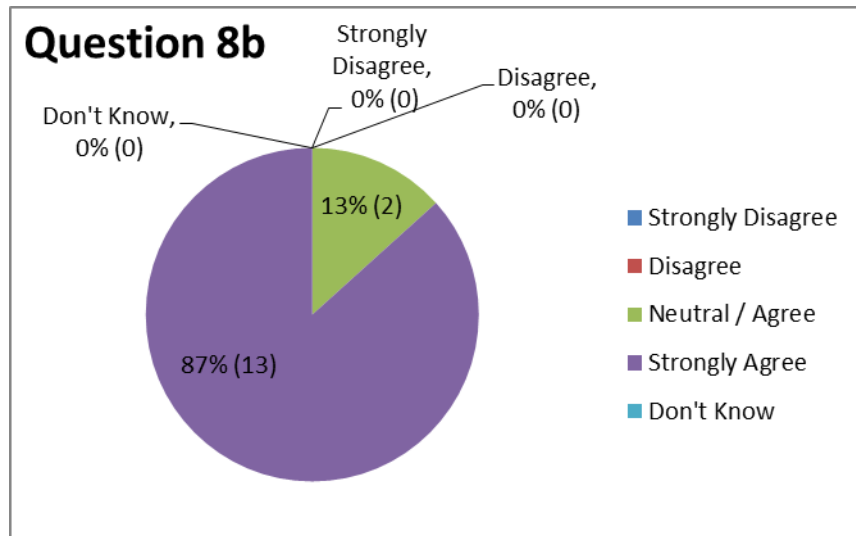
a. The Board is adequately supported by the Audit Committee.



Comments:

There were no additional comments to this question.

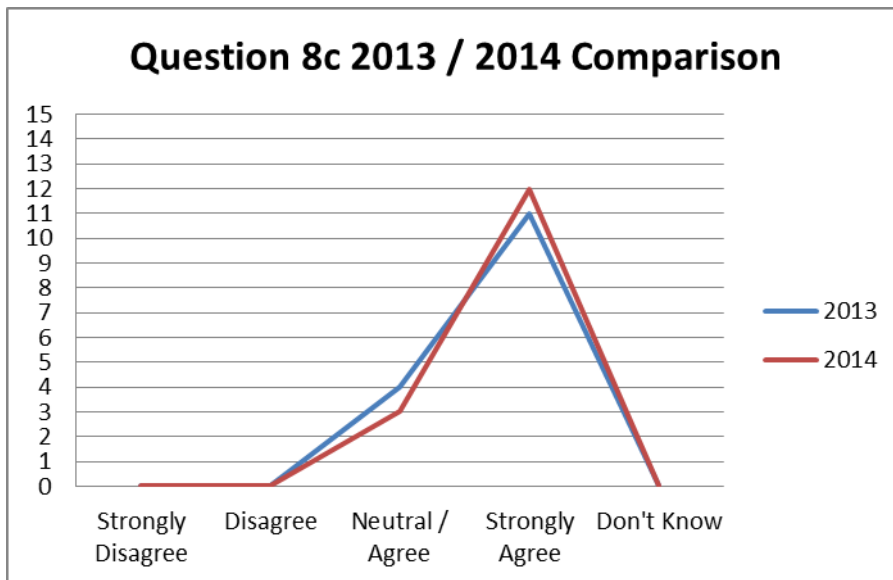
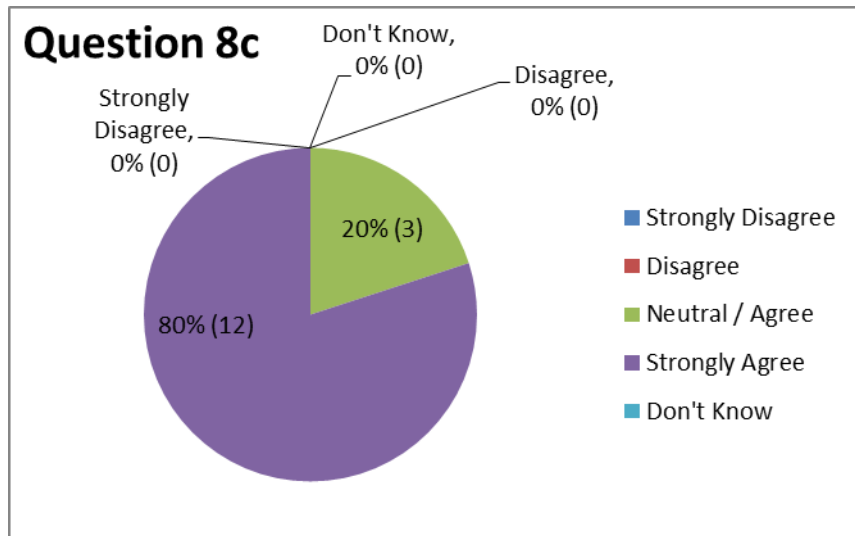
b. The Board receives sufficient information on the work of the Prescription Committee via papers, minutes and the annual report.



Comments:

- This is true – it has sufficient info but this could be slimmed down to exception reports for difficult issues to obtain the right amount of focus.
- Far too much, really. We don't need to go over the ground already covered by the Prescription Committee. If they say it's OK surely we can just agree with them?

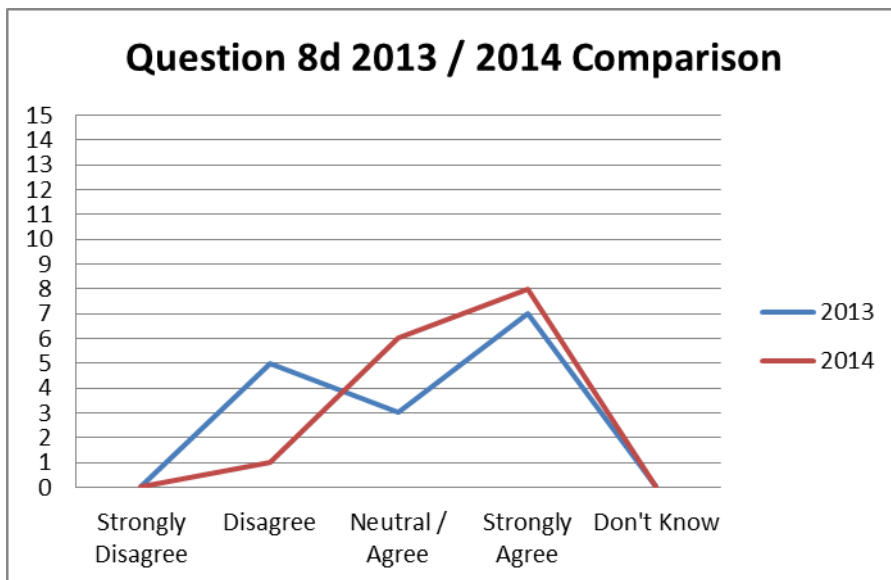
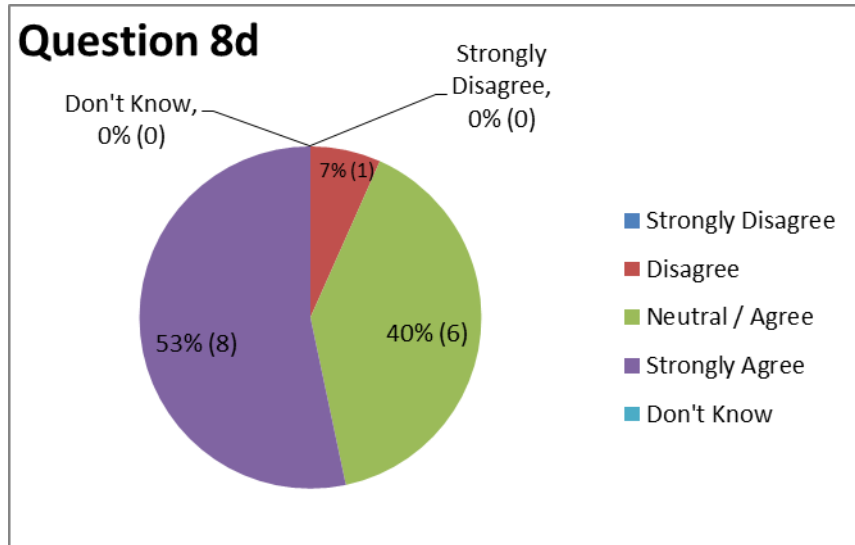
c. The Board receives sufficient information on the work of the Audit Committee via papers, minutes and annual report.



Comments:

- Good, concise reports.

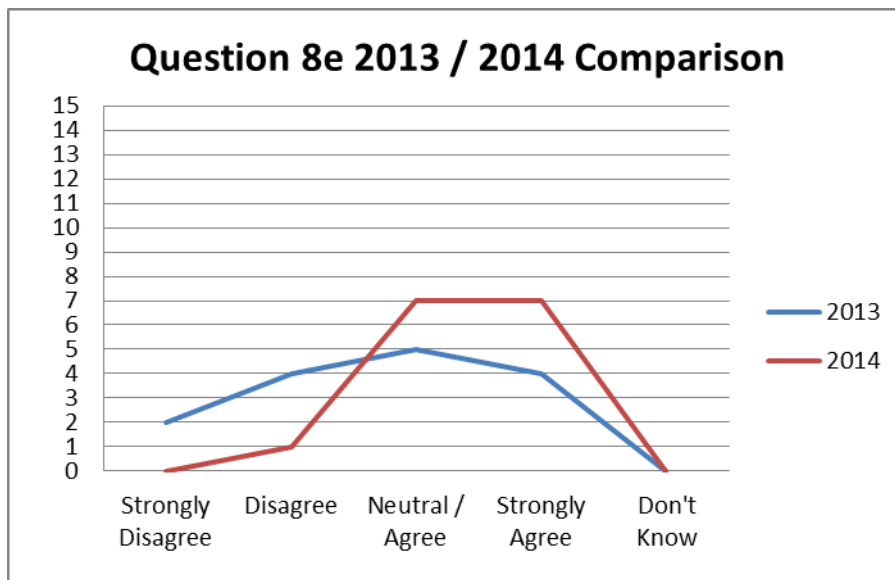
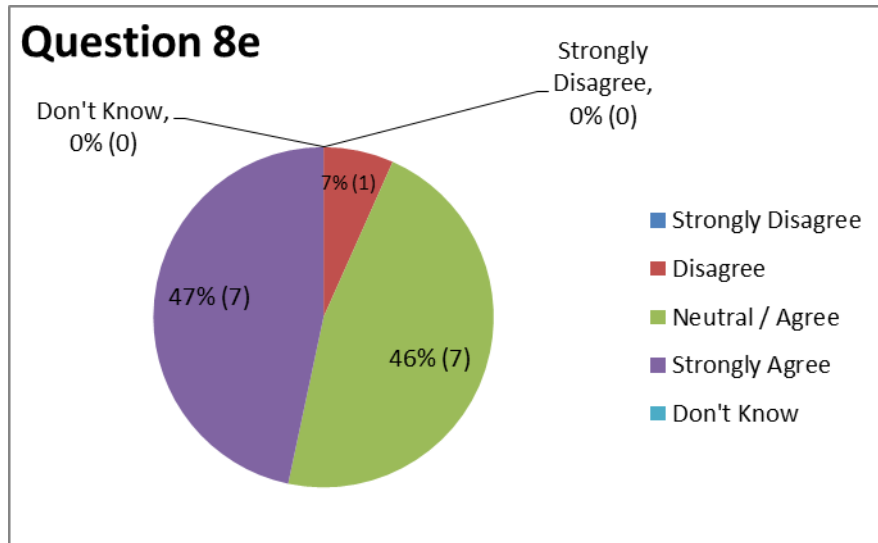
d. The Board receives sufficient information on the work of the Remuneration Committee via papers, minutes and the annual report.



Comments:

- Could have more background information on research undertaken to underpin recommendations and decisions.

- e. The Board receives sufficient information on the work of the Professional Conduct Committee via press releases and the Chair of the Committee’s annual report and presentation to the Board.

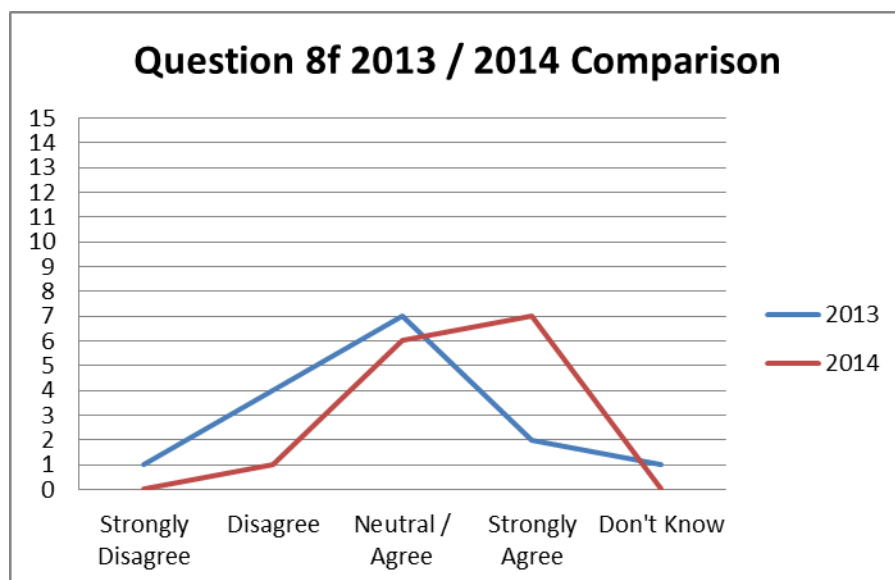
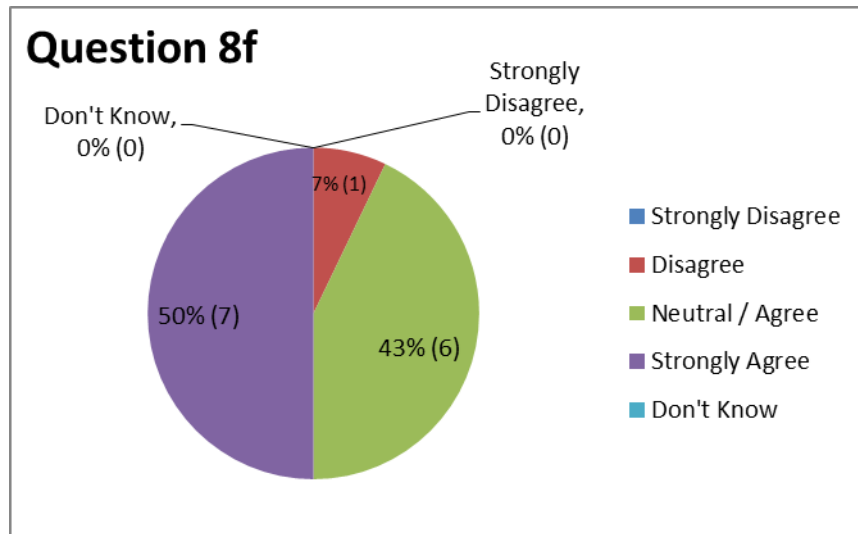


Comments:

- The oral report by the PCC chair is always well received so there could be improvements to interim reporting.
- Am always anxious about the timeliness of information in advance of Committee hearings. Excellent annual feedback but I await our own sub Committee’s (IOC) views on whether we should have a tighter system.
- The press releases are fine as far as they go but the actual detailed report is far more illuminating.

- f. The Board receives sufficient information on the work of the Investigations Panels via papers, minutes and the biannual general report to the Board.

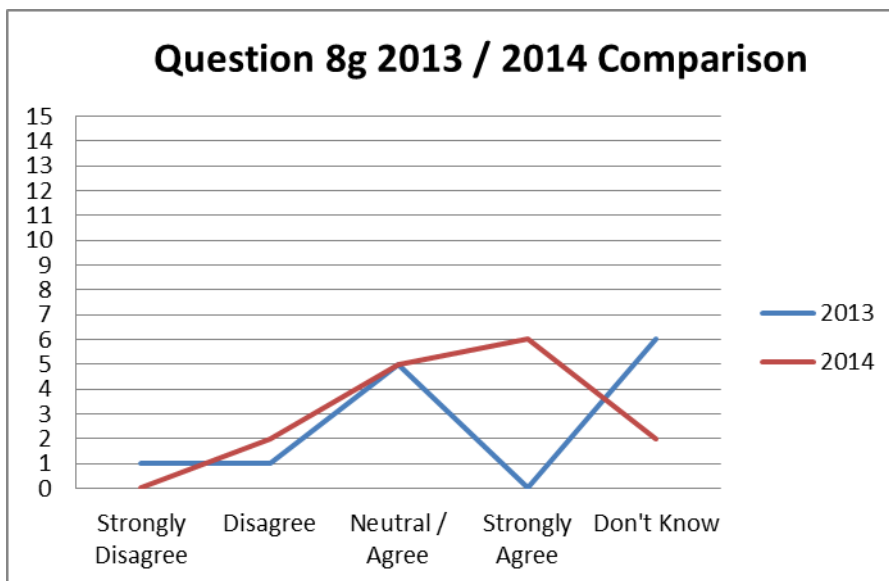
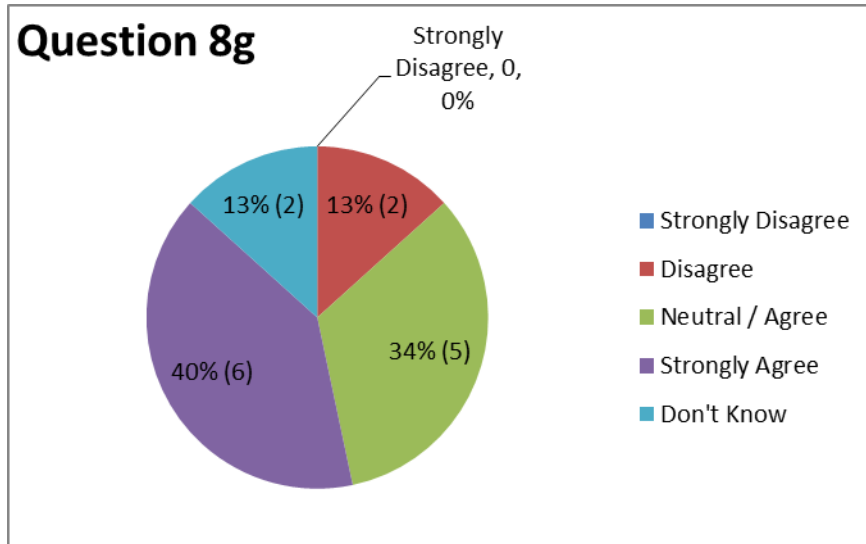
***one Board member did not answer this question**



Comments:

- Not sure this happens. Overseen by IOC now?
- Good bi-annual report but as above, our sub-Committee's views (the 'as above' relates to the highlighted comment in question 8e).
- Need more statistical data/ evidence re types of complaint, numbers / nature of different complaints, and ,most importantly profiles of the architects being investigated, age, nature of practice, years registered location.

- g. The Board receives sufficient information on the work of the Investigations Oversight Committee papers and minutes.
 (Note: the IOC only commenced work in mid-2013 and therefore little has been reported to the Board as yet. An annual report is anticipated.)



(Please note there were only 13 Board member responses for this question in 2013)

Comments:

- As above (this relates to the first highlighted comments under questions 8e and 8f).
- Too early to say.
- See above (this relates to the second highlighted comment in question 8f).

Additional Comments

1. All The above answers have to be fairly general comments. There are obviously occasions when the individual Board Member believes more information or alternative courses of action might be needed. On such occasions one feels need to discuss the particular issue with the Chair and if possible find resolution of the problem raised. This has in my experience always proved to be possible and it is with understanding and flexibility that one feels these problems can be approached and ways found to resolve the Member's particular concern. The ability to do so means the Board's systems are well thought through and allow for accommodation of concerns felt and raised by individual Board Members. One can only comment that this speaks highly in favour of the work of the Board, its Executive and staff, and the whole manner in which the organisation operates!
2. I have not been at the last two Board meetings, so my comments should be seen in the context of this.
3. The Board's performance has markedly improved in 2014, helped by the preparatory discussions of issues by the chairs of Committees and matters arising schedules. The excellent performance of the Executive to support the Board during this period of change and the Periodic Review outcome uncertainties has given the Board a high level of confidence. Well done!
4. In comparison to some times last year when things were a little 'rocky' this has been a good year with increased cohesiveness and a real desire to work together for the good of the profession and the consumer. The 'acting' Exec team have done a first rate job with a refreshing degree of openness and good humour displayed on all sides!
5. As commented above, I have concerns about the investigation and professional conduct systems and processes. I know that they must be sound but I cannot demonstrate this. I await the IOC views.
6. Thanks to Karen and all the staff for helping us to do our job.
7. In general the Board works fairly well – I don't think the profile of the membership is ideal but (lack of good knowledge of construction industry among the lay members and random nature of the election process) but all are conscientious and co-operative.