



End of year report on delivery January to December 2014

The assessment uses the traffic light system to record whether ARB has delivered.



ARB has delivered



ARB has delivered the majority of the item, with the balance of work to be concluded in 2015/ or further improvements to be made on the set target



ARB has not delivered the planned item nor delivered the majority of the item

This report covers the period from 1 January to 31 December 2014.

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.

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	End of Year Assessment
1.	Improve the accuracy of the Register by improving the timescales for updating information. (Second year of three year project).	<ul style="list-style-type: none"> Increase the use of online tools for updating details. 	Continue to improve and enhance the system to ensure maximum effectiveness.	80% of change of detail requests received through online tool (60% in 2013). 90% of change of detail requests processed within three days.	<p>Registrants are encouraged to update their details online rather than via post or email and continue to look at ways to make the ID code more readily available.</p> <p>79% of changes of addresses were received online. 62% of requests were processed within three days.</p> <p>(Part of measure of success not met; met 62% not 90%)</p> 
2.	Promote further use of online registration forms. (Second year of three year project)	<ul style="list-style-type: none"> Enhance promotion of the system. Respond to feedback on improvements to the system. 		Further increase in the number using the online facility to register. 90% of all applications received via the online facility (80% in 2013).	<p>The website has been amended so that the option to apply online is more prominent. 85% of applications were received online (this represents an increase of 5% from 2013).</p> <p>Feedback and statistics confirm that the Registration web pages are the most visited after the homepage and the Register.</p> <p>A newly developed ‘route finder’ has been developed to enable</p>

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					<p>registrants to find their way through ARB’s routes to registration more easily.</p> <p>Online video instructions are now on the website to assist applicants who have to apply via the Competency Standards Route (for Registrants who have been off the Register for more than 2 years or passed their part 3 after more than 2 years). Messages via Social Media have been used to encourage applicants to apply online.</p> <p>(Part of measure of success not met, met 85% not 90%)</p> 
3.	<p>Provide an efficient and effective service to all enquirers.</p>	<ul style="list-style-type: none"> • Ensure our online resources are readily available and are easy to understand and use. • Increase use of online chat and availability of online information, interactive media and feedback mechanisms. • Provide timely responses to queries. 	<p>Increased level of enquiries due to enhanced profile of the Register. This will be offset by savings made through the use of online systems.</p>	<p>Gather feedback and statistical information that demonstrates we are efficient and effective.</p>	<p>Feedback is gathered through an electronic survey tool and is used to inform developments to our online resources.</p> <p>Data collected between January and September 2014 has been considered, actioned and amendments and improvements to the online portal have been made accordingly. Feedback is currently being collected and analysed for the period between Oct and December 2014 and relevant action will be taken to continue the cycle of improvement to this area</p>

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					<p>of our website.</p> <p>The increase in architects updating their details online is leading to increased accuracy of the Register with updates being carried out in a timely manner.</p> <p>Online chat is used as a benefit to enquirers. Other forms of communication are be used to ensure the right information can be provided in a timely manner. 918 enquiries were dealt with via online chat,3% less than in 2013.</p> <p>We will have fully achieved our objectives in this area by the end of 2014.</p> 
4.	<p>Scope a fundamental review of the routes to registration. (First stage of project).</p>	<p>Project planning to deliver the following in 2015-2016:</p> <ul style="list-style-type: none"> • Explore whether current arrangements remain fit for purpose and reflect current best practice. • Explore whether registration should continue to be qualifications-based and any implications for change at an EU and international level. • Consider whether alternative routes to registration would be viable and would widen 	<p>This project will span over two to three years and will be a fundamental review of registration under the terms of the current legislation. The project will be scoped in 2014 for commencement in 2015.</p> <p>Development of any alternative routes to registration would take place in 2015/2016, which would involve major systems redevelopment work, which would be costed at the time.</p>	<p>The scope and plan of work is ready to action in 2015. The following stages will seek to:</p> <ul style="list-style-type: none"> • Test the basis for ARB’s requirements for registration and explore whether changes could be made in the future to widen access to the Register, whilst providing public confidence in the competence of architects. • Consider whether alternative routes to registration would be viable and continue to meet ARB’s purpose and objectives. 	<p>A project scope and plan of work was developed and was presented to the Board in November 2014.</p> <p>This stage of the project has completed within the scheduled deadlines.</p> 

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		access to the Register whilst maintaining standards of competence.	The scoping of this project will share 1:5 of the resource allocated in the periodic review utilising gaps in the periodic review process.		
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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	End of Year Assessment
1.	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 qualifications, and to maintain a high quality service for institutions, students and EU Member states.	<p>To promote the availability of the following services and to meet 90% of all requests for:</p> <ul style="list-style-type: none"> • feedback sessions; • planning meetings; • university liaison sessions; • regular liaison meetings with stakeholders; • speaking at relevant conferences/ forums; • providing support for those seeking to list qualifications in Europe. <p>To keep the Student Handbook and other areas of ARB’s website relating to prescribed qualifications up to date.</p> <p>To gather feedback on the content and structure of the current Criteria for the Prescription of Qualifications from key stakeholders, with a view to reviewing the Criteria in</p>	<p>It is anticipated that there will be 50 university liaison visits during 2014 and up to 15 planning meetings, as well as a number of regular liaison meetings with key stakeholders.</p> <p>This reflects a similar commitment to 2013.</p> <p>In terms of gathering feedback on the current Criteria for the Prescription of Qualifications, this will be carried out in the latter part of 2014.</p> <p>The Criteria are held in common with the RIBA and form the core of the Quality Assurance Agency’s Subject Benchmark Statement for</p>	<p>Relationships are good with key stakeholders, as exhibited by individual and collective feedback, and should therefore be maintained.</p> <p>Stakeholders believe ARB adds value over and above performance on the prescription function, as evidenced by collective and individual feedback.</p> <p>ARB is kept well informed of possible future developments in order to plan its work and respond to developments.</p> <p>ARB will have a good understanding of views about the current Criteria for the Prescription of Qualifications. ARB will be prepared to make a full contribution to the review of the Criteria in 2015/2016.</p>	<p>There has continued to be a focus on maintaining a regular and constructive dialogue with all relevant external stakeholders in order to keep them up to date regarding ARB’s work and possible future developments.</p> <p>Team members have spoken at various forums including SCHOSA’s Spring and Autumn meetings, APSAA’s Spring and Autumn forums as well as several regional APSAA meetings, the AAE’s Spring Meeting, and have continued to liaise with the RIBA Education Team regarding the revisions to the Qualifications Directive and ARB’s planned review of its routes to registration.</p> <p>Team members have also engaged with the ASN in order to gauge the level of information they would like to receive in future.</p> <p>Feedback received to date indicates that the updates/presentations have</p>

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		2015.	Architecture. Staff will liaise and work with these organisations to review the Criteria in 2015.		<p>been well received by those involved.</p> <p>Planning meetings have also been undertaken. Fourteen were undertaken during 2014.</p> <p>The European Commission's notification process was revised and re-opened in November 2014. Staff are in the process of making the details known to relevant schools of architecture and are adapting ARB's processes for notifying new qualifications and title changes accordingly.</p> <p>A review of the Student Handbook has been undertaken</p> <p>We ran 47 university sessions during 2014 and accommodated 98.5% of requests.</p> 
2.	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 still due to be made during the latter part of 2013 and	ARB will have reviewed 100% of European notifications within the European Commission's deadlines.	<p>ARB has reviewed and processed all of the European notifications it received within the European Commission's deadlines.</p> <p>Between January and December 2014, 10 European notifications were considered and processed. As noted above the Commission has</p>

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			<p>in 2014.</p> <p>Based on previous figures it is anticipated that 25-30 notifications will need to be reviewed in 2014.</p>		<p>been altering the notification process and as a result there was a temporary pause in the number of notifications requiring consideration. The revised notification process opened in November 2014 and as predicted ARB is receiving a number of notifications for review which have been queuing in the system.</p> <p>In November 2014, ARB was given direct responsibility for the processing of UK notifications and the consideration of European notifications.</p> <p>We have notified seven UK title changes and one UK awarding body title change in order to bring ARB's entry under Annex V of the Directive fully up to date.</p> <p>Staff have worked closely with and provided views and feedback regarding the Commission's revised notification process through BIS and DCLG.</p> 

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3.	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 (in conjunction with the review of routes to registration).	Seek and collect the views of UK Schools and Government. 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. Additional staff time in exploring and if appropriate introducing a change in policy can be absorbed; additional staff resources could be necessary as a result of a change in future.	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 qualifications offered by overseas institutions. ARB will have kept its stakeholders informed concerning its position and any potential outcome.	Discussions with Government have taken place and ARB has received advice and guidance concerning its remit in this area. The Prescription Committee has been made aware of the position. 

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	End of Year Assessment
1.	Maintain awareness of the Code and steps that architects can take to mitigate complaints.	<ul style="list-style-type: none"> • 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 etc) to provide written information or presentations to architects. • Develop and publish online assistance to architects in relation to professional standards through online presentations. 	The main resource to achieve success in this area will be staff time, although there will be incidental costs relating to travel to events.	<p>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 and accessibility of the information.</p> <p>A possible decrease in telephone enquiries as a result of enhancements to available information could be offset by an increase from growing awareness of ARB's role.</p>	<p>Website has been updated with guidance on how architects might avoid complaints, together with an online tutorial.</p> <p>Each e-Bulletin has included articles on professional practice.</p> <p>Two presentations have been given to architects' groups on how to avoid complaints and the work of ARB.</p> 

2.	<p>Ensure efficient processes which are fair to all in all aspects of complaints handling.</p>	<ul style="list-style-type: none"> Review and improve all literature and processes involved in complaints handling in light of feedback. Develop a more effective method for complaints to be submitted online. 	<p>Continue third party review system to provide a proportionate and cost effective method of examining disciplinary procedures.</p>	<p>80% of third party reviews find no further action.</p> <p>Take action where identified.</p> <p>Increase the use of feedback forms and review and action where appropriate.</p> <p>A fully operational online complaints system in place.</p>	<p>Out of four Third Party Reviews, one (25%) recommended that the Investigations Panel should reconsider its original decision, which was acted upon.</p> <p>An online feedback form has been devised to encourage ease of feedback from parties to a complaint.</p> <p>A more sophisticated online facility which will allow complainants to upload documents via the website is being developed and will be in place in early 2015.</p> 
3.	<p>Ensure the investigations process is running smoothly and offers a fair process to all.</p>	<ul style="list-style-type: none"> Ensure that the IP and PCC are adequately resourced and trained in best practice. Embed the Investigations Oversight Committee and ensure that it is communicating effectively with both the Board and those investigating complaints. Enhancing outdated Professional Standards database and IT system. 	<p>There will be no recruitment required for Investigations Pool or PCC.</p> <p>Number of new complaints remains constant.</p> <p>External training will be provided to the members.</p> <p>Whilst acknowledging that longer term, IT solutions are required.</p>	<p>80% of Investigations Panel decisions are reached within 12 weeks.</p> <p>80% of Third Party Reviews find no further 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>73% of Investigations Panel decisions have been reached within 12 weeks. This figure has continually improved from the 25% reported to the Board in April, and there has been a 16% increase in the number of cases.</p> <p>75% of the four Third Party Reviews have found no further action to be taken. There was one case in which it was recommended that the IP should reconsider its decision.</p> <p>There was one 'no case to answer'</p>

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					<p>finding at the PCC in 2015 that emanated from a 2014 decision of the Investigations Panel.</p> <p>The one appeal against a PCC decision was successfully defended at the High Court.</p> 
4.	PCC Consent Orders.	<ul style="list-style-type: none"> • Prepare draft Rules and Guidance to introduce consent orders. • Consult and obtain approval for changes. • Amend documentation, website etc for implementation. 	<p>Scoping and feasibility study conducted in late 2013 confirms the introduction of consent orders is feasible.</p> <p>The approach is agreed as appropriate for ARB.</p> <p>Consultation and implementation only after the first stage of the periodic review.</p>	<p>Consent Order regime agreed and ready for implementation in 2014.</p> <p>10% of cases utilise this route in the first 12 months of operation.</p>	<p>The Consent Order regime was scoped and consulted on, and is on course to be implemented for the start of 2015.</p> 

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	End of Year Assessment
1.	<p>Support consumer confidence through raising awareness of the Code with users and potential users of architects’ services.</p>	<ul style="list-style-type: none"> • 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. • Utilise digital media and online presence to raise awareness. 	<p>Raising awareness of the Code encourages the use of the Register by consumers.</p> <p>The Code is a core requirement under statute which supports the regulation of the profession.</p> <p>Increasing awareness may continue to increase complaints as well as enhancing awareness of the Register.</p>	<p>Difficult to measure success of the general effect of actions, but an increase in the mention of the Code in publications.</p> <p>Increase in the hits on the relevant sections of the ARB website by 10%.</p>	<p>Articles have been published in <i>Construction Forum Magazine</i> and <i>Planning & Building Control Today</i>, about the ARB, informing construction and planning professionals about the ARB and the code of conduct.</p> <p>Visits to the Code of Conduct section of the website have increased by 7% compared to the same period in 2013. All architects were reminded of their responsibilities under the Code in the 2015 fee mailing.</p> <p>Two articles have been published in local newspapers about the ARB referring to the code.</p> <p>A form guiding consumers through initial meetings with architects, and focussing on issues which if not rectified often lead to complaints, was developed and launched at Grand</p>

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					<p>Designs in October 2014. The form was well received, with 350 copies of the form distributed in the first month. Both the HomeOwners Alliance and Plotsearch websites will include links to the form.</p> <p>ARB has worked with Which? Local (which is a website whereby Which? members post recommendations of goods and services). Which? Local created a separate category for Architect and agreed to check architects registered status and display the ARB logo next to the entries of all architects.</p> 
2.	<p>Increase use of the online Register which will mitigate the risk of consumers being misled by those misusing the title “architect”.</p>	<ul style="list-style-type: none"> 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. Take steps to ensure that www.architects-register.org.uk is 	<p>The number of people with an awareness of ARB and its work continues to increase.</p> <p>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</p>	<p>Increase the number of visits to the online Register by 10 %.</p> <p>The Register is more consumer-friendly as potential clients are able both to email an architect and view their website.</p>	<p>The number of visits to the online Register increased by 20%.</p> <p>ARB exhibited at the Homebuilding and Renovation Show in March 2014 and Grand Designs in October 2014. Over 88,000 people attended the shows. ARB was extremely well received at both events and the team met hundreds of consumers/potential clients. Attendance increased the profile</p>

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		<p>appropriately optimised.</p> <ul style="list-style-type: none"> 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. Understand consumer needs through engagement with consumers and consumer surveys at consumer shows events. Undertake targeted campaigns to enhance the understanding of the role of an architect (perhaps councils or planning). 	<p>number of complaints we receive about architects.</p> <p>Spending on consumer events will remain static.</p>		<p>of the Register, and had a positive impact via ARB's social media channels.</p> <p>A no-cost advert secured in the Planning Portal eBulletin (90,000 subscribers), designed to raise awareness of the Register.</p> <p>Architects are encouraged in each e-bulletin to provide consumer friendly information such as email addresses.</p> 
3.	<p>Encourage architects to promote their registered status to increase awareness and value of the Register.</p>	<ul style="list-style-type: none"> Promote the use of the ARB logo and explain the value of referring to registered status. Expand the secure area in which architects can have access to their details and embedded logo information. Increase links to the ARB Register via websites. 	<p>Increase attendance at architect events to encourage architects to utilise their registered status and increase the use of the Register.</p> <p>Increasing architects' understanding of ARB's role may also help to increase awareness and value of the Register.</p>	<p>An increase in 10% of architects that link to the online Register, or display the ARB logo on their own website.</p>	<p>Accurate tracking of architects using the ARB logo on their websites has not proven possible; however, the number of visitors to the page which hosts the logo can be tracked and these numbers have shown substantial increases. A focus on this in the September eBulletin and October retention fee mailings have led to over 1000 visitors to this page over these two months. Visits to</p>

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					<p>this webpage are up 85% to date in 2014, compared to the same period in 2013.</p> <p>Social media now being fully utilised to raise awareness of the Register; interactions and referrals are up by more than 100% from 2013.</p> 
4.	Procure local expertise for regulation in Scotland.	<ul style="list-style-type: none"> Run tender exercise for legal services to be provided for prosecuting misuse of title and/or PCC cases in Scotland. 	<p>Two cases are referred for prosecution under S20 of the Act in Scotland.</p> <p>Three PCC cases concern architects registered in Scotland.</p>	The completion of an exercise to consider whether it would be advantageous to appoint a legal service provider with Scottish expertise.	The tender exercise was successfully completed and a Scottish legal service provider appointed in September 2014.

Section E – Corporate Functions

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	End of Year Assessment
1.	<p>Consider the implications, both legal and practical, of amendments to the Professional Qualifications Directive (PQD); prepare for changes to the European notification/listing process, the requirements for practical training experience and the ARB Criteria following revisions to the PQD.</p>	<ul style="list-style-type: none"> Consider the outcome of the PQD legislative changes. Take legal advice and advice from DCLG where necessary. Determine where changes may need to be made, produce plans and timeframes for revision to the appropriate ARB policies, requirements and documents in 2015. Analyse and cost any necessary system changes for 2015 budget. Engage in discussions with stakeholders and ensure understanding of the changes. Ensure information is readily available. 	<p>Development of any systems to meet changes in the legislation will take place in 2015. Amended Directive will be implemented in the UK in 2016.</p> <p>Extensive consultation with key stakeholders.</p> <p>Extensive legal advice will be needed to ensure ARB’s revised policies, requirements and documents are compliant with the revised PQD.</p>	<p>ARB systems are ready to meet the UK deadline for compliance with the PQD and amended Architects Act.</p> <p>Stakeholders are aware of the implications of the changes.</p> <p>ARB revises its policies, requirements and documents so that they are compliant with the revised Directive when implemented in the UK.</p>	<p>A comprehensive project plan has been prepared in order to review the relevant policies and processes which may be affected by the revised Directive.</p> <p>Dialogue with BIS/DCLG has been undertaken, and will continue, in order to learn more vis-à-vis the interpretation of the revised Directive and we have been keeping stakeholders fully informed as more information is made available. We have also established a dedicated webpage to this area of our work and as developments occur, this will be updated to reflect the position.</p> <p>We have fully engaged with our network of competent authority counterparts, as well as the Architects Council of Europe, to improve our understanding of the changes to the Directive and we are assisting in the development of clear interpretations of these.</p> <p>A number of the changes required are likely to be subsumed within or overtaken by the Routes to Registration project (see above).</p>

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					<p>Costs and budgetary implications will be taken into account as part of preparation of the 2015 budget.</p> <p>Staff are on track in terms of preparing ARB for the full implementation of the Directive by January 2016.</p> 
2.	Managing risk.	<ul style="list-style-type: none"> • Audit Committee regularly reports to Board. • Internal audit function appropriately resourced and monitored. • Maintain reporting cycle of risk register and risk strategy from staff to Board level. • Monitor delivery against performance indicators (bi-annual), 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 	<p>Audit Committee and internal audit continue to work at current level.</p>	<p>Information provided to the Board on performance and risk considered to be at the right level by the Board.</p> <p>Internal audit continues to be robust and add value, as assessed by ARB staff and Audit Committee.</p> <p>Live risks that do arise are sufficiently mitigated by the actions in place or the level of risk accepted as being within the Board risk tolerance level.</p> <p>The level of reserves maintained provides the appropriate level of reassurance/confidence to the Board, the DCLG, the organisation and key stakeholders.</p>	<p>Risk Register was discussed at the Board in February and July 2014 with specific discussions on the potential impact of the Periodic Review. The Board has been provided with additional updates through the Confidential Registrar's Report. Discussions regarding ARB's Risk Management Strategy have also taken place.</p> <p>An Internal audit plan was put in place and undertaken during 2014.</p> <p>Monthly internal review of risks and accompanying controls & actions have been undertaken by the Management Team.</p> <p>Compliance checks regarding</p>

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		<p>reviews of all of ARB's policies.</p> <ul style="list-style-type: none"> • Monitor the outcome of legal challenges for areas of improvement and trends, particularly where there may be a financial or reputational risk. 			<p>ARB's Framework Agreement with DCLG and the Architects Act 1997 have also been undertaken.</p> <p>Discussions with DCLG have taken place in relation to live risks where appropriate a specific session on organisational liabilities was held.</p> <p>The internal audit of ARB's risk management resulted in a recommendation of substantial assurance.</p> <p>We updated our risk assurance map in September 2014.</p> <p>DCLG now attending our Audit Committee meetings in order to improve their understanding of ARB's operational activities in this area and have provided positive feedback on our management of risk.</p> 
3.	Maintain adequate and appropriately skilled staffing levels that are utilised effectively.	<ul style="list-style-type: none"> • Ensure sufficient staff resources are maintained to deliver statutory functions. • Maintain staff development budget and encourage flexible 	<p>Ensure financial resources are included in the budget to allow for temporary staff and appropriate cover during peak periods.</p> <p>Additional staff resources</p>	<p>Maintain adequate staffing levels in 2014.</p> <p>Report on increased flexibility in use of staff resources along with evidence of increased flexible working.</p> <p>A committed and engaged staff resource</p>	<p>The early part of 2014 saw an increase in staff-turnover. The workforce has since stabilised.</p> <p>There is currently two staff vacancies and one member of the management team is on long-</p>

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		<p>working, both internally to make best use of resources and through flexible arrangements for staff.</p> <ul style="list-style-type: none"> • Cultivate an environment that supports employee engagement to assist employees in delivering to their full potential. • Ensure pay and reward is competitive and reflects the current market. 	<p>may be necessary to maintain adequate staffing levels dependent on the Business Plan and Priorities.</p>	<p>(2015 Engagement survey).</p>	<p>term sick leave. Throughout 2014 careful consideration was given to the way in which we use the internal expertise we have, alongside seeking external assistance where appropriate. We have sought opportunities to offer development and challenge internally to ensure we have sufficient skills, expertise and resources to deliver ARB's statutory functions. Staff are working very flexibly and have taken on additional work where feasibly possible. Staff have provided very positive feedback regarding the opportunities they have been given to take on additional tasks and/or develop their skills.</p> <p>A staff engagement survey on the role and effectiveness of the management team was undertaken. Whilst the feedback was overwhelmingly positive, other relevant feedback and actions have been taken forward in order to make further improvements.</p> <p>An 'all staff' development day was held in May 2014, focussing</p>

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	End of Year Assessment
					<p>on preparations for change.</p> 
4.	<p>Engage fully with the Periodic Review and maintain Government confidence.</p>	<ul style="list-style-type: none"> Engage with the Periodic Review of ARB at all levels, ensuring Chair/Board contribution as well as prompt production of information requested. Encourage and facilitate engagement of stakeholders in the Periodic Review, particularly users and potential users of architects' services. Identify areas for improvement under the legislation. Demonstrate consideration of the Framework Agreement and undertake an annual review. Maintain transparency wherever possible. Annual internal review to ensure delivery of statutory obligations. Consider and contribute 	<p>Staff time is the main resource.</p> <p>If major change is identified, further full time input is likely to be needed, depending on the pace of any change.</p>	<p>Confirm ARB's compliance with the Framework Agreement at year end.</p> <p>Confirm ARB's delivery of the statutory obligations throughout the year, unaffected by the Periodic Review.</p> <p>Government recognises constructive engagement in the process.</p>	<p>Both Staff and the Board were fully engaged with the Periodic Review through involvement in the preparation of ARB's submission to the DCLG's Call for Evidence and participating in a workshop arranged by DCLG. ARB also published its submission on the website.</p> <p>We continue to receive positive feedback from DCLG regarding our approach and engagement with the process.</p> <p>Staff have encouraged widespread participation of stakeholders in the Periodic Review process and highlighted the DCLG's Call for Evidence through a number of means, e.g., email banners; e-bulletin; ARB's website, social media etc.</p> <p>As part of the discussions to prepare ARB's submission to the Call for Evidence, a series of areas where the Architects Act could be improved were identified.</p>

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		to areas of policy development, such as the appropriateness of title regulation.			<p>Internal reviews have demonstrated that ARB continues to be compliant with both its Framework Agreement with the DCLG and the Architect Act 1997.</p> <p>Although the Periodic Review will continue into 2015, This area has been fully met in 2014. We will, however, continue to divert resources to meet the demands of Phase 2.</p> 
5.	Efficient financial management.	<ul style="list-style-type: none"> • Clear budget setting process agreed and understood by Board. • Regular monitoring of outcomes against budget, along with forward planning, horizon scanning and alerting the Board. • Prompt notification of fees. • Alignment of budget and Business Plan and consideration of capital projects and longer term financial obligations. 	The budget setting process remains as undertaken for 2012 and 2013.	<p>Deliver ARB's work as set out in 2014 Business Plan within budget.</p> <p>Fees collection process efficiently handled, meeting timescales and with minimal impact on the normal range of those failing to pay fees.</p>	<p>The Board has received regular updates on management accounts, as well as a budget briefing before agreeing the 2015 Business Plan. Positive feedback regarding the briefing was received. The Board considered and agreed the 2015 Budget at its September 2014 Board meeting.</p> <p>The collection of the 2014 Retention fee went smoothly, however 6% of architects did not pay on time. This lead to resources having to be allocated to deal with the removal and reinstatement process. An increase in removals for non-payment led to a 178% increase</p>

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V1					<p>in the number of applicants rejoining the Register.</p> <p>Following the removals for non-payment, at October 2014 67.5% of those removed have re-joined the Register.</p> <p>We have continued to highlight and strengthen our communications to ensure the 2015 fee deadline is properly understood. This year we have made contact with all the architectural professional bodies, and industry publications, to enlist their help in alerting their profession to the fee deadline.</p> <p>An internal audit of our budget setting management resulted in a recommendation of substantial assurance.</p> <p>The Financial statements for year ending 31 December 2013 were produced on time and were signed off by the external auditors. ARB received positive feedback from the audit team.</p> 

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6.	Enhance the information on trends in the Register, profession and students and provide information which is sufficient for the Board to take informed decisions.	<ul style="list-style-type: none"> Identify additional Board requirements. Work with partners to access existing available information to meet requirements. Produce clear and timely information enabling the Board to make evidence-based decisions. 	<p>Increase in targeted, relevant information provided to the Board.</p> <p>Integrate into existing Board reporting systems.</p>	Board effectiveness review confirms satisfaction with information.	<p>Feedback from the Board members on how they would like to receive operation information was sought and received, and has been actioned. See Report to the Board in February 2015.</p> 
7.	Compliance.	<ul style="list-style-type: none"> Health and safety. Employment requirements. Data handling. PAYE. Introduce pension auto-enrolment. 	<p>Regular reviews as required by law.</p> <p>Seek legal advice when required.</p>	No adverse incidents taking place during 2014.	<p>Health & Safety reviews are taking place as required.</p> <p>We have updated our Staff Handbook in line with relevant employment requirements.</p> <p>Pension auto-enrolment is in place.</p> <p>Government's Security Data requirements fulfilled.</p> <p>We have carried out IT penetration testing. Issues of data spamming investigated to ensure no security risk.</p> <p>Business continuity planning continues with a scenario testing exercise taking place in December 2014.</p> <p>We started an internal review of</p>

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					<p>our data handling, which will continue into 2015.</p> <p>Testing of ARB's network drives was undertaken in November 2014, which was successful. One issue arose and required further action; this was resolved by the end of 2014.</p> 
8.	IT strategy	<ul style="list-style-type: none"> Keep under regular review the strategic IT development plan. Understand the ongoing needs and vision for the organisation, including a strategy on continuous improvement and efficiency savings through technology. 	Identify costs and long term savings, ensuring resources are available to execute the plan.	<p>Systems remain stable enabling staff to perform activities.</p> <p>External systems remain fit for purpose, available and responsive to any feedback received.</p>	<p>Systems remain stable.</p> <p>A focus group and participant interviews to investigate the user journey through the ARB website have taken place. Initial findings have been identified and thorough analysis to inform future planning is underway. Data drawn from the newly-qualified architects' electronic surveys will also inform planning and development.</p> <p>An IT Healthcheck Internal Audit was undertaken. Recommendations from this will be followed up by the Audit Committee.</p> <p>We are in the process of developing an online portal which will enable us to move a number</p>

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					<p>of our processes online, including access to information by the Investigations Panel.</p> <p>We have introduced an on-line change of address facility, which has been integrated with our back office systems. We have also improved our remote access facilities so that staff can work more flexibly.</p> <p>Further improvements are planned for 2015.</p> 
9.	Communications.	<ul style="list-style-type: none"> 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 and identify digital and other delivery methods. Enhance the Stakeholder Engagement Register as a 	<p>Website is a primary reference source for members of the public/architects and other organisations.</p> <p>Continuous improvements will be made to ensure we provide information in a timely and effective way.</p> <p>Small focus groups to be held, seek feedback and deliver changes where appropriate.</p>	<p>Increase in the number of visitors to the website.</p> <p>Increase in the number of people who feel well-informed by ARB.</p> <p>Few critical/incorrect articles in the architectural press.</p>	<p>The number of visitors to the main ARB website has increased by 10% from 2013 and the number of visitors to the online Register has increased by 20% compared to the same period in 2013.</p> <p>A communications strategy and stakeholder engagement plan have been developed and published online.</p> <p>A review of the website content has been carried out to improve navigation and content.</p> <p>Established a process for agreeing social media messages</p>

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		<p>tool for setting objectives and deliver programme.</p> <ul style="list-style-type: none"> Continue to build on relationships with the key architectural journals. Key messages are communicated to staff, who become advocates of those messages. 			<p>across five channels – Twitter, Facebook, LinkedIn, Youtube and Google+</p> <p>There have been few critical/incorrect articles in the architectural press so far this year, and almost all articles about ARB contain at least some commentary on ARB’s position to enable more balanced coverage.</p> <p>The 2013 annual report microsite was redesigned to reflect best practice; there has been a significant increase (22%) in visitors to the microsite compared to the 2012 report site.</p> 
10.	<p>Finalise the secure external portal for key areas of ARB’s work. (Second year of project).</p>	<ul style="list-style-type: none"> Continue to implement a portal enabling access to information in a secure environment. 	<p>Significant staff input during development.</p> <p>A targeted approach on functions will be undertaken to ensure implementation is rolled out. The portal will secure long term savings and maintain the security of data.</p> <p>In the short/medium term,</p>	<p>Reduced printing and scanning costs, postage and staff and external input.</p> <p>Improving efficiency and KPIs.</p> <p>Increased data security.</p> <p>Flexibility of working.</p>	<p>A portal to be used by the Investigations Panel has been developed and is currently undergoing testing for introduction in early 2015.</p> <p>Ongoing project.</p> 

	Area of Work	Actions	Assumptions and Cost Implications	Measures of Success	End of Year Assessment
			this work will focus on the Investigations Panel.		
11.	Explore and take up opportunities to work with stakeholders jointly to deliver ARB's objectives.	<ul style="list-style-type: none"> 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.	<p>Presentations delivered to architects' groups on matters of professional conduct and the work of ARB.</p> <p>Liaised with the RIBA to introduce and publish an agreed protocol of how we deal with professional conduct matters.</p> <p>Staff continue to engage with ARB's key stakeholders wherever possible, e.g., attending the RIBA's Review of Architectural Education as observers and to offer guidance vis-à-vis the PQD.</p> <p>ARB is now represented at a communications forum for regulators where advice and best practice is shared about effective regulation and raising public awareness of statutory Registers. Relationships are being built with other regulators including the General Dental Council, the General Chiropractic Council, the General Osteopathic Council, the Nursing and Midwifery Council, the General Medical Council, and the Solicitors Regulatory</p>

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					<p>Authority etc. to discuss common issues and share thinking on best practice.</p> <p>The project to ask local authorities to include links to the ARB website has proved very successful. A review of links to the ARB website from local authorities' websites showed that there have been over 3000 referrals to the ARB website from local authority websites during 2013. Due to these excellent numbers we are currently revisiting this project to encourage more councils to add links.</p> <p>The HomeOwners Alliance has published information online and articles about ARB have also been published in the Trading Standards Institute's publication and the Federation of Small Businesses magazine.</p> 

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12.	Review the effectiveness of the regulation of the title 'architect' as a consumer protection tool.	<ul style="list-style-type: none"> • Consider the prevalence of misuse of title. • Assess the effectiveness of the current regime. • Consider the requirements and limitations of the current legislation. • Benchmark against other jurisdictions/professions. 	<p>Cost will be in human resource in conducting research and developing an approach to assessing title regulation.</p> <p>The work will need to be undertaken in the first quarter of 2014.</p>	For the Board to have a position on the effectiveness of the regulation of the title architect in order to input into the periodic review.	<p>Review undertaken in advance of February 2014 Board meeting to inform Periodic Review submission.</p> 

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

Performance Indicator	Target for 2014	Assumptions	In 2014
Maintaining the quality of the Register: Processing of registration applications (Please note, process targets were halved for 2014)			
Applications received through the UK route to registration processed within 15 working days.	90% of applications processed within 15 working days.	The number of applications likely to remain static at approximately 800/900 per annum.	1062 applications were processed. 91% of applications were processed within 15 working days.
Applications received through the automatic European route to registration processed within 15 working days.	90% of applications processed within 15 working days.	The number of applications likely to remain static at approximately 400 per annum.	776 applications were processed. 82% of applications were processed within 15 working days. 106% increase against assumption
Reinstatements & Readmissions (Within 2 years)	90% of reinstatements and readmissions processed within 15 working days.	The number of applications likely to remain static at approximately 600 per annum.	1663 applications were processed. 74% of applications were processed within 5 working days. 178% increase against assumption

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% of applications initially scrutinised within three weeks.	ARB is likely to receive in the region of 18-22 applications for prescription/to renew prescription during the 2013/2014 cycle which is higher than in 2012/2013.	This KPI has been met. During the 2013/2014 prescription cycle, 100% of applications were initially scrutinised within 1.88 weeks.
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 18-22 applications for prescription/to renew prescription during the 2013/2014 cycle which is higher than in 2012/2013.	This KPI has been met. During the 2013/2014 prescription cycle, 100% of applications were processed within 6.33 weeks.
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 30 annual monitoring submissions during the 2013/2014 cycle which is similar to 2012/2013.	This KPI has been met. During the 2013/2014 prescription cycle the average number of weeks taken for an annual monitoring submission to reach the Committee for the first time was 3.87 weeks.

Performance Indicator	Target for 2014	Assumptions	To Date
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 2013/2014 cycle which is the same as in 2012/2013.	This KPI has been met. The target of 100% has been achieved.
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	This KPI has been met. The target of 100% has been met.

		<p>during the latter part of 2013 and in 2014.</p> <p>Based on previous figures it is estimated that 25 -30 notifications will need to be reviewed in 2014 which is the same as in 2013.</p>	
Maintaining the standards of conduct and practice of architects: Managing the complaints process			
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 within sixteen weeks.	160 complaints are dealt with. (no increase from 2013)	This KPI has been met. 86% of complaints have been referred or closed within the timescale.
Complaints with the Investigations Panel – No. of weeks from referral of case to issue of final decision.	80% within twelve weeks.	70 decisions are made. (no increase from 2013)	This KPI has not been met. 73% of final decisions were reached within 12 weeks. Based on the assumptions, there has been a 16% increase in IP decisions.
PCC Hearing date – No. of weeks from Investigations Panel final decision to production of Board solicitor’s Report.	80% within twelve weeks.	30 reports are produced. (no increase from 2013)	This KPI has been met. 88% of reports were produced within the required timescale.
PCC Hearing date – No. of weeks from receipt of Board solicitor's Report to PCC hearing.	80% within twenty weeks.	26 hearings are scheduled. (no increase from 2013)	This KPI has been met. 87% of hearings were listed within the required timescale. Based on the assumption, there has been an increase of 15% in hearing scheduled (30 cases).

Performance Indicator	Target for 2014	Assumptions	To Date
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% within sixteen weeks.	600 investigations are undertaken. (no increase from 2013)	This KPI has been met. 90% of cases were successfully referred or closed.
Title complaints with Board's solicitor to conclusion - No. of weeks from date of referral to non-prosecution conclusion/summons.	80% within twelve weeks.	60 cases are referred to Board's solicitor. (no increase from 2013)	This KPI has not been met. 67% of cases successfully prosecuted or closed within the timescale.
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.	Delivered
Corporate functions			
Publish Annual Report and Financial Statements.	Publish electronically within six months of the year end. To receive an unqualified audit opinion. Comply with FReM and accounting standards.		Delivered Delivered Delivered
Issue post-Board eBulletins.	Issue eBulletins within five days of each Board meeting.		We met this KPI on three occasions out of five during the year.

Glossary

APSAA	Association of Professional Studies Advisers in Architecture
AAE	Association of Architectural Educators
ASN	Architecture Students Network
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
SCHOSA	Standing Conference of Heads of Schools of Architecture