

ARB Business Plan 2013

The Architects Registration Board (ARB) was established by an Act of Parliament - the Architects Act – in 1997. ARB is both the independentstatutory regulator of all UK architects and the UK's competent authority for architects.

ARB has fifteen members on its Board, eight of whom are members of the public (lay members) appointed by the Privy Council, and seven are architects who are elected by their peers. The term of office for both architect and lay members is three years, with the option of a second consecutive three-year term if reappointed or re-elected.

Our primary purpose is to deliver the Act and in doing so, we will also observe other statutory requirements. In accordance with the provisions of the Architects Act 1997, we work to ensure that architects are competent and have integrity. We set and maintain standards for entry to the Register of Architects, as well as the standards of conduct and practice which are expected of architects.

The Board has identified two objectives from the Act which underpin all of our work. These are:

Protect the users and potential users of architects' services, and

Support architects through regulation

Protect the users and potential users ofarchitects' services:Wewill protect the users and potential users of architects' services by regulating architects so that the public can be confident that architects are appropriately qualified. We will raise the public's awareness of the Register.

Support architectsthrough regulation: Wewill maintain and publicly demonstrate the status of architects as competent, qualified professionals, and we will regulate use of the title "architect". Wewill raise awareness of the Architects Code of Conduct and Practice and the need to maintain their competence.

We will ensure that we act in a manner which is at all times proportionate, while seeking to maximise the efficient and effective use of our resources. We will ensure that we secure value for money, and that we are accountable to our stakeholders.

We will work in conjunction with partners from within the profession, education, the wider built environment and beyond, to deliver our objectives in the most efficient way.

V4 Page 2

The 2013 Business Plan reflects those objectives and also reflects the following external influences which will impact on our work during 2013 and beyond:

- The preparation needed for implementing the changes to the European Professional Qualifications Directive, which is likely to be enacted into UK legislation 2014/15
- The potential for change within higher education which may impact on the way in which ARB prescribes (recognises) the qualifications required to become an architect.
- The increase in the number and complexity of complaints received concerning architects
- The use of internet searches as a tool for finding an architect and the prominence of ARB's Register within those searches
- The economic climate and Government policy and expectations

Format of the Business Plan

The Plan for 2013 has been divided into key areas of our work. Section F identifies the performance indicators which monitor the delivery of our regular work, such as entering appropriately qualified applicants onto the Register, the timely handling of complaints, prescribing the qualifications needed to become an architect and keeping stakeholders informed. Section G notes the areas which the Board may consider as part of a rolling programme of work for 2014 and 2015.

Reporting against the Business Plan

An annual report showing our performance against the Business Plan is made at the first Board meeting after the year end. The management team keeps the plan under review on a monthly basis and also assesses performance mid-year. The Board is alerted to any major problems in delivery. The performance indicators in Section F are monitored regularly by the management team and are reported to the Board twice yearly. We monitor the financial performance through the budget setting process and management accounts, which are provided to the Board four times a year.

V4 Page 3

Under the Architects Act 1997, ARB maintains the UK Register of architects. The Register identifies those who are entitled to use the title "architect" in business and practice as they have met the requirements for qualifications and competence. The Register is the tool through which potential users of architects' services can find an architect and check that an architect is registered. It is also important to architects that they are identified as qualified professionals. The Register must therefore be accurate and accessible. The work which underpins the maintenance of the Register is wide ranging.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
Improve the accuracyof the Register by improving the timescales for updating information (Two year project)	Increase the use of online tools for updating details.	Further enhancements needed to internal systems to reduce human intervention (£10k) and increase efficiency.	60% of change of detail requests received through online tool. 90% of change of detail requests processed within three days.
Promote further use of online registration forms (Two year project)	Further increase in the number using the online facility to Register.	£5k to further enhance facility to include all routes.	80% of all applications received via the online facility.
Consider the implications, both legal and practical, of amendments to the Professional Qualifications Directive (PQD)	 Monitor progress of the PQD legislative changes. Take legal advice and advice from DCLG where necessary. Analyse and cost any necessary system changes for 2014/2015 budget. Engage in discussions with stakeholders and ensure understanding of the changes. Ensure information is readily available. 	Legal costs estimated at £15k. Significant staff time to be met from existing resources. Amended Directive will be implemented in the UK in 2014/15. Development of any systems will primarily take place in late 2013/2014.	ARB systems are ready to meet the UK deadline for compliance with the PQD and amended Architects Act. Stakeholders are aware of the implications of the changes.
Provide an efficient and effective service to all enquirers	 Ensure our online resources are readily available and are easy to understand and use. Provide timely responses to queries. 	The same level of queries during the year.	Gather feedback and statistical information that demonstrates we are efficient and effective.
Implement a review of the effectiveness of new retention fee period	 Provide an efficient reception facility. Gather feedback from the profession. Review whether process was responsive to queries. 	Assume existing management information systems and fee calculation framework responds to the changes implemented for 2013.	Positive feedback. Smooth collection process and no increase in removals from the Register.
Undertake a review of the implementation of the prescribed examination process	 Seek feedback from examiners and candidates. Analyse pass rates and associated evidence. 	Throughput remains static. Ongoing training costs, along with continued improvement to the guidance available.	Improved feedback from users. Higher pass rate due to improved guidance and feedback opportunities.

Under the Architects Act 1997,ARB prescribes (or recognises) the qualifications required to become an architect for those who gain their qualifications within the UK. We also contribute to the scrutiny and review of those qualifications which are obtained in other European Economic Areas, and which seek to be listed at a European level. We therefore maintain systems for assessing qualifications against set criteria. These criteria are held in common with the Royal Institute of British Architects and the Quality Assurance Agency benchmark for architectural qualifications. The UK criteria also reflect the minimum requirements across the EEA. We work closely with many other organisations and Member States to ensure that our systems are robust, fair and efficient and provide support to Schools of Architecture, whilst ensuring that as a regulatory body, we have confidence that prescribed qualifications meet the Board's objectives and criteria.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
To have engaged with institutions, students and other stakeholders regarding the prescription process and Criteria to inform, to obtain feedback and to promote an understanding of ARB's role with regard to qualificationsand to maintain a high quality service for institutions, students and EU Member states	To promote the availability of the following services and to meet 90% of all requests for: • feedback sessions; • planning meetings; • university liaison sessions; • regular liaison meetings with stakeholders; • speaking at relevant conferences/ forums; • providingsupport for those seeking to listqualifications in Europe. To keep the Student Handbook and other areas of ARB's website relating to prescribed qualifications up to date.	It is anticipated that there will be at least 50 requests for university liaison visits during 2013 and up to 15 planning meetings, as well as a number of regular liaison meetings with key stakeholders. Staff time/Staff travel costs.	Relationships are good with key stakeholders in this area as exhibited by individual and collective feedback and should therefore be maintained. Stakeholders believe ARB adds value over and above performance on the prescription function. As evidenced by collective and individual feedback. ARB is kept well informed of possible future developments in order to plan its work and respond to developments.
On behalf of the UK and its capacity as the UK's Competent Authority for Architects, scrutinise and review European qualifications which are notified to the European Commission for listing under the PQD	Ensure that the European Commission's deadlines for considering notifications are met on every occasion.	In previous years, the number of European notifications has fluctuated widely. On the basis of European Commission data, up to 50 European notifications are due to be made during the latter part of 2012 and in 2013. Staff time/costs of attending up to three European Commission Sub-Group meetings.	ARB reviewed 100% of European notifications within the European Commission's deadlines.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
Continue work to explore the possibilities of developing a process to deal with prescription of UK qualifications offered at institutions based outside the UK/prescription of qualifications offered by overseas institutions	Seek and collect the views of UK Schools. Consider whether ARB is able to develop a process to deal with this area. Present results for consideration by the Prescription Committee, and if appropriate, the Board.	ARB anticipates continued expressions of interest in the possibility of ARB prescribing qualifications delivered outside the UK. Continued review of the policy will demand staff time and legal advice. If the current policy changes, the implementation of any new policy could have significant costs which the Board will consider.	ARB has considered its policy in this area and explored the possibilities of developing a process to deal with UK qualifications offered at institutions based outside the UK/prescription of qualificationsoffered by overseas institutions. ARB will have kept its stakeholders informed concerning its position and any potential outcome.
Prepare for changes to the European notification/listing process, requirements for professional practice and ARB Criteria following revisions to the PQD	Review revised PQDrequirements, determine where changes may need to be made and produce plans and timeframes for revision to the appropriate ARB policies, requirements and documents.	Revisions needed to ARB's processes for notifying qualifications to the European Commission, requirements for professional practice and its Criteria. Legal costs. Extensive legal advice will be needed to ensure ARB's revised policies, requirements and documents are compliant with the revised PQD at a cost of £10,000. Significant staff time to be met from existing resources. Extensive consultation with key stakeholders.	ARB revises its policies, requirements and documents so that they are compliant with the revised Directivewhen implanted in the UK.
Explore whether enhancements should be made to ARB's approach to the prescription of qualifications to reflect ARB's risk-based approach to the process.	Review the operational approach to prescribing qualifications so that the Board is able to make more risk-based decisions regarding the periods of prescription which are granted. Consider ways to encourage institutions to apply for shorter and/or longer periods of prescription.	It is not envisaged that ARB's Prescription Procedures will need to be amended to achieve a change in approach as they are sufficiently flexible to accommodate this already. Staff time to be met from existing resources. Consultation with institutions.	ARB's approach to the prescription of qualifications is increasingly risk-based so that its resources can be targeted effectively.

Section C - Maintaining the Standards of Conduct and Practice of Architects

Users and potential users of architects' services need to have confidence in the standards set by us under the Architects Code of Conduct and Practice, and that we take appropriate action where architects fall below the standards expected. We will seek to raise awareness of the Code and how clients may use the Code to help them in their relationship with their architect, as well as raising awareness and understanding of the Code by architects themselves. We will investigate allegations of unacceptable professional conduct and serious professional incompetence but will also seek to mitigate the risk of such situations arising.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
Raise awareness of the Code and steps that architects can take to mitigate complaints	 Use the website to provide advice to architects on preventing and handling complaints. Increase the frequency of relevant articles in the eBulletin. Seek opportunities to work with others (RIBA/ACA) to provide written information or presentations to architects. 	The main resource to achieve success in this area will be staff time, although there will be incidental costs relating to travel to events.	It is unlikely that ARB would experience any measurable downturn in complaints, which are rising. Success is measurable by the increase in profile of the Register, and feedback on the usefulness of the information.
Ensure efficient processes which are fair to all in all aspects of complaints handling	Review all literature and processes involved in complaints handling in light of feedback.	Continue third party review system.	80% of reviews find no further action. Take action where identified. Increase feedback forms and review and action where appropriate.
Ensure the investigations process is running smoothly and offers a fair process to all	 Train and embed new Investigations Pool members and Rules. Embed any agreed Oversight Committee and reporting process to the Board. 	The extended Investigations Pool will come into force on 1 Jan 2013. The expansion of the Investigations Pool is budgeted to cost an extra £18,000pa.	80% of Investigations Panel decisions are reached within 12 weeks. 80% of Third Party Reviews find no further action to be taken. No findings of no case to answer at the PCC or adverse findings by Judicial Review.
Provide an efficient/fair prosecution service for PCC cases	Embed new PCC solicitors and monitor performance in terms of quality and efficiency.	Refreshed panel of solicitors in place with improved cost monitoring and performance indicators.	Enhanced cost control and monitoring introduced. Timescales on performance indicators met for PCC cases.

Section D - Raising Public Awareness of the Register and Helping Users and Potential Users of Architects' Services to Make Informed Choices

We recognise that it is not sufficient simply to hold an accurate Register. To be of value, the Register must be accessible, and users and potential users of architects' services must understand the distinction of the title "architect" and the importance of the Register in confirming an architect's registered status. We therefore work to increase awareness of the Register, to inform the public about the qualifications and competence of architects and to alert members of the public to the Architects Code of Conduct and Practice. We also work to prevent the misuse of the title "architect" which may only be used by those on the Register.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
Raise awareness of the Code with users and potential users of architects' services Increase use of the online Register to mitigate the risk of consumers being misled by those misusing the title architect	 Publish articles promoting the importance of the Code of Conduct in relation to the Register of Architects. Increase the prominence of the Code on ARB's website. Take steps to ensure that www.architects-register.org.uk is appropriately optimised. Encourage linkage to the online Register, both with architects and other organisations. Encourage architects to add their email and web addresses to their personalised online Register webpage. 	Minimal costs (staff time). Raising awareness of the Code encourages the use of the Register by consumers. Development work and communication work in respect of the online Register to cost£20,000. All individual complaints about misuse of the title architect will be appropriately investigated.	Difficult to measure success of the general effect of actions, but an increase in the mention of the Code in publications. Increase the number of visits to the online Register by 10 %. The Register is more consumer-friendly as potential clients are able both to email an architect and view their website.
Encourage architects to promote their registered status to increase awareness and value of the Register Maintain presence at consumer events	 Promote the use of the ARB logo and explain the value of referring to registered status. Increase links to the ARB Register via websites. Inform members of the public about the online Register, and the difference between an architect and non-registered person, emphasising the importance of checking the Register to confirm an individual's registration. 	Further emails will be sent to architects to encourage the use of their online Register entry. A promotion to encourage architects to provide up to date email addresses will continue. The number of people with an awareness of ARB and its work continues to increase. Events attended target consumers who are likely to be considering building projects. As people become more aware, this could lead to an increase in the number of complaints we receive about architects.	An increase in 10% of architects that link to the online Register, or display the ARB logo on their own website. Increase in the number of visitors to the online Register.

Section D - Raising Public Awareness of the Register and Helping Users and Potential Users of Architects' Services to Make Informed Choices

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
	 Promote the Code of Conduct as a guide for consumers on what they might expect when they engage the services of an architect. Reassure people that we can investigate complaints about an architect's conduct or competence if something goes wrong. 		

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
Maintain adequate and	 Audit Committee regularly reports to Board. Internal audit function appropriately resourced and monitored. Maintain reporting cycle of risk register and risk strategy. Monitor delivery against performance indicators (biannual), the Business Plan (annual), ARB's purpose and objectives (annual). Ensure adequate reserves are maintained through review of reserves policy and maintenance of the policy minimum. Effective and regular reviews of all of ARB's policies. Ensure sufficient staff 	Audit Committee and internal audit continue to work at current level. Internal audit costs £22k. Maintenance of reserves may require additional funds to be secured through the retention fee in 2013/2014. Additional resources needed	Plan implemented to rebuild reserves to the required level by 2014. Information provided to the Board on performance and risk considered to be at the right level by the Board. Internal audit continues to be robust and add value, as assessed by ARB staff and Audit Committee. Live risks that do arise are sufficiently mitigated by the actions in place. Maintain adequate
appropriately skilled staffing levelsthat are utilised effectively	resources are maintained to deliver statutory functions. • Maintain staff development budget and encourage flexible working, both internally to make best use of resources and through flexible arrangements for staff. • Cultivate an environment that supports employee engagement to assist employees in delivering to their full potential.	through temporary staff to mitigate maternity leave. 0.5 administrative support. Ensure financial resources are included in the budget to allow for temporary staff during peak periods.	staffing levels in 2013. Report on increased flexibility in use of staff resources along with evidence of increased flexible working. A committed and engaged staff resource.
Maintain Government confidence	 Demonstrate consideration of the Framework Agreement and undertake an annual review. Maintain transparency wherever possible. Annual internal review to ensure delivery of statutory obligations. 	Staff time is the main resource.	Confirm ARB's compliance with the Framework Agreement at year end. Confirm ARB's delivery of the Act at year end.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
	Engage with the preparation for the triennial review of ARB at all levels, ensuring Chair/Board contribution as well as prompt production of information requested.	Additional time commitment from Chair. Significant staff resource may be diverted from other work.	DCLG confirms good engagement from ARB and no significant issues arise on ARB's delivery of statutory responsibilities.
Efficient financial management	 Clear budget setting process agreed and understood by Board. Regular monitoring of outcomes against budget. Prompt notification of fees. Alignment of budget and Business Plan and consideration of longer term financial obligations. 	The budget setting process remains as undertaken for 2012 and 2013.	Deliver ARB's work as set out in 2013 Business Plan within budget. Fees collection process efficiently handled, meeting timescales and within normal range of those failing to pay fees.
Enable the Board to take informed decisions	 Efficient running of the Board and delivery of papers which provide sufficient, evidence-based information. 80% of Board papers dispatched 10 days prior to the meeting. 	Concerted effort to move to paperless meetings. Commence project in 2012 to electronic circulation and availability of information.	Timely circulation of Board papers. Queries raised by Board do not concern lack of appropriate information. Feedback from the Board demonstrates we are providing the right level of information.
Compliance	 Health and safety. Employment requirements. Data handling. PAYE. 	Regular reviews as required by law. Seek legal advice when required.	No adverse incidents taking place during 2013.
IT strategy	Review and update three year development plan	Identify costs and long term savings. Although this will be completed, budget will not allow for development.	Systems remain stable enabling staff to perform activities. External systems remain available and responsive to any feedback received.

Area of Work	Actions	Assumptions and Cost Implications	Measures of Success
Review the Board Members' Code of Practice and General Rules concerning Board members	 Undertake a review of the Board Members' Code to ensure that it reflects best practice. Consider the General Rules concerning Board members and identify any areas of change to reflect the Code or the application of the Code. 	The Code can be reviewed using existing resources. Consultation on the General Rules can be conducted with mainly internal resources. Should the Board require legal advice, this would incur additional costs which have not been factored in.	After review and any appropriate amendment, the Board is satisfied that the Code and general Rules are fit for purpose, reflect good practice and help the Board to properly discharge its responsibilities.
Communications	 Continue to develop ARB's website as a key information resource, responsive to users' needs, and updated promptly when changes/additions are required. Revisit and refresh key messages for ARB's audiences. Ensure Stakeholder Engagement Register is delivered. Continue to build on good relationships with the key architectural journals. Key messages are communicated to staff, who become advocates of those messages. 	Website is a primary reference source for members of the public/architects.	Increase in the number of visitors to the website. Increase in the number of people who feel well-informed by ARB. Few critical/incorrect articles in the architectural press.
Introduce a secure external portal for all areas of ARB's work (Two year project)	Plan and implement a portal enabling access to information in a secure environment.	Costs are anticipated at £80k, spread over two years. Use of portal would be mandatory for all Committees, Board members, external advisors, examiners etc, to secure longer term savings and maintain the security of data.	Board and Committee papers, examination information, competency standards, EU notification of non-UK qualifications managed through the portal commencing mid-2014. Significantly increased data security. Reduced printing and scanning costs, postage and staff resources.
Explore and take up opportunities to work with stakeholders jointly to deliver ARB's objectives	Seek opportunities for joint working with RIBA, SCHOSA, ACA and others.	No cost implications identified.	Joint initiatives share costs and should increase the effectiveness of the delivery of ARB's (and the stakeholders') objectives.

Section F - Key Performance Indicators

We have performance indicators for all areas of work, which are monitored by both the management team and the Board.

Performance Indicator	Target for 2013	Assumptions	Responsibility	
Maintaining the quality of the Register: Processing of registration applications				
Applications received through the UK route to registration processed within 30 days [Please note KPIs are being reconsidered due to new online/back-office system]	90% of applications processed within 30 working days.	The number of applications likely to remain static at approximately 800 per annum.		
Applications received through the automatic European route to registration processed within 30 working days [Please note KPIs are being reconsidered due to new online/back-office system]	90% of applications processed within 30 working days.	The number of applications likely to remain static at approximately 400 per annum.		
Reinstatements & Readmissions	90% of reinstatements and readmissions processed within 30 working days.	The number of applications likely to remain static at approximately 600 per annum.		
Maintaining the qualifications of Processing applications for the		nd listing of qualifications at	EU level	
Average no. of weeks to complete initial scrutiny of prescription applications	95% of applications initially scrutinised within three weeks.	ARB is likely to receive in the region of 15-18 applications for prescription/to renew prescription during the 2012/2013 cycle.		
Average no. of weeks taken between an application being received to it being considered by the Committee for the first time	95% within eight weeks.	ARB is likely to receive in the region of 15-18 applications for prescription/to renew prescription during the 2012/2013 cycle.		
Average no. of weeks taken for an annual monitoring submission to be considered by the Committee for the first time	95% within eight weeks.	ARB is likely to receive in the region of 25-30 annual monitoring submissions during the 2012/2013 cycle.		

Performance Indicator	Target for 2013	Assumptions	Responsibility
ARB to have processed responses to all queries regarding the UK's notifications to the European Commission within two weeks of receipt	100%	It is anticipated that the UK will make 2-3 notifications to the European Commission during the 2012-2013 cycle.	
ARB to have scrutinised and reviewed European notifications within the two-month consultation period set out in the European Commission's Notification Procedures	100%	In previous years, the number of European notifications has fluctuated widely. On the basis of European Commission data, up to 50 European notifications are due to be made during the latter part of 2012 and in 2013.	
Maintaining the standards of o	conduct and practice of architect ess	ts:	
Complaints in office – No. of weeks from date of receipt of a formal complaint to Investigations Panel referral or closure	80% referred to the Investigations Panel or closed withinsixteen weeks.	160 complaints are dealt with.	
Complaints with the Investigations Panel –No. of weeks from referral of case to issue of final decision	80% withintwelve weeks.	70 decisions are made.	
PCC Hearing date – No. of weeks from Investigations Panel final decision to production of Board solicitor's Report	80% withintwelve weeks.	30 reports are produced.	
PCC Hearing date – No. of weeks from receipt of Board solicitor's Report to PCC hearing	80% withintwenty weeks.	26 hearings are scheduled	

Performance Indicator	Target for 2013	Assumptions	Responsibility
Raising public awareness of the make informed choices	e Register and helping users ar	nd potential users of archite	cts' services to
Title complaints in office – No. of weeks from date of receipt to referral to Board's solicitor or closure	80% withinsixteen weeks.	600 investigations are undertaken	
Title complaints with Board's solicitor to conclusion -No. of weeks from date of referral to non-prosecution conclusion/summons	80% withintwelve weeks.	60 cases are referred to Board's solicitor.	
Online Register availability 24 hours a day, seven days a week	Online Register available via website at all times.	No major incidents which affect the ability of ARB as a whole to function occur during the year.	
Corporate functions			
Publish Annual Report and Accounts	Publish electronically withinsix months of the year end Clean audit report. Comply with FReM and accounting standards.		
Issue post-Board eBulletins	Issue eBulletins within five days of each Board meeting.		

Glossary

DCLG Department of Communities and Local Government

EEA European Economic Area

ENACA European Network of Architectural Competent Authorities FReM Financial Reporting Manual (Government document)

PQD Directive 2005/36/EC on the recognition of professional qualifications

PCC Professional Conduct Committee

Section G

ARB maintains a rolling programme of review for all of its policies and procedures. The following are the main major areas which ARB may consider in 2014/2015.

2014

- Review the Architects Code of Conduct and Practice [last reviewed in 2010].
- Triennial review of the Architects Act.
- Amendments to the Architects Act to reflect the Professional Qualifications Directive.
- Review of the Electoral Scheme.
- Review of the Staff Handbook.

2014/2015

- Review of the prescribed examination procedures [last reviewed in 2010]
- Implementation of the Professional Qualifications Directive.

2015

- Review of the criteria for the prescription of qualifications [last reviewed in 2011]
- Review of the procedure for the prescription of qualifications.

V4 Page 16