



ARB Business Plan 2019

Section A – Organisational Excellence

	Area of Work	Actions for 2019	Progress against objective (July 2019)
1	Integrating a new Board	Support the MHCLG in recruiting and appointing a newly appointed Chair and ten Board members in line with the revised Act	We have completed this activity.
		Provide an effective induction for the newly appointed Chair and Board	We have partially completed this activity; further briefing and development sessions have been planned for the remainder of the year.
		Put in place a revised Board and committees structure without significant disruption to ARB's work	The Prescription and Audit Committees are currently operational in order to keep disruption to a minimum. We are currently in the process of undertaking an internal governance review, which is due to report to the Board in September. Some aspects of the review have been accelerated and will be considered by the Board in July.
		Formulise a revised governance structure and relevant supporting documents including amended General Rules, templates, appraisal process and Board Handbook	As above.
		Carry out an annual engagement survey and set out a plan for dealing with any additional actions that arise from feedback	This is scheduled to take place at the end of 2019.
		Identify and manage risks surrounding the transition to the newly appointed Board	We have undertaken activity in identifying the risks associated with inducting the new Board and ensuring that we can fulfil our statutory duties.
		Carry out an internal audit of the revised governance arrangements and manage all residual risks identified	This has been scheduled for 2020, once the revised governance structure has been established and bedded in.
2	Delivering an IT strategy which will provide efficiencies both in cost and time	Develop digital systems to support the end to end registration process and any changes made to the prescribed examination procedures	<p>We are currently developing the specification for a tendering exercise for the digital end to end registration system.</p> <p>The prescribed examination review remains on hold, pending the outcome of the review of criteria.</p>

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		Research and introduce digital systems to support the Board and committees, including the introduction of paperless Board packs	<p>Online Board portal (Diligent) now fully operational for all Board papers. Still considering options for a Board messaging system.</p> <p>An online expenses/ attendance claim system is also in final stages of development and will be rolled out in the second half of 2019.</p>
		Develop digital systems to support the revised prescription process	We are currently in the process of scoping and developing a specification for this project.
		Establish a cross-department working group to assess the ongoing technology needs of the organisation	We have established a cross-department IT group focussing on our document storage and retention.
3	Ensuring that ARB has a properly resourced, competent and motivated staff team	Recruit and induct any additional key personnel	<p>Since the start of the year we have successfully on-boarded 4 new members to the team. This is 1 x permanent member of the team and 3 x fixed term contracts.</p> <p>One of the fixed term staff left after three months for a permanent position and recruitment is currently underway to appoint to this role.</p>
		Put in place a succession plan to cover the loss of key personnel	The existing succession planning policy will be reviewed in the second half of 2019
		Carry out annual staff survey	<p>The annual staff survey was carried out in January 2019.</p> <p>The overall results were very positive with a clear indication that ARB is a good place to work. The four areas identified for further improvement are: providing feedback, work/life balance, the induction process and personal development.</p>

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4	Having in place a financial plan which allows for the delivery of ARB's obligations without placing undue burdens on the profession.	Undertake a review of the organisation's financial requirements in light of the requirements of Brexit and the Hackitt Working Group	In 2018 £200k was set aside to support the delivery of these areas of work. As of June 2019, £168k had been spent. It is anticipated that an additional £40k-£50k will be required which we believe can be covered through the additional income and savings within other budget headings.
		Develop a three year budget aligned to the organisation's strategic objectives and three year business plan	A high level budget was produced and presented to the Board in 2018 for the 2019 budget. Work is underway on developing a budgeting strategy and will factor in the development of a budget that fits along the same time scales as the Strategic Objectives.
		Review ARB's investments strategy and broker arrangements	During the summer of 2019 a tender exercise will be undertaken to appoint a financial advisor to support the Board in setting an investment strategy and tendering of the broker service.
5	Reviewing our key performance indicators to ensure that the measures we use to demonstrate success are transparent and challenging.	Undertake a review of the current standards of success and whether they remain appropriate	We have commissioned research into how comparable organisations across different industries report on their impact. Cross-department staff working group has been established to review what information we collect and how we report it.
		Consider any changes made to key areas of our strategy and whether the outputs we measure remain appropriate	A report recommending any changes to our KPIs and reporting processes will be brought to the Board before the end of 2019.
6	Ensuring that those who undertake work for us are competent, reflect our values, and provide value for money	Recruit, appoint and train new Professional Conduct Committee members	Recruitment postponed to allow for a governance review. Existing PCC members have been appointed for a further 12 months and will continue to be provided with appropriate training.
		Review whether ARB should employ an in-house lawyer for general legal advice	Review carried out, and concluded that ARB would be better served by employing a range of external legal providers to provide specialist advice.
		Carry out legal services tenders for PCC and general legal services	Preparation of tender documents has begun, with tender due to commence in late summer. Contracts expected to be awarded at the end of 2019/start of 2020.

Section A – Organisational Excellence

	Area of Work	Actions for 2019	Progress against objective (July 2019)
		Put in place a 'universal' code of conduct for all of those acting on ARB's behalf	Not yet commenced.

Section B – Exit from the European Union

	Area of Work	Actions for 2019	Progress against objective (July 2019)
7	Ensure that ARB is able to operate effectively during any implementation period and post EU-exit	Identify the key risks and opportunities arising from EU-exit	We have undertaken periodic exercises to identify hazard and opportunity risks associated with EU exit. We have maintained a dedicated EU Exit Risk Register. In line with Government direction we are exploring opportunities for future mutual recognition agreements which may arise further to the UK's exit from the EU.
		Put in place contingency plans in Registration and Qualifications if no deal is secured and mutual recognition of qualifications ceases in March 2019	We put plans in place for a No Deal exit from the EU, including writing out to all registrants in March to explain the implications. We continue to plan for the potential of a No Deal exit from the EU in October 2019.
		Take key policy decisions to ensure that the organisation can continue to carry out its statutory functions	On hold pending clarity on the progress of Brexit
		Ensure that any changes to legislation and policy position are reflected in procedural change at an operational level	On hold pending clarity on the progress of Brexit
		Provide clear ongoing guidance to our stakeholders on the impact of Brexit	<p>We wrote to all registrants in March 2019 urging them to contact us should they have concerns about their status resulting in a 270% increase in email queries. We have developed a dedicated area of our website to Brexit, and provided updates via the eBulletin.</p> <p>We have provided regular updates to other stakeholders who may be impacted, such as the schools and students of architecture.</p> <p>We have maintained positive working relationships with our counterparts in other European Member States and kept them up to date with developments.</p> <p>We have attended MHCLG led roundtable events across the UK to engage with architects.</p>

Section B – Exit from the European Union

	Area of Work	Actions for 2019	Progress against objective (July 2019)
		Discuss the establishment of mutual recognition agreements with other countries, if legislation permits.	We continue to hold high level discussions with our counterparts in Australia, New Zealand and the USA and have established a small working group to assist with the comparison of our respective prescription and registration requirements.
		Ensure the Board is briefed to ensure any key decisions relating to mutual recognition agreements or changes to the requirements for entry to the Register	Initial high level briefings on Brexit and potential impacts and work on mutual recognition agreements undertaken as part of Board induction.
		Maintain Risk Registers throughout the year	We continue to operate and update a separate Brexit risk register, we have engaged with MHCLG on its contents and have consulted members of the internal Brexit working group to ensure significant risks are identified on an ongoing basis.

Section C – Fit for purpose Register of Architects

	Area of Work	2019 Actions	Progress against objective (July 2019)
8	Undertake a review of how individuals can gain access to the Register of Architects	Explore whether current arrangements remain fit for purpose and reflect current best practice once we understand the impact of the UK's exit from the EU and any potential mutual recognition agreements	Whilst our review of routes to registration remains on hold due to the UK's pending exit from the EU, we have established an internal working group collating views and information we receive about our current routes to the Register.
		Consider whether alternative routes to registration would be viable and would widen access to the Register whilst maintaining standards of competence	As above.
9	Carry out a review of how architects' ongoing competence should be regulated	Seek advice on ARB's current powers to monitor competence of applicants and registrants	Research has begun in this area, with a strategic Board discussion planned for Autumn.
		Commission a task and finish group to carry out work into the outcomes of the review into the 'competence' of professionals that has arisen from the Hackitt Review	To follow Board's strategic discussion.
		Ensure the Board are able to make a sound decision on the future direction of travel where the 'competence' of architects is concerned	Research has begun in this area, with a strategic Board discussion planned for Autumn.
		Set a strategy for applying any procedural changes that follow from the Board's decision	Pending any Board decision on how it wants to monitor competence.

Section D – Strong Relationships

	Area of Work	Actions for 2019	Progress against objective (July 2019)
10	Devise and deliver a modified strategy to raise awareness of the Register of Architects	Employ additional staff resource into title regulation	Title Regulation Officer recruited, leading to a 100% increase in title investigations. Public Awareness Lead recruited in January but resigned in May. Replacement currently being sought to continue the project work.
		To devise a more proactive strategy for raising awareness of the Register of Architects	Strategy devised; project manager now being sought to deliver the objectives over the next 18 months.
11	Identify the needs of our stakeholders, and measuring our success in meeting them	Conclude stakeholder research project	Contact development and question design work begun with first agency. Contract terminated in March. Second agency engaged in March and results expected in Autumn 2019.
		Create and deliver a stakeholder engagement strategy	An interim Stakeholder Engagement Plan is being developed to inform current activities. This Plan will be revised as appropriate once we have the results of the Stakeholder Research project and in light of any changes to our strategic direction made by our new Board.
		Establish a methodology for measuring the impact of future engagement	To be commenced once results of stakeholder research project are known.

Section E – Key Performance Indicators

We have performance indicators for all areas of work, which are monitored by both the management team and the Board. We aim to have reviewed and made any necessary amendments to the key performance indicators by the end of 2019 as set out in Section A of the report.

Traffic Light Benchmarks:	
KPI met/exceeded	14
KPI met within 20%	4
KPI not met >20%	2

Performance Indicator	Target for 2019	2019 Performance	Notes
Maintaining the quality of the Register:			
Processing of registration applications			
Applications received through the UK route to registration processed within 15 working days.	90% of applications processed within 15 working days.	95%	
Applications received through the automatic European route to registration processed within 15 working days.	90% of applicants processed within 15 working days.	82%	A 56% increase in EU applicants, largely as a result of Brexit concerns. The majority of these applications were submitted under the pressure of the 31 March Brexit deadline and were incomplete, consequently causing delays.
Reinstatements & Readmissions.	90% reinstatements and readmissions processed within 5 working days.	97%	
Maintaining the qualifications of architects:			
Processing applications for the prescription of qualifications and listing of qualifications at EU level			
Average no. of weeks to complete initial scrutiny of prescription applications.	95% in 2 weeks	100%	
Average no. of weeks taken between an application being received to it being considered by the Committee for the first time.	95% within 7 weeks	100%	

Section E – Key Performance Indicators

Average no. of weeks taken for an annual monitoring submission to be considered by the Committee for the first time.	95% within 6 weeks	83%	Six submissions of 36 received in the first half of the year were not considered within six weeks. Three of these were due to the institution missing their deadline to submit and the other three were due to internal workload commitments. All submissions were considered by the Committee within 8 weeks of receipt.
Process responses to all queries regarding the UK's notifications to the European Commission	100% within 2 weeks	100%	
Scrutinise and review European notifications within the consultation period set out in the European Commission's Notification Procedures.	100% within 2 months	100%	

Section E – Key Performance Indicators

Performance Indicator	Target for 2019	2019 Performance	Notes
Maintaining the standards of conduct and practice of architects: Managing the complaints process			
Cases in office – Time from standard of acceptance met to Investigations Panel referral or closure.	80% within 12 weeks	90%	25% increase in number of cases (112 cases)
Cases with the Investigations Panel – Time from referral of case to issue of final decision.	80% within 12 weeks	87%	88% increase in number of cases (47 IP decisions reached)
Solicitor stage – Time from case sent by ARB to production of Solicitor's Report.	80% within 12 weeks	67%	Only three reports in total.
Professional Conduct Case Hearing date – time from receipt of Solicitor's Report to PCC hearing.	80% within 17 weeks* * Cases closed under the previous PCC Rules (before 1 February 2019) were subject to a 16 week target	20%	Five PCC cases scheduled. The drop in compliance (last reported at 81%) is due to the absence of a PCC between January and April 2019 due to a change to the Architects Act. Because our Rules require certain notice periods before hearings can be listed, in practice meant there could be no hearings from January until June.
End-to-end case completion – Time from standard of acceptance being met to PCC outcome.	80% within 57 weeks* *Cases closed under the previous PCC Rules (before 1 February 2019) were subject to a 56 week target	29%	Seven concluded PCC cases in total. Four cases relate to the same architects. Three of those cases were placed on hold pending the investigation of the fourth.

Section E – Key Performance Indicators

Performance Indicator	Target for 2019	2019 Performance	Notes
Raising public awareness of the Register and helping users and potential users of architects' services to make informed choices			
Title complaints in office – No. of weeks from date of receipt to referral to Board's solicitor or closure.	80% in 16 weeks	99%	90% increase in the number of cases (464 cases). This is due to a fixed-term extra staff resource being committed in this area.
Title complaints with Board's solicitor to conclusion - No. of weeks from date of referral to non-prosecution conclusion/summons.	80% in 12 weeks	78%	Nine cases in total.
Online Register availability 24 hours a day, seven days a week.	95% availability time	100%	

Performance Indicator	Target for 2019	2019 Performance	Notes
Corporate functions			
Publish Annual Report and Financial Statements.	Publish electronically within six months of the year-end.	Published on 28 June 2019 after being laid in Parliament on 27 June 2019.	
	To receive an unqualified audit opinion.	As outlined in the published financial statements ARB received an unqualified audit opinion.	
	Comply with the Financial Reporting Manual requirements and appropriate accounting standards.	The external auditors, as part of the year-end audit check compliance with the Financial Reporting Manual requirements and appropriate accounting standards. No areas of concerns have been raised.	
Issue post-Board eBulletins.	Issue eBulletins within five working days of each Board meeting.	April and May eBulletin both published within target timescale	

Glossary

KPI	Key Performance Indicator
MHCLG	Ministry of Housing, Communities and Local Government
PCC	Professional Conduct Committee