



# ARB Business Plan 2017

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The Architects Registration Board (ARB) was established by an Act of Parliament - the Architects Act – in 1997. ARB is both the independent statutory 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 four years, with the option of a second consecutive 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 of architects' services:** We will 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 architects through regulation:** We will maintain and publicly demonstrate the status of architects as competent, qualified professionals, and we will regulate use of the title "architect". We will 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 are committed to working in a transparent, open and accountable way, and our actions and approach to delivering our objectives should demonstrate this.

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

The 2017 Business Plan reflects those objectives and also moves forward the priorities identified by the Board for 2017-2020, which are detailed in the Statement of Priorities which is published on ARB's website.

#### **Format of the Business Plan**

The Plan for 2017 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.

#### **Reporting against the Business Plan**

An annual report showing our performance against the Business Plan is given at the first Board meeting after the year end. The management team keeps the plan under review on a monthly basis and also assesses and reports on 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 financial performance through the budget setting process and management accounts, which are provided to the Board four times a year.

## Section A - Maintaining the Quality of and Access to the Register

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. Digital by default.

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
1.	<b>Improve the accuracy of the Register</b>	<ul style="list-style-type: none"><li>▪ Further increase the use by registrants of online tools for updating details.</li><li>▪ Undertake an accuracy and quality review of the Register database.</li><li>▪ Implement email and telephone verification software across all self-service registration systems.</li></ul>	<p>2017 Budget Development Costs £15k</p> <p>Register grows by 2,000</p>	<ul style="list-style-type: none"><li>• A lower number of requests from registrants to update details manually</li><li>• A lower number of invalid email addresses added on the Register, resulting in a reduced number of undeliverable communications to registrants</li></ul>	<u>Priority A</u>
2.	<b>Continue to enhance online registration system, including further development of internal office systems</b>	<ul style="list-style-type: none"><li>▪ Continue to develop streamlined back office systems to support the online registration tool.</li><li>▪ Gather feedback from users and potential users of the system and make appropriate amendments to the system.</li></ul>	<p>2017 Budget Development Costs £50k</p>	<p>Enhanced back office system leading to shorter application processing times</p> <p>An increased understanding of how users view and use the system. Improved user journey if enhancements are</p>	<u>Priorities A/H/I</u>

## Section A – Maintaining the Quality of and Access to the Register

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<ul style="list-style-type: none"> <li>▪ Explore Plain English accreditation for the information provided in the system.</li> </ul>	<div style="border: 1px solid yellow; padding: 5px; text-align: center;"> <u>2017 Budget</u>  <u>£5Kk</u> </div>	<p>made supported by higher satisfaction levels</p> <p>Positive feedback that our communication is easily understood and system instructions are easy to follow</p>	
3.	<b>Provide an efficient and effective service to all enquirers</b>	Develop a more robust system for handling incoming email, capable of providing management information.	<div style="border: 1px solid yellow; padding: 5px; text-align: center;"> <u>2017 Budget</u>  <u>£10K</u> </div>	Increased efficiency, a reduction in the number of days to respond to enquiries, alongside enhanced management information on performance.	Priorities O/H
4.	<b>Undertake a fundamental review of the routes to registration.</b>  <i>Note: At its meeting of 15 September 2016, the Board will be asked to discuss and agree whether to hive off a review of its current interpretation of Section 4(1)b of</i>	<p>Undertake a review to:</p> <ul style="list-style-type: none"> <li>▪ Explore whether current arrangements remain fit for purpose and reflect current best practice.</li> <li>▪ Explore whether registration should continue to be qualifications-based and any implications for change at an EU and international level.</li> </ul>	<p>It is anticipated that a project scope for the review of routes to registration will be brought to the Board in the first half of 2017. The project scope will include the aims and objectives of the review; key milestones, measures of success and timeframes as well as details as to how the project will operate.</p>	<p>We will have:</p> <ul style="list-style-type: none"> <li>▪ Tested the basis for ARB's requirements for registration and explored whether changes can be made in order to widen access to the Register, whilst continuing to provide public confidence in the competence of those on the Register.</li> </ul>	Priorities A/F/H

## Section A – Maintaining the Quality of and Access to the Register

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
	<p><b>the Architects Act 1997; if the Board does decide to hive off such a review, this part of the Business Plan will need to be reviewed and adjusted accordingly. A revised version of Section A4 will be brought back to the Board at its November 2016 meeting as required.</b></p>	<ul style="list-style-type: none"> <li>▪ Consider whether alternative routes to registration would be viable and would widen access to the Register whilst maintaining standards of competence.</li> </ul>	<p>Development of any alternative routes to registration would take place in 2017/2018, which may involve major systems redevelopment work, and will need to be costed accordingly and at the appropriate time.</p> <p>The Review is likely to have an impact on a number of existing procedures, e.g., the Procedures for the Prescription of Qualifications; the Prescribed Examination Procedures, ARB's requirements for the maintenance of competence and ARB's Criteria. Depending on the outcomes of the Review, some of the above may also require review and adjustment ahead of ARB's current schedule of review for these areas.</p>	<ul style="list-style-type: none"> <li>▪ Considered whether alternative routes to registration are viable and continue to meet ARB's purpose and objectives and if so, have prepared a plan for the implementation of any alternative routes.</li> <li>▪ Engaged with all stakeholders and kept them informed of progress as the review develops.</li> <li>▪ Specific measures of success for key areas of the project scope will be identified and agreed as part of the sign off process for the project plan.</li> </ul>	

## Section A – Maintaining the Quality of and Access to the Register

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
			<p>Ring Fenced 2015 Legal advice cost and possible expert input £15k</p> <p>Possible additional funds may be required. Further information will form part of the project scope as referred to above.</p> <p>Ring Fenced 2016 Research funding £20k</p>		

## Section B – Maintaining the Qualifications of Architects

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 and Institutions 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	Link to Statement of Priorities 2017-2020
1.	<b>To have improved engagement 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 qualifications, and to maintain a high quality service for institutions, students and EU Member</b>	<p>To improve the promotion of the availability of the following services and to meet all reasonable requests for:</p> <ul style="list-style-type: none"> <li>▪ feedback sessions;</li> <li>▪ planning meetings;</li> <li>▪ university liaison sessions;</li> <li>▪ regular engagement with and liaison meetings with stakeholders;</li> <li>▪ speaking at relevant conferences/ forums;</li> <li>▪ Providing support for those seeking to list qualifications in Europe.</li> </ul>	<p>It is anticipated that there will be 60 (50-60 in 2016) university liaison visits during 2017 and up to 12 (10 in 2016) planning meetings, as well as a number of regular liaison meetings with key stakeholders. It is anticipated that 15+ institutions will seek to renew prescription and 8+ institutions will seek first time prescription for new qualifications; in addition we will receive around 50+ annual monitoring submissions. This reflects an increase on the figures for 2016.</p>	<p>Good relationships with key stakeholders are maintained and developed, as exhibited by individual and collective feedback. 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.</p>	Priorities A/O

## Section B – Maintaining the Qualifications of Architects

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
	<b>states.</b>	<ul style="list-style-type: none"> <li>▪ To improve and develop areas of ARB's website relating to prescribed qualifications/the student handbook as well as keeping them up to date.</li> </ul>			
2.	<p>On behalf of the UK and its capacity as the UK's Competent Authority for Architects, embed the revised notification process within ARB's procedures, and scrutinise and review European qualifications which are notified to the European Commission for listing under the PQD.</p>	<ul style="list-style-type: none"> <li>▪ Continue to embed the European Commission's revised process for the notification of qualifications within ARB's procedures</li> <li>▪ Ensure that the European Commission's deadlines for considering notifications are met on every occasion.</li> </ul>	<p>It is anticipated that approximately 50 EU notifications will need to be processed in 2017.</p> <p>It is anticipated that the UK will need to notify 4-5 new qualifications as well as several title changes.</p>	<p>ARB will have reviewed 100% of European notifications within the European Commission's deadlines, and complied with the requirements in this area.</p> <p>ARB will have dealt with all UK notifications within the European Commission's deadlines, and complied with the requirements in this area.</p>	<b>Priorities D</b>

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**Section B – Maintaining the Qualifications of Architects**

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## 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 Architect's 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	Link to Statement of Priorities 2017-2020
1.	<b>Ensure efficient processes which are fair to all in all aspects of complaints handling</b>	<ul style="list-style-type: none"> <li>▪ Review and improve all literature guidance to ensure they remain compliant with Best Practice</li> <li>▪ Integrate online complaints tool with ARB's internal investigations portal</li> <li>▪ Develop and increase the use of online feedback</li> </ul>	There are no developments arising from the Periodic Review which impact on the Third Party review system continuing to be the appropriate method or reviewing disciplinary procedures.	<p>All external facing guidance and literature is reviewed and updated as appropriate.</p> <p>Feedback is reported in an appropriate way, and demonstrable action taken in light of it where appropriate.</p>	Priorities B/G/H
2.	<b>Ensure the investigations process is running smoothly and offers a fair</b>	<ul style="list-style-type: none"> <li>▪ Ensure that the Investigations Panel and Professional Conduct Committee are</li> </ul>	The outcome of the Periodic Review does not require any legislative change that would substantially impact on the way in which investigations are undertaken.	<p>80% of Investigations Panel decisions are reached within 12 weeks.</p> <p>80% of Third Party Reviews find no further</p>	Priorities B/G/H

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

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
	process to all.	<p>adequately resourced and trained in best practice. The Investigations Oversight Committee is provided with appropriate information and maintains strategic overview of ARB's investigation processes.</p> <ul style="list-style-type: none"> <li>▪ Outdated Professional Standards database and IT system are replaced by a fit for purpose system.</li> </ul>	<p>The number of new complaints remains constant.</p> <p>External training will be provided to PCC &amp; IP members.</p> <div style="border: 2px solid blue; padding: 5px; margin-top: 10px;">                     Ring Fenced Spend                      Overall project cost £100k subject to the S14 review). Funds already allocated 2015/2016                 </div>	<p>action to be taken.</p> <p>No findings of 'no case to answer' at the PCC or adverse findings by Judicial Review.</p> <p>No successful appeals against PCC decisions.</p> <p>A fully operational and paperless IT system for investigations is put in place.</p>	
3.	<b>Review how ARB delivers its statutory obligations</b>	<ul style="list-style-type: none"> <li>▪ Seek views from all stakeholders as to how ARB's</li> </ul>	The Periodic Review produces its findings sufficiently early to allow this review to take place before the end of the year.	New Investigations & Professional Conduct Committee Rules are consulted on and	Priorities G

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

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
	<b>under section 14 to investigate allegations of unacceptable professional conduct and serious professional incompetence.</b>	<p>disciplinary regime might be improved.</p> <ul style="list-style-type: none"> <li>▪ Draft new rules and acquire Board approval for changes where appropriate.</li> <li>▪ Undertake three month formal consultation on proposed changes.</li> <li>▪ Publish new rules; provide training as necessary to those who deliver a service on behalf of ARB.</li> <li>▪ Ensure that guidance and standard correspondence is updated to</li> </ul>	<p>Government is clear as to any timetable for legislative change.</p> <div style="border: 1px solid blue; padding: 5px; margin-top: 10px;">           Ring fenced spend 2015.            15k Legal advice and interim amendments to systems, processes and rules.         </div>	<p>published to come into effect by 1 January 2018.</p>	

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

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		reflect changes to procedures			
4.	<b>Appoint new Investigations Pool members.</b>	<ul style="list-style-type: none"> <li>▪ Undertake an open and fair recruitment exercise to appoint architect and lay members of the Investigations Pool</li> <li>▪ Ensure that the appointments process adequately fulfils the skills balance required on the Pool</li> <li>▪ Provide induction and training to new members as appropriate.</li> </ul>	<p>The results of the Periodic Review do not include any measures which require a fundamental change to how complaints are investigated</p> <div style="border: 2px solid orange; padding: 5px; width: fit-content; margin-left: auto; margin-right: 0;">           2017 Budget.            £10k Recruitment &amp; training costs         </div>	<p>The Investigations Pool has sufficiently skilled membership to fulfil its duties</p> <p>The Investigations Pool continues to work effectively and seamlessly throughout the transitional period</p>	Priorities <b>B</b>

## 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	Link to Statement of Priorities 2017-2020
1.	Raise public awareness of the standards expected of architects.	<ul style="list-style-type: none"><li>▪ Ensure that the Code is embedded within all of the key communication documents published by ARB.</li><li>▪ Publish articles throughout the year highlighting the benefits of using a registered professional.</li><li>▪ Establish an internal task and finish group to explore ways in which public awareness can be raised, including establishing links with other organisations; reviewing the</li></ul>	A new Code of Conduct comes into force on 1 January 2017	<p>Evidence that promotion of the Code will have been considered in conjunction with all publications and communications. For web based communications, details about the number of clicks and views will be recorded</p> <p>Internal task and finish group to have developed and carried out action plan for raising public awareness of professional standards and developing links with relevant organisations</p> <p>Engagement strategy for consumer shows to have been developed.</p>	Priorities B/O

## 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	Link to Statement of Priorities 2017-2020
		material we publish; our attendance at consumer shows; and how our impact and reach in this area can be maximised.			
2.	<b>Uphold the value of the Register by increasing its use.</b>	<ul style="list-style-type: none"> <li>▪ Continue to increase awareness of the Register through online platforms.</li> <li>▪ Develop a strategic communications plan to keep the Register topical and in the public arena.</li> <li>▪ Develop relationships/partnerships with relevant organisations/groups to raise awareness of the Register through</li> </ul>		<p>Social media referrals to the Register increased by 10%.</p> <p>The number of Register searches increased by 5%</p> <p>Visits to the Register increased by 5%.</p> <p>All prosecutions launched done so in adherence with a consistent policy and concluded successfully</p>	Priorities C

## 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	Link to Statement of Priorities 2017-2020
	<ul style="list-style-type: none"><li>▪ advocacy.</li><li>▪ Review the misuse of the Board's Title policy and approach.</li><li>▪ Raise awareness of the purpose of prosecutions so that potential offenders are deterred and the public is informed</li><li>▪ Use all legal options available to deal with serious/repeat misusers of the title of architect.</li></ul>			

## 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	Link to Statement of Priorities 2017-2020
3.	<b>Encourage architects to promote their registered status to increase awareness and value of the Register.</b>	<ul style="list-style-type: none"> <li>▪ Explain to registrants the value of referring to their registered status.</li> <li>▪ Expand the Registrant's services secure area so that architects can have access to their details and embedded logo information in an attempt to further enhance public awareness of the register.</li> <li>▪ Increase links to the ARB Register via websites.</li> <li>▪ Establish an internal task and finish group to review registrants' services and</li> </ul>	<p>2017 Budget £10K</p>	<p>Downloads of ARB logo from website increased by 10% External links to the online Register increased by 10%. Internal task and finish group to have reviewed this area and progressed action points.  Improved understanding amongst architects of UK Regulatory requirements.</p> <p>Demonstrable increase in the understanding of the role of ARB and the regulatory landscape, along with information on UK context for those who did</p>	Priorities A/P

## 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	Link to Statement of Priorities 2017-2020
		<p>registrants' pages on the website</p> <ul style="list-style-type: none"><li>▪ Introduce an electronic 'welcome pack' for new registrants.</li></ul>	<p>not qualify in the UK.</p> <p>2017 Budget £5k</p>		

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## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
1.	<b>Continue to embed the requirement of the revised Professional Qualifications Directive (PQD).</b>	<ul style="list-style-type: none"> <li>▪ Continue to consider the outcome of the PQD legislative changes and determine whether any further changes may need to be made to appropriate ARB policies, requirements and documents.</li> <li>▪ Take legal advice and advice from DCLG and BEIS where necessary.</li> <li>▪ Analyse and cost any necessary system changes for 2018 budget.</li> <li>▪ Engage in discussions with stakeholders and ensure understanding of the changes.</li> <li>▪ Ensure information is readily available.</li> </ul>	<p>Extensive consultation with key stakeholders.</p> <p>Legal advice will be needed to ensure ARB's policies continue to remain compliant with the PQD.</p>	<p>Stakeholders are fully aware of the implications of the changes.</p> <p>ARB makes any relevant adjustments to its policies, requirements and documents so that they continue to remain compliant with the revised Directive.</p>	Priorities A

## Section E – Corporate Functions

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	<b>Area of Work</b>	<b>Actions</b>	<b>Assumptions and Cost Implications</b>	<b>Measures of Success</b>	<b>Link to Statement of Priorities 2017-2020</b>
2.	<b>Engage with the European Commission's review of the Professional Qualifications Directive.</b>	<ul style="list-style-type: none"> <li>▪ Continue to attend and engage with our European Stakeholders, e.g., ACE; ENACA</li> <li>▪ Continue to liaise with Government Departments, e.g., DCLG and BEIS</li> <li>▪ Consider the implications of any potential changes to the Directive</li> <li>▪ Ensure information is readily available to stakeholders</li> </ul>	The Architects Council of Europe has notified its member organisations that the European Commission could commence its next review of the PQD in 2017.	<ul style="list-style-type: none"> <li>▪ ARB is fully aware of the likely scale and timings of the review.</li> <li>▪ Stakeholders are aware of the review; any potential changes and the implications of these.</li> <li>▪ Staff will have continued to participate in key ACE/ENACA meetings/discussions.</li> </ul>	Priorities A
3.	<b>Managing risk.</b>	<ul style="list-style-type: none"> <li>▪ Audit Committee regularly reports to Board.</li> <li>▪ Internal audit function appropriately resourced and monitored.</li> <li>▪ Maintain reporting cycle of risk register and risk strategy from staff to Board level.</li> <li>▪ Monitor delivery</li> </ul>	<p>Audit Committee and Internal Audit function work at current level and have the same budget as 2016.</p> <p>No specific financial resources allocated for recommendations from Internal Audits.</p> <p>No additional work is specified as part of the Periodic Review.</p>	<p>Information provided to the Board on performance and risk is considered to be at the right level and provides an appropriate level of assurance.</p> <p>Internal audit continues to be robust and add value, as assessed by the Audit Committee and the management team.</p> <p>Emerging and live risks are sufficiently mitigated by the actions in place, or the level</p>	Priorities L

## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<p>against performance indicators (bi-annual), the Business Plan (annual), ARB's purpose and objectives (annual).</p> <ul style="list-style-type: none"> <li>▪ Ensure adequate reserves are maintained through review of reserves policy and maintenance of the policy minimum.</li> <li>▪ Effective reviews of policies to be considered in 2016.</li> <li>▪ Monitor the outcome of legal challenges for areas of improvement and trends, particularly where there may be a financial or reputational risk.</li> <li>▪ Consider</li> </ul>		<p>of risk is accepted as being within the Boards risk tolerance level.</p> <p>The level of reserves maintained provides the appropriate level of reassurance/ confidence to the Board, the Government and key stakeholders.</p> <p>Relevant policies are reviewed within expected time frame.</p> <p>Risks will have been adjusted on basis of the analysis of trend information and improvements.</p> <p>All members of staff will continue to have an understanding of the risks which could impact on ARB's work.</p>	

## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<p>implications and risk of any changes as consequence of the Periodic Review.</p> <ul style="list-style-type: none"> <li>▪ Continue to develop awareness amongst the staff team of the risks which could impact on ARB's work internally.</li> </ul>			
4.	<b>Maintain adequate and appropriately skilled staffing levels that are utilised effectively.</b>	<ul style="list-style-type: none"> <li>▪ Ensure sufficient staff resources are maintained to deliver statutory functions and the 2017 Business Plan in line with the Board's priorities.</li> <li>▪ Maintain staff development budget and encourage flexible working, and interaction with outside organisations to</li> </ul>	<p>Ensure financial resources are included in the budget to allow for temporary staff and appropriate cover during peak periods. Currently no additional resources have been factored in for the growing demand in areas of the organisation apart from the general staff budget, which is currently being used to find flexible resources.</p> <p>Additional resources will be required dependent upon the outcome of the Periodic</p>	<p>Maintain adequate staffing levels in 2017.</p> <p>Evidence of increased flexible working across the organisation to deliver statutory functions.</p> <p>A committed and engaged staff resource (Annual Engagement survey).</p>	<b>Priorities J</b>

## Section E – Corporate Functions

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<p>further enhance knowledge, skills and engagement.</p> <ul style="list-style-type: none"> <li>▪ Continue to cultivate an environment that supports engagement and encourages team members to reach their full potential.</li> <li>▪ Ensure that pay and reward is competitive and attracts and retains high calibre staff.</li> <li>▪ Continue to build on ARB's people strategy and key succession planning policy</li> <li>▪ Introduce online expenses system</li> <li>▪ Replace Human Resources Software.</li> </ul>	<p>Review and the commencement of the Routes to Registration.</p> <p>No additional resources have been factored in for 2017. However, provision is held within reserves that were set aside in 2014 but not utilised, due to the delay in the outcome of the Periodic Review.</p> <div data-bbox="855 1108 1102 1224" style="border: 1px solid yellow; padding: 5px; width: fit-content; margin-bottom: 10px;"> <p>2017 Budget Development costs £3K</p> </div> <div data-bbox="855 1240 1102 1356" style="border: 1px solid yellow; padding: 5px; width: fit-content; margin-bottom: 10px;"> <p>2017 Budget Development costs £5K</p> </div>		

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## Section E – Corporate Functions

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<ul style="list-style-type: none"> <li>—</li> <li>▪</li> </ul>			
5.	<b>Deliver the recommendations resulting from the Periodic Review and maintain Government and Stakeholder confidence.</b>	<ul style="list-style-type: none"> <li>▪ Respond to outcome of review and develop an implementation plan, if appropriate.</li> <li>▪ Ensure there are sufficient resources in place, to deliver relevant outcomes.</li> </ul>	<p>A provision was set aside during 2014 and is being held within reserves to be used once the outcome is known. Any additional funding will need to be approved by the Board as per the Scheme of Decision Making.</p> <p>Consideration as to the impact of other areas of work, planned for 2017, will need to be reassessed, with proposals brought to the Board for agreement.</p>	<p>Statutory functions delivered efficiently and effectively, alongside any requirement for the organisation to change.</p> <p>Successful development of an Operational Plan once the outcomes of the Review are known. Stakeholder satisfaction with ARB's communications around the Periodic Review</p> <p>Continue to place updates about the Periodic Review into the public domain.</p>	<b>Priorities M</b>
6.	<b>Efficient financial management.</b>	<ul style="list-style-type: none"> <li>▪ Clear budget setting process agreed and understood by Board.</li> <li>▪ Regular monitoring of outcomes against budget, along with forward</li> </ul>	The budget setting and monitoring process remains unchanged.	<p>Deliver ARB's work as set out in the 2017 Business Plan within budget.</p> <p>To deliver the 2017 fee process efficiently, with clear and timely communication, with registrants who are aware</p>	<b>Priorities J/L</b>

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## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<p>planning, horizon scanning and early warning alert mechanism of variances to the Board.</p> <ul style="list-style-type: none"> <li>▪ Prompt notification of fees.</li> <li>▪ Alignment of budget to Business Plan, including capital expenditure projects.</li> <li>▪ Provide 3 year forecasts to capture longer term financial obligations.</li> <li>▪ Develop a property strategy.</li> <li>▪ Annually Review the Boards Investment Strategy and the of the Investment and Management arrangement.</li> </ul>		<p>of the fee cut-off date, resulting in a lower number of registrants being removed for non-payment than in 2016.</p> <p>An informed Board, which is provided information in a concise way, enabling them to govern the organisation effectively.</p> <p>To have in place a project plan for reviewing ARB's premises options.</p> <p>Have in place an agreed investment strategy.</p>	

## Section E – Corporate Functions

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	<b>Area of Work</b>	<b>Actions</b>	<b>Assumptions and Cost Implications</b>	<b>Measures of Success</b>	<b>Link to Statement of Priorities 2017-2020</b>
7.	<b>Compliance with legal obligations.</b>	<ul style="list-style-type: none"> <li>▪ Health and safety.</li> <li>▪ Employment requirements.</li> <li>▪ Data handling.</li> <li>▪ PAYE.</li> </ul>	<p>Regular reviews as required by law.</p> <p>Compliance with relevant legislation.</p> <p>Legal advice when required.</p>	<p>No adverse health and safety incidents taking place during 2017.</p> <p>Implement any required change to procedures and processes as required</p>	Priorities I
8.	<b>IT strategy.</b>	<ul style="list-style-type: none"> <li>▪ Keep under regular review the strategic IT development plan, maximising digital and self-service opportunities.</li> <li>▪ Understand the ongoing needs and vision for the organisation, including a strategy on continuous improvement and efficiency savings through the use of technology.</li> <li>▪ Increase the use of the organisation's website and online tools.</li> </ul>	<p>Identify costs, and long term savings, ensuring resources are available to execute the plan.</p>	<p>Internal and external systems remain stable with no down time.</p> <p>External systems remain accessible and fit for purpose, and responsive to any feedback received.</p> <p>The IT strategy continues to support the objectives of the organisation and deliver efficiencies. Increased number of visits to the website and use of online tools such as the online application portal.</p> <p>The pros and cons involved in moving the Board and its Committees' papers on-line will have been fully</p>	Priorities I

## Section E – Corporate Functions

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<ul style="list-style-type: none"> <li>▪ Explore the possibilities and implications involved in moving ARB's Board and Committee papers on-line.</li> </ul>		explored.	
9.	<b>Explore and take up opportunities to work with stakeholders and partners to deliver ARB's objectives.</b>	<ul style="list-style-type: none"> <li>▪ Actively seek opportunities for working with a wider range of stakeholders.</li> <li>▪ Build partnerships with others to influence the regulation of architects to protect consumers.</li> </ul>	Use of internal resources/ no additional resources required.	Demonstrable evidence of broader working relationships with Stakeholders and Partners from the built environment, consumer and regulatory sectors.	Priorities O
10.	<b>Respond to, and advise on European legislation that affects the regulation of architects.</b>	<ul style="list-style-type: none"> <li>▪ Monitor EU legislation in terms of ARB's objectives / statutory functions.</li> <li>▪ Consumer Directive</li> <li>▪ ADR Directive</li> <li>▪ Data protection</li> <li>▪ Services Directive</li> </ul>		<p>ARB will have responded to relevant consultations as appropriate.</p> <p>Staff will be aware of relevant developments, report these to the Board, ensure they are taken into account when taking strategic decisions and,</p>	Priorities D/O

## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<ul style="list-style-type: none"> <li>▪ Implement a communications plan to ensure architects are informed.</li> </ul>		<p>where appropriate, communicated to architects.</p>	
11.	<b>To continue to improve governance arrangements within the organisation and ensure that they are aligned with best practice.</b>	<ul style="list-style-type: none"> <li>▪ Undertake a Board and Committee effectiveness review, and implement any actions from the previous year's review.</li> <li>▪ Ensure the Board has sufficient, evidence based, timely information, on which to make informed decisions.</li> <li>▪ Be alert to best practice in the arena of governance and recommendations on how to continually improve.</li> <li>▪ Ensure Board</li> </ul>	<p>Resourced internally.</p>	<p>Outcomes of effectiveness reviews will be actioned and taken forward as appropriate.</p> <p>A revised ARB/DCLG Framework Agreement will have been published.</p> <p>A revised version of the Board's Code of Conduct will have been included in the Board Handbook.</p> <p>The Board's appraisal process will have been reviewed and any revisions rolled out.</p> <p>A review of the Board's General Rules will have been undertaken with a view to publishing an updated set of</p>	<b>Priorities</b> L

## Section E – Corporate Functions

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<p>membership continues to comply with the requirements of the Act; induct new Board members as appropriate.</p> <ul style="list-style-type: none"> <li>▪ Conclude the review of the ARB/DCLG Framework Agreement.</li> <li>▪ Conclude the review of the Board's Code of Practice.</li> <li>▪ Review the Board appraisal process</li> <li>▪ Review the Board's General Rules.</li> </ul>		<p>Rules in 2018.</p> <p>Governance arrangements will be kept up to date, reviewed where appropriate, and adjusted to meet best practice.</p>	
12.	<b>Continue to review, develop and implement our equality and diversity action plan.</b>	<ul style="list-style-type: none"> <li>▪ Review and amend the plan as required taking into consideration best practice in this area including moving to an inclusion policy.</li> <li>▪ Collect and analyse Equality and</li> </ul>	<p>Ongoing collection of data as launched in 2015.</p> <div style="border: 2px solid orange; padding: 5px; margin-top: 10px;"> <p>2017 Budget External E&amp;D training for external advisors/examiners provided within appropriate budgets</p> </div>	<p>Annually published data which is of value to the Board and other stakeholders.</p> <ul style="list-style-type: none"> <li>▪ Equality and Diversity Implications considered as part of all policy discussions based on data</li> </ul>	<b>Priorities E/K</b>

## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<p>Diversity data, and utilise the information to influence policy decision making.</p> <ul style="list-style-type: none"> <li>▪ Make the data fully available to assist others in their policy information gathering.</li> <li>▪ Undertake project to consider how to make consultations more accessible.</li> <li>▪ Review and ensure that ARB is collecting appropriate and relevant data.</li> <li>▪ Ongoing training for staff, Board and those who assist delivery of the organisations objectives.</li> </ul>		<p>where appropriate</p> <ul style="list-style-type: none"> <li>▪ 5% Increase in the Equality and Diversity information held in relation to registrants.</li> </ul>	
13.	<b>Manage ARB's reputation to ensure there is public</b>	<ul style="list-style-type: none"> <li>▪ Raise the profile of ARB's role, in order to communicate the role of</li> </ul>	<p>Use of internal resources. Consumer shows budget</p>	<p>Understanding of key regulation and consumer/client issues, which assists the decision</p>	<b>Priorities B/G/O/P</b>

## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
	<b>confidence in the regulation of architects.</b>	<p>regulation.</p> <ul style="list-style-type: none"> <li>▪ Strengthen our relationships in the regulation and consumer sectors.</li> <li>▪ Gather feedback from those that use our services, to ensure we are offering relevant and accessible services in a way which adds value.</li> <li>▪ Deliver a communication plan which raises awareness of the role of ARB, in particular the public Register of Architects.</li> <li>▪ Communicate the value of using a registered architect to enhance public/consumer/client understanding.</li> <li>▪ Attend relevant consumer events to</li> </ul>	remains the same as 2016.	<p>making of the Board.</p> <p>Clear understanding of ARB's performance and service delivery through wide ranging feedback.</p> <p>Publish measureable key performance indicators, and report against them biannually.</p> <p>Increased use of Search the Register facility through enhanced awareness of its value, enabling consumers to make informed choices.</p> <p>External communications reinforce message of ARB's regulatory work.</p> <p>No high profile regulatory failures leading to public criticism.</p>	

## Section E – Corporate Functions

	<b>Area of Work</b>	<b>Actions</b>	<b>Assumptions and Cost Implications</b>	<b>Measures of Success</b>	<b>Link to Statement of Priorities 2017-2020</b>
		raise awareness of ARB's role and the public Register, through exhibiting and speaking opportunities.			
<b>14.</b>	To respond to the Government's advice and guidance regarding the UK's departure from the EU	<ul style="list-style-type: none"> <li>▪ Provide Government with information as requested on the current regulatory regime, facts and figures</li> <li>▪ Respond to the advice and guidance provided by the Department for Communities and Local Government regarding any proposed changes to ARB'S role and responsibilities .</li> </ul>	<p>Resourced internally.</p>	<p>Positive feedback from the Department for Communities and Local Government on responsiveness and quality of information provided.</p> <p>Successful embedding of any legislative changes into ARB's operations and strategy</p> <p>Regular updates sent to the profession and other stakeholders at appropriate intervals and website FAQs reviewed and updated on regular basis.</p> <p>Feedback from stakeholders, including profession, public and competent authorities as to quality and timeliness</p>	<b>Priorities N</b>

## Section E – Corporate Functions

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	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	Link to Statement of Priorities 2017-2020
		<ul style="list-style-type: none"> <li>▪ To ensure any changes to legislation are enacted with minimal disruption to ARB's work</li> <li>▪ To ensure that the profession and public are kept up to date with how the UK's departure from the EU will affect ARB's core activities and function through communications, and website FAQs</li> <li>▪ To liaise with other EU competent authorities as and when appropriate</li> </ul>		of communications and updates.	

## 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.

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Performance Indicator	Target for 2017	Assumptions	Notes
<b>Maintaining the quality of the Register: Processing of registration applications</b>			
<b>Applications received through the UK route to registration processed within 15 working days.</b>	90% of applications processed within 15 working days.		No amendments made to targets due to increased number of applicants.
<b>Applications received through the automatic European route to registration processed within 15 working days.</b>	90% of applicants processed within 15 working days.		No amendments made to targets due to increased number of applicants.
<b>Reinstatements &amp; Readmissions.</b>	90% re-instatements and readmissions processed within 5 working days.		No amendments made to target due to overall increase in workload.
<b>Maintaining the qualifications of architects: Processing applications for the prescription of qualifications and listing of qualifications at EU level</b>			
<b>Average no. of weeks to complete initial scrutiny of prescription applications.</b>	95% in 2 weeks		We typically complete our initial checks within 2 weeks
<b>Average no. of weeks taken between an application being received to it being considered by the Committee for the first time.</b>	95% within 7 weeks		The current average is consistently around 7 weeks
<b>Average no. of weeks taken for an annual monitoring submission to be considered by the Committee for the first time.</b>	95% within 6 weeks		The current average is consistently under 6 weeks

Performance Indicator	Target for 2017	Assumptions	Notes
<b>ARB to have processed responses to all queries regarding the UK's notifications to the European Commission within two weeks of receipt.</b>	100%		

Section [FE – Corporate Functions](#)[Key Performance Indicators](#)

ARB to have scrutinised and reviewed European notifications within the two-month consultation period set out in the European Commission's Notification Procedures.	100%		
<b>Maintaining the standards of conduct and practice of architects: Managing the complaints process</b>			
Complaints in office – No. of weeks from date of receipt of a formal complaint to Investigations Panel referral or closure.	80% within 16 weeks	160 complaints received	
Complaints with the Investigations Panel – No. of weeks from referral of case to issue of final decision.	80% within 12 weeks	75 decisions issued	
PCC Hearing date – No. of weeks from Investigations Panel final decision to production of Board solicitor's Report.	80% within 12 weeks	30 reports produced	
Professional Conduct Case Hearing date – No. of weeks from receipt of Board solicitor's Report to PCC hearing.	80% within 12 weeks	28 PCC cases	

Performance Indicator	Target for 2017	Assumptions	Notes
<b>Raising public awareness of the Register and helping users and potential users of architects' services to make informed choices</b>			
Title complaints in office – No. of weeks from date of receipt to referral to Board's solicitor or closure.	80% in 16 weeks	260 cases	
Title complaints with Board's solicitor to conclusion - No. of weeks from date of referral to non-prosecution conclusion/summons.	80% in 12 weeks	14 cases	
Online Register availability 24 hours a day, seven days a week.	95% availability time		
<b>Corporate functions</b>			
Publish Annual Report and	Publish electronically within six		

## Section [FE – Corporate Functions](#)[Key Performance Indicators](#)

<b>Financial Statements.</b>	months of the year-end.  To receive an unqualified audit opinion.  Comply with the Financial Reporting Manual requirements and appropriate accounting standards.	No new requirements under the Financial Reporting Manual requirements	
<b>Issue post-Board eBulletins.</b>	Issue eBulletins within five days of each Board meeting.  Increase sign up to eBulletin by 10% during 2017.		

### Glossary

BEIS	Department for Business, Energy and Industrial Strategy
DCLG	Department for 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 mutual recognition of professional qualifications
PCC	Professional Conduct Committee

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 2017 and beyond: