



# **Report on Delivery of the 2016 Business Plan**

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



ARB has successfully delivered the item of work to a satisfactory standard




ARB delivered the majority of the item, or delivered only with partial success




ARB has not delivered the item, or performance has been unsatisfactory

**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	Measures of Success	End of Year Assessment
1.	<b>Improve the accuracy of the Register</b>	<ul style="list-style-type: none"> <li>▪ Develop the usability/access of the online registrant’s services area to maximise engagement. Highlight the value of ensuring architects keep their registration details up to date.</li> <li>▪ To make the sites mobile friendly</li> <li>▪ Undertake an accuracy review of the Register, to ensure accurate and relevant information is provided to the public.</li> <li>▪ Add Equality &amp; Diversity fields to Registrants Services to enable those who haven’t provided data to submit it.</li> </ul>	<p>90% of Change of Details requests received through online tool.</p> <p>95% of Change of Details requests are processed within three days.</p> <p>20% increase in the percentage of contact details, telephone numbers and email addresses in the public domain, making the Register search facility a more valuable tool.</p>	<p>89% of Change of Details requests have been received through online tool.</p> <p>87% of Change of Details requests received online have been processed within three working days.</p> <p><b>Development of systems</b> –A review of the online registrants’ services system was undertaken, and better communication streams were added. Users can now download the ARB logo from the online registrants section, and also add their Equality &amp; Diversity information.</p> <p><b>Contact detail updates</b> - eBulletins regularly feature requests asking architects to update their contact details</p> <p><b>Accuracy</b> – Effort has been put into tracing architects who have moved from their address without informing ARB, reducing the number by 87%. In November, 58 architects were removed from the Register for not providing up-to-date contact details.</p> <p>We also undertook an email validation exercise, updating 760 email addresses between October and November.</p> <p><b>Robust processes</b> - We continue to be diligent when verifying the authenticity of applications to the Register. Our robust processes thwarted a fraudulent application for registration and resulted in a conviction under the Fraud Act.</p> 


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

<p>2. <b>Further promote and develop self-service processes, including the online registration portal and registrant services</b></p>	<ul style="list-style-type: none"> <li>▪ Promote further the benefits of the system.</li> <li>▪ Provide clear guidance on the process at the point of enquiry.</li> <li>▪ Respond to feedback on improvements to the system, and enhance systems where appropriate.</li> <li>▪ Gather feedback on performance and delivery of our registration services.</li> <li>▪ Review the accessibility of the system, its integration with back-office systems and develop accordingly.</li> </ul>	<p>Increase in number of applications received online.</p> <p>Reduction in time taken to process applications.</p> <p>Improved feedback ratings on functionality and service levels of the online registration system.</p> <p>Suggestions for improvements published along with the response to the feedback/suggested improvements.</p>	<p>There has been a 6% increase in the number of applications received online</p> <p>The average time taken to process a UK application has risen from 8 to 10 working days, due to an increase in the number of applications.</p> <p>The average time taken to assess an EU application has remained 14 working days. This is within the statutory requirements of three months.</p> <p>The performance in this area improved in the second half of 2016, with average times for UK applications being 8 working days and EU being 13 working days. This represents an improvement on the same period in 2015 (9 days and 15 days respectively).</p> <p>Feedback from those using the online facility remains positive. 98% of the users surveyed were satisfied with the functionality of the system and 93% were satisfied with the service overall. We will be publishing information on the feedback and actions taken in the 2016 Annual Report.</p> <p>eBulletin articles and social media messaging consistently refer to online services and encourage self-service where possible. Online services now include a section allowing architects to supply us with their equality and diversity data confidentially and conveniently.</p> <p>The online route finder tool continues to be popular with applicants with 1,847 visits in 2016 - some 75% of all new registrants. In 2016 we promoted the route finder via social media and an article in the September eBulletin.</p> <p>We have provided clear guidance to applicants by introducing the 'Find your route to Registration' infographic. This directs people to the online route finder tool, and reached over 2,000 followers through social media.</p> 
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**Section A – Maintaining the Quality of and Access to the Register**

<p>3.</p>	<p><b>Provide an efficient and effective service to all enquirers</b></p>	<ul style="list-style-type: none"> <li>▪ Ensure our online resources are readily available and are easy to understand and use.</li> <li>▪ Act upon feedback to improve our service.</li> <li>▪ Publish feedback and follow up actions on the website.</li> </ul>	<p>Demonstrable proof of increased satisfaction levels amongst enquirers.</p>	<p>We received 352 feedback responses in 2016. Examples of changes made as a result of feedback include introducing clear step numbers at the top of the online application which inform the applicant how much progress they have made with the form; broadened guidance on what documentation is required before the individual starts an application; and clearer information around the fee structure and PII requirements.</p> <p>We are introducing a new email ticketing system to improve efficiency and enhance management information.</p> <p>We have liaised with The Architects Benevolent Society (ABS) to establish what assistance can be given to architects facing financial hardship. ARB staff have successfully signposted a number of architects to the ABS.</p> 
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**Section A – Maintaining the Quality of and Access to the Register**

<p>4. <b>Undertake a fundamental review of the routes to registration.</b></p>	<p>Undertaking 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> <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>ARB will have:</p> <p>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.</p> <p>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.</p> <p>Engaged with all stakeholders and kept them informed of progress as the review develops.</p>	<p>Due to the on-going Periodic Review this area of work remains on hold. We are also monitoring developments following the outcome of the EU referendum to determine whether this will have any impact on the review.</p> <p>Stakeholders have been kept up to date through regular liaison meetings and through attendance at various forums, e.g., SCHOSA, APSAA, Schools of Architecture etc.</p> <p>We continue to monitor the press for articles which relate to routes to registration to inform our work on this review in the future.</p> <p>We have built relationships with several new stakeholder contacts who have advised us they are interested in participating in the review of routes to registration once it begins. We held meetings with a number of statutory bodies to learn more about their routes to registration and any similar reviews that they have undertaken.</p> <p><u>We have been unable to deliver this objective because of the outstanding Periodic Review</u></p> 
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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	Measures of Success	End of Year Assessment
1.	<b>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.</b>	<p>To promote 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 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>To keep the Student Handbook and other areas of ARB’s website relating to prescribed qualifications up to date.</p>	<p>Good relationships are maintained with key stakeholders, as exhibited by individual and collective feedback.</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>We have maintained a regular and constructive dialogue with relevant external stakeholders in order to keep them informed about ARB’s work and possible future developments. We have held regular liaison meetings with our key stakeholders and issued letters to all institutions offering prescribed qualifications or which are seeking prescription.</p> <p>Staff have attended and spoken at various forums including SCHOSA’s Spring and Summer Meetings and APSAA’s Autumn Forum.</p> <p>12 planning meetings for new and/or renewal applications for prescription have been undertaken during 2016.</p> <p>The demand for University liaison sessions continues to be high with 54 sessions undertaken.</p> <p>We continue to keep the Student Handbook under review to ensure it remains up to date.</p> <p>We have received positive feedback from Professional Studies advisers and students who have organised/attended our university liaison sessions confirming that the sessions continue to be valuable and beneficial to students at all levels. We have included messages about university liaison visits on social media to raise awareness of this element of our work. We have also received positive feedback about the way in which we operate the prescription process and the value that it adds to institutions seeking/renewing ARB prescription.</p>


	Area of Work	Actions	Measures of Success	End of Year Assessment
				<p>We include regular articles about our work on prescription in the eBulletin, which achieved a combined total of almost 1,500 views. The Qualifications infographic which highlighted figures from the 2015 annual report and positive feedback from students and professional studies advisors proved to be extremely popular on social media and reached over 2,100 followers.</p> <p>We have continued to keep up to date with developments in Higher Education through the QAA, and have liaised with our QAA contacts on a regular basis throughout the year.</p> 
2.	<p><b>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.</b></p>	<p>Continue to embed the European Commission's revised process for the notification of qualifications within ARB's procedures.</p> <p>Ensure that the European Commission's deadlines for considering notifications are met on every occasion.</p>	<p>ARB will have reviewed 100% of European notifications within the European Commission's deadlines, and compiled with the reviewed requirements in this area.</p>	<p>We have notified three award/institutional title changes and four newly prescribed qualifications.</p> <p>We have undertaken three planning meetings at institutions seeking to notify their qualifications to the European Commission (EC).</p> <p>100% of the 34 European notifications have been reviewed within the EC's deadlines to date, and compiled with the review requirements in this area.</p> <p>We are continuing to contribute to the development of the pan-European guidance regarding the Commission's revised guidelines for the notification of qualifications through the European Network of Architects Competent Authorities.</p> <p>We received positive feedback from an institution in terms of guiding them through the process smoothly and on their appreciation at achieving recognition from the EC.</p> 







	Area of Work	Actions	Measures of Success	End of Year Assessment
3.	<b>If the review of the routes to registration requires adjustment to the ARB Criteria for the Prescription of Qualifications ahead of the current schedule, undertake a review of the Criteria.</b>	<p>Gather feedback on the existing Criteria for the Prescription of Qualifications.</p> <p>Determine the structure and content of any revised Criteria for the Prescription of Qualifications.</p>	<p>A revised set of Criteria for the Prescription of Qualifications will have been developed, consulted upon and be ready for implementation at the appropriate time.</p>	<p>See A4 above.</p> <p><u>We have been unable to deliver this objective because of the outstanding Periodic Review</u></p> 

## 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	Measures of Success	End of Year Assessment
1.	<b>Maintain awareness of the Code and steps that architects can take to mitigate complaints.</b>	<ul style="list-style-type: none"> <li>▪ Provide advice to architects on preventing and handling complaints.</li> <li>▪ Maintain the frequency of relevant articles in the eBulletin.</li> <li>▪ Provide guidance to the profession on any changes to legislation or professional developments.</li> </ul>	<p>Every eBulletin contains relevant guidance on matters of professional conduct, based on recent PCC decisions, issues within the profession or legislative changes.</p> <p>The website provides clear and targeted advice to both architects and clients on how to avoid disputes, and how they might be resolved.</p> <p>Demonstrable evidence of ARB working with stakeholders to promote the standards of the Code.</p>	<p>Every eBulletin has contained guidance on matters of professional conduct; the 'Dear Architect' column has proved popular this year. We produced five eBulletins with an audience in excess of 3,000.</p> <p>Some 2,000 hard copies of the 'Meeting your Architect' form have been distributed at three consumer shows in 2016, with a further 480 copies downloaded.</p> <p>The website contains guidance on how to avoid disputes, and is currently being redesigned so that advice can be accessed more easily.</p> <p>Information on the revised 2017 Code of Conduct has been sent to all architects on the Register.</p> 



2.	<p><b>Ensure efficient processes which are fair to all in all aspects of complaints handling.</b></p>	<ul style="list-style-type: none"> <li>▪ Review and improve all literature and 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, and review and action where appropriate.</li> </ul>	<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>	<p>All external facing guidance has been reviewed and where necessary updated on an ongoing basis.</p> <p>ARB’s ‘Tone of Voice’ review is underway, where best practice is shared with other regulators on the tone and content of standard correspondence and guidance.</p> <p>Work on the investigations portal has progressed, although it has not yet been integrated with the online complaints tool.</p> <p>Feedback and resulting actions have been reported to the Audit Committee and the Board staff periodically throughout the year.</p> 
3.	<p><b>Ensure the investigations process is running smoothly and offers a fair process to all.</b></p>	<ul style="list-style-type: none"> <li>▪ Ensure that the Investigations Panel and Professional Conduct Committee are adequately resourced and trained in best practice.</li> <li>▪ The Investigations Oversight Committee is provided with appropriate information and maintains strategic overview of ARB’s investigation processes.</li> <li>▪ Outdated Professional Standards database and IT system is replaced by a fit for purpose system.</li> </ul>	<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>A fully operational and paperless IT system for investigations is put in place.</p>	<p>81% of Investigations Panel (IP) decisions have been reached within 12 weeks.</p> <p>50% of the four Third Party Reviews have found no further action to be taken.</p> <p>There have been no findings of ‘no case to answer’ at the PCC or adverse findings by Judicial Review; there have been no successful appeals against PCC decisions.</p> <p>Small amends have been made to the current IT system; however the new database budgeted for will not be developed until the section 14 review has concluded.</p> <p>New members of the Investigations Pool have been recruited and appointed.</p> <p>A fully operational and paperless IT system for investigations is being tested and anticipated to be in place in early 2017.</p> 

	Area of Work	Actions	Measures of Success	End of Year Assessment
4.	<b>Review how ARB delivers its statutory obligations under section 14 to investigate allegations of unacceptable professional conduct and serious professional incompetence</b>	<ul style="list-style-type: none"> <li>▪ Seek views from all stakeholders as to how ARB's disciplinary regime might be improved.</li> <li>▪ Draft new rules and acquire Board approval for changes where appropriate.</li> <li>▪ Undertake 3 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> </ul>	New Investigations & Professional Conduct Committee Rules are consulted on and published to come into effect by 1 January 2017.	<p><u>We have been unable to deliver this objective because of the outstanding Periodic Review</u></p> 
5.	<b>Appoint new Professional Conduct Committee</b>	<ul style="list-style-type: none"> <li>▪ Undertake an open and fair recruitment exercise to appoint members of the Professional Conduct Committee.</li> <li>▪ Work with the Law Society in respect of it providing nominees.</li> <li>▪ Provide induction and training to new members as appropriate.</li> </ul>	A properly appointed Professional Conduct Committee is in place by September 2016.	<p>The new PCC was appointed by the Board in July to start work in September 2016.</p> <p>All PCC members were properly inducted and trained before assuming their duties.</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	Measures of Success	End of Year Assessment
1.	<b>Raise awareness of the Code with users and potential users of architects’ services.</b>	<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> </ul>	Difficult to measure success of the general effect of actions, but an increase in the mention of the Code in publications.	<p>The new Code was agreed by the Board in July, and came into force on 1 Jan 2017.</p> <p>The new Code was emailed to all architects; flyers have been published and distributed with the retention fee invoice.</p> <p>Articles on the new Code and its significance for both the profession and users of architect services have been written and will be publicised to mark the publication of the new Code.</p> <p>We have used all possible opportunities to make reference to the Code of Conduct including in eBulletin articles, on social media and at consumer shows, and university liaison visits.</p> 
2.	<b>Increase use of the online Register which will mitigate the risk of consumers being misled by those misusing the title “architect”.</b>	<ul style="list-style-type: none"> <li>▪ Continue to increase awareness of the Register through social media.</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 advocacy.</li> </ul>	<p>Increase social referrals to the Register by 5%.</p> <p>The number of Register searches increases by a further 5% during 2016.</p> <p>Increase visits to the Register by 10%.</p>	<p>Social media referrals to the Register were up by 108%, and to the ARB website by 158%.</p> <p>Visits to the online Register have increased by 4%; however the number of individual searches has fallen by 2%.</p> <p>Staff attended three exhibitions in 2016 - Homebuilding and Renovating Shows in Birmingham and London, and Grand Designs in Birmingham. Staff were able to demonstrate the online Register to visitors at these shows and conversations focused on encouraging consumers to use the Register to check architects are genuine.</p>



	Area of Work	Actions	Measures of Success	End of Year Assessment
				<p>A staff task group recently met and established a strategy and communications plan to raise awareness of the Register as a tool to support informed decision making.</p> <p>We are currently undertaking a project to contact Local Authority planning departments. We are asking them to add a link to the Register to their websites to inform their constituents about the Register. 73 local authorities now contain links to ARB which represents almost 25% of all UK councils.</p> <p>As part of our strategy to link up with the networks of our stakeholders to extend our reach, we have met with the HomeOwners Alliance and TrustMark, and we have arranged future meetings with the consumer body Which?</p> 
3.	<p><b>Encourage architects to promote their registered status to increase awareness and value of the Register.</b></p>	<ul style="list-style-type: none"> <li>▪ Explain to registrants the value of referring to their registered status.</li> <li>▪ Expand the secure area in which architects can have access to their details and embedded logo information.</li> </ul> <p>Increase links to the ARB Register via websites.</p>	<p>Increased number of downloads of ARB logo from website</p>	<p>Visits to the logo download page for 2016 reached 2,807, only slightly up on 2015. A staff project group has been formed to establish how we can encourage architects to link to their entry on the Register and demonstrate their registered status. This will include the expansion of a secure area for accessing their details, which has not been delivered in 2016.</p> <p>The group's plan for 2017 includes an email campaign explaining how architects can implement the link, and a fresh communication strategy to highlight the importance of their registered status.</p> 



## Section E – Corporate Functions


	Area of Work	Actions	Measures of Success	End of Year Assessment
1.	<p><b>Consider the implications, both legal and practical, of amendments to the Professional Qualifications Directive (PQD).</b></p>	<ul style="list-style-type: none"> <li>▪ Consider the outcome of the PQD legislative changes and determine where 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 2016 budget.</li> <li>▪ Engage in discussions with stakeholders and ensure understanding of the changes.</li> <li>▪ Ensure information is readily available.</li> </ul>	<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>Meetings and discussions with BEIS/DCLG, the European Commission and ARB’s legal advisers have been undertaken in order to learn more about the interpretation of the revised Directive. Stakeholders have been kept fully informed as more information is made available.</p> <p>We have adapted the guidance we provide to UK institutions regarding the notification of their qualifications and streamlined the way in which we present our notifications.</p> <p>We are complying with the relevant terms of the revised Directive.</p> 
2.	<p><b>Managing risk.</b></p>	<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 against performance indicators (bi-annual), the Business Plan (annual), ARB’s purpose and objectives (annual).</li> <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> </ul>	<p>Information provided to the Board on performance and risk is considered by the Board to be at the right level and provides the right 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 of are accepted as being within the Boards risk tolerance level.</p> <p>The level of reserves maintained provides the</p>	<p>At each meeting of the Board the high level risks are discussed. Each Board paper presented includes a section on risk.</p> <p>New Internal Auditors were appointed with effect from 1 January 2016. They conducted a programme of audits, as agreed by the Audit Committee in 2016.</p> <p>Operational risk is mitigated by Business Continuity Planning: annual testing and updates to the plan ensure that it remains fit for purpose. Testing was completed and revisions to the plan reported to Audit Committee in June 2016.</p> <p>Risks surrounding the growing demand for our services have been discussed throughout the year.</p> <p>A programme of policy reviews continue.</p> <p>The Board has discussed the level of reserves at several points during 2016, and had an additional budget review session for the 2017 Business Plan. The Registrar has had two Accounting Officer meetings during 2016 at DCLG, where the reserves and</p>



		<ul style="list-style-type: none"> <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 implications and risk of any changes as consequence of the Periodic Review.</li> </ul>	<p>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 be adjusted on basis of an analysis of trend information and improvements.</p>	<p>the organisation's financial position were discussed.</p> <p>ARB has maintained its low risk status with the DCLG.</p> 
3.	<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 2016 Business Plan.</li> <li>Maintain staff development budget and encourage flexible working, and interaction with outside organisations to further enhance knowledge, skills and engagement.</li> <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>Review ARB's people strategy and key succession planning policy.</li> </ul>	<p>Maintain adequate staffing levels in 2016.</p> <p>Evidence of increased flexible working across the organisation to deliver statutory functions.</p> <p>A committed and engaged staff resource (2016 Engagement survey).</p>	<p>The Operational Management Group has kept staff resources under constant review to ensure that ARB can continue to deliver on its statutory functions and Business Plan</p> <p>Operational resource risks were discussed with the Board throughout 2016, resulting in an increased headcount.</p> <p>There were a number of cross-team task groups set up to deliver discrete projects throughout the year.</p> <p>A staff engagement survey was undertaken and will be reported on in 2017 to the Remuneration Committee.</p> 
4.	<b>Deliver outcomes of the</b>	<ul style="list-style-type: none"> <li>Respond to outcome of review and</li> </ul>	Statutory functions delivered	The results of the Periodic Review were not known by the end






	<p><b>Periodic Review and maintain Government and Stakeholder confidence.</b></p>	<p>develop an implementation plan, if appropriate.</p> <ul style="list-style-type: none"> <li>▪ Ensure there are sufficient resources in place, to deliver relevant outcomes.</li> </ul>	<p>efficiently and effectively, alongside any requirement for the organisation to change.</p> <p>An Operational Plan is devised once the outcomes of the Review are known.</p> <p>Continue to place updates about the Periodic Review into the public domain.</p>	<p>2016, this is in line with what we have been told by DCLG.</p> <p>We continue to keep stakeholders and contacts in the trade press updated about the Periodic Review, informing them that the final report is awaited. Updates have been included in a number of 2016 eBulletins and ad hoc enquiries of this nature are answered promptly.</p> <p><u>We have been unable to deliver this objective because of the outstanding Periodic Review</u></p> 
5.	<p><b>Efficient financial management.</b></p>	<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 planning, horizon scanning and early warning alert mechanism of variances to the Board.</li> <li>▪ Prompt notification of fees.</li> <li>▪ Alignment of budget to Business Plan, including capital projects.</li> <li>▪ Provide 3 year forecasts to capture longer term financial obligations.</li> </ul>	<p>Deliver ARB's work as set out in the 2016 Business Plan within budget.</p> <p>To deliver the 2016 fee process efficiently, with clear and timely communication, with registrants who are aware of the fee cut-off date, resulting in a lower number of registrants being removed for non-payment than in 2015.</p> <p>An informed Board, who are provided information in a timely and concise way.</p>	<p>ARB's work as set out in the 2016 Business Plan was delivered within the agreed budget. Any underspends were explained in the Management Accounts Update, which the Board received at each meeting.</p> <p>The 2016 retention fee collection went smoothly with a 21% reduction in the number of architects removed for non-payment of the fee from 2015.</p> 

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>No adverse health and safety incidents taking place during 2016.</p> <p>Implement any required changes to procedures and processes as required.</p>	<p>There have been no identified breaches of legal obligations in this period.</p> <p>All requests for information under the Data Protection Act and the Freedom of Information Act have been complied with within the statutory timescales. The Information Commissioner rejected a complaint about how ARB had dealt with a request for information.</p> 
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 technology.</li> <li>▪ Build further use of the organisations website and online tools/systems.</li> </ul>	<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 I.T. strategy continues to support the objectives of the Board.</p>	<p>Due to the failure of an exchange server the organisation was without email for two business days.</p> <p>All those who require remote access to ARB systems have remote log on facilities.</p> <p>Further IT solutions are being continually explored to improve performance, enhance efficiency and respond to feedback.</p> <p>Enhancements have been made to the Prescribed Examination database to record Equality &amp; Diversity data.</p> 
9.	<b>Communications</b>	<ul style="list-style-type: none"> <li>▪ Develop and implement a plan to continuously improve our communications with stakeholders, including updating the layout accessibility and content of ARB's website; developing our social media profile; and raising awareness of ARB and the Register of Architects.</li> <li>▪ Develop effective relationships with Consumer Organisations.</li> </ul>	<p>Increase in the number of visitors to the website.</p> <p>Regular messages about ARB disseminated via social media.</p> <p>Demonstrable evidence of stronger relationships with consumer organisations and all stakeholders.</p>	<p>Unique visits to the main ARB website rose by 7%</p> <p>Our social media audiences continue to grow. LinkedIn continues to be our most popular channel, followed by Twitter and Facebook. Youtube views have also increased in 2016.</p> <p>Meetings have been held with RIBA's Membership Team; The Architects Benevolent Society; the Adviser to the CEO of National Council of Architectural Registration Boards in the USA; Bureau Architectenregister in the Netherlands and The Register of Architects Accredited in Building Conservation in</p>


			<p>Regular updates to the Board providing detailed information on progress.</p>	<p>addition to our regular external meetings.</p> <p>The website review is underway with an improved website planned for February 2017.</p> <p>An updated style guide is also being developed in tandem with this project.</p> <p>Coverage in the trade press continues to be balanced. In 2016, a publication covered the departure of the out-going Chair and included an interview. In other articles critical comments were offset by quotes from ARB spokespeople which referenced our regulatory role.</p> <p>The Board is provided with a regular Operational Activities report.</p> <p>An Annual Report was published, setting out how we have delivered on our regulatory remit and providing key facts about the Register.</p> <p>We have undertaken a review of our commitment to transparency by adopting the Model Publications Scheme developed by the Information Commissioners Office.</p> <p>We have developed appropriate procedures to ensure the new Publication Scheme is kept up to date.</p> 
10	<p><b>Continue our programme of efficiency and effectiveness reviews to improve the operation of the organisation.</b></p>	<ul style="list-style-type: none"> <li>▪ Review of ARB's website, in an attempt to further promote self-service provisions.</li> <li>▪ Review processes to ensure duplication of effort, and 'no value' processes are eradicated.</li> <li>▪ Continue to review contracts to</li> </ul>	<p>Robust, but agile internal working practices that deliver effective, timely outcomes for the users of our services.</p> <p>Constructive feedback received from the users of our services.</p>	<p>The review of the website has been undertaken; the newly built website is due for launch in spring 2017.</p> <p>Staff continue with the 'one-ARB' ethos, with substantial cross-team working to deliver non-core objectives.</p> <p>In late 2015 we undertook a series reviews and internal</p>

		ensure value for money and on-going quality of service.	Demonstrate value for money from contract negotiations.	<p>compliance exercises, e.g. against the Framework Agreement; against the General Rules etc. We are in the process of implementing the action points which arose from those reviews.</p> <p>Contracts continue to be reviewed, particularly in relation to building and operational services, with significant savings in relation to utilities. The constitutional legal services contract has been planned for tender in 2017.</p> 
11	<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 others.</li> <li>▪ Build partnerships with others to influence the regulation of architects to protect consumers.</li> </ul>	Demonstrable evidence of broader working relationships with Stakeholders and Partners from the built environment, consumer and regulatory sectors.	<p>We supported DCLG by sharing information about a survey they were undertaking into Building Regulations Approved Documents.</p> <p>We have held meetings with HomeOwners Alliance, TrustMark and the Committee of Advertising Practice and continue to work together on matters of mutual interest.</p> <p>We have met with representatives from the Consumer Panels of the Committee of Advertising Practice and Ofcom to learn about their approach to regulating in the public interest. We have been assisting with the UK Inter-Professional Group's (UKIPG) project to relaunch its website which has provided staff with a learning opportunity at a time when we are undertaking work on our own website. UKIPG provides us with an opportunity to share thinking on policy developments and best practice with other regulators.</p> <p>We conducted a stakeholder mapping exercise, asking Board Members for their input. We will be conducting a similar exercise with the staff team and will make contact with recommended stakeholders accordingly.</p> 

13	<p><b>Respond to, and advise on European legislation that affects the regulation of architects</b></p>	<ul style="list-style-type: none"> <li>▪ Monitor EU legislation in terms of ARB's objectives / statutory functions.</li> <li>▪ Implement a communications plan to ensure architects are informed.</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, where appropriate, communicated to architects.</p>	<p>We have responded to the European Commission's consultation regarding the Services Directive and considered the implications of the proposals within it and how they could impact on ARB's policies in the future.</p> <p>We have responded to several calls for information from Government regarding the potential impact of the UK leaving the EU. We will continue to work closely with Government as they determine whether changes should be made to the Act.</p> 
14	<p><b>To continue to improve governance arrangements within the organisation</b></p>	<ul style="list-style-type: none"> <li>▪ Undertake a Board and Committee effectiveness review, and implement any review actions</li> <li>▪ Ensure the Board has sufficient, evidence based, timely information, in 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>▪ Induct new Board members</li> </ul>	<p>Outcomes of effectiveness reviews will be actioned and taken forward as appropriate.</p> <p>Governance arrangements will be kept up to date, reviewed where appropriate, and adjusted to meet best practice.</p>	<p>An effectiveness review was undertaken at the end of 2015, the results of which were considered by the Board in February 2016. Actions arising from the effectiveness review have been taken forward and implemented both at Board and Committee level.</p> <p>All new Board members who joined in April 2016 have undergone a thorough Board and Committee level induction process and are currently undertaking follow up activities.</p> 
15	<p><b>Continue to review, develop and implement our equality and diversity action plan</b></p>	<ul style="list-style-type: none"> <li>▪ Review and amend the plan as required, introducing targets.</li> <li>▪ Collect and analyse Equality and Diversity data, and utilise the information to influence policy decision making.</li> <li>▪ Make the data fully available to assist others in their policy information gathering.</li> </ul>	<p>Annually published data which is of value to the Board and other stakeholders.</p> <p>Implications of E&amp;D considered as part of all policy discussions.</p>	<p>A new feature has been developed and added to online services that enable architects to provide their E&amp;D data confidentially at the same time as accessing other services.</p> <p>We have joined a cross-Regulation workgroup to develop a framework for measuring success against E&amp;D objectives.</p> <p>We have met with the Judicial Appointments Committee to share information on best practice.</p>

		<ul style="list-style-type: none"> <li>▪ Undertake project to consider how to make consultations more accessible.</li> </ul>		<p>We have met with Elevation Networks, a charity which supports those from disadvantaged groups into employment, who advised us on the barriers faced by young people.</p> <p>We have attended two events organised by the National Association of Women in Construction (NAWIC) in order to build relationship with diverse stakeholders.</p> <p>Recent vacancies for the Investigations Pool and Examiners were shared with LinkedIn groups for women in construction, of which we are members as well as other E&amp;D networks.</p> <p>We also asked RIBA to share details of the Examiner and Independent Examiner recruitment with its diversity groups.</p> <p>The Communications Lead attended a training session hosted by the Equality and Diversity forum which focused on equality and diversity messages in strategic communications.</p> 
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16	<p><b>Manage ARB's reputation to ensure there is public confidence in the regulation of architects</b></p>	<ul style="list-style-type: none"> <li>▪ Raise the profile of ARB's role, in order to communicate the role of regulation.</li> <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 raise awareness of ARB's role and the public Register, through exhibiting and speaking opportunities.</li> </ul>	<p>Understanding of key regulation and consumer/client issues, which assists the decision 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><b>Stakeholders</b> - We continue to maintain existing and build new relationships with stakeholders. We met with HomeOwners Alliance and TrustMark and a meeting with a new contact at Which? is arranged for early 2017.</p> <p><b>Feedback</b> - Feedback is collected and carefully considered, where possible changes are made to address issues raised. Examples include:</p> <ul style="list-style-type: none"> <li>i) The Retention Fee Action Group considered practical changes to the collection, removal and reinstatement process for the 2017 fee. As a consequence improvements have been made to the process including changing our print and digital providers. We have made in the region of £10,000 despite enhancing procedures to include greater analysis of data related to email campaigns and additional text messages to groups at risk of missing the deadline.</li> <li>ii) The registration route-finder has been modified following comments made by users.</li> <li>iii) The Prescribed Examination guidance has been amended to address issues highlighted by candidates.</li> <li>iv) A guidance note on standards of acceptance for a complaint has been issued and the complaints form has been amended to provide greater clarity in this area. We are also in the process of developing an online title complaints form to help streamline the complaints we receive.</li> </ul> <p><b>Reporting</b> – we have reported at mid and year end on KPIs</p> <p><b>Exhibiting</b> - We exhibited at two Homebuilding and Renovating Shows, one in Birmingham and one in London. We presented a masterclasses at one of these informing the audience about the Register of Architects. We also exhibited at Grand Designs Live in Birmingham.</p>
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				<p><b>Consumer data</b> – We have sourced and successfully trialed a consumer survey tool which enables consumers to vote on spot questions. We plan to use this tool to build up consumer insight data which will enable us to improve information we provide to the public.</p> <p>Visits to the online Register up by 4%, though number of searches has fallen by 2%.</p> 
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## **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