

# Board Paper

for Open session

Subject: ARB Policy Log

Board meeting:

22 May 2024

Agenda item:

8

Action:

- For noting
- For discussion
- For decision

## Purpose

To agree the Policy Log which sets out details of the policies that the Board and its non-statutory Committees have responsibility for approving.

---

## Recommendations

The Board is asked to approve the Policy Log which sets out the details relating to the list of policies, and other documents, that fall under the Board and Committees' responsibility.

---

## Annexes

Annexe A – ARB Policy Log

Annexe B – Policy Review Calendar

---

## Author/Key Contact

Emma Matthews, Director of Governance & International – [emmam@arb.org.uk](mailto:emmam@arb.org.uk)

Alice Pun, Governance Manager – [alicep@arb.org.uk](mailto:alicep@arb.org.uk)

# 1. Open Session

---

## 2. Background and Key points

- 2.1. The purpose of the recent externally facilitated Board and Committee Effectiveness review was, amongst other things, to help the Board and its committees reflect on, and where necessary improve the effectiveness of the organisation's governance systems and processes.
  - 2.2. ARB received the Board Effectiveness Report in mid-March 2024. A Board workshop session was then held on 20 March 2024, led by an external facilitator and where there were opportunities to discuss the key recommendations set out in the report.
  - 2.3. One of the recommendations within the report suggested that the Board should have an improved oversight of the policies both it and its committees are responsible for approving. The Board confirmed at its Workshop in March that it was keen to have a better understanding of the details relating to the ARB policies that were currently in place, including what the current levels of approval were for each policy, i.e. which policies were approved at Board level or Committee level, and the frequency with which each policy should be reviewed.
  - 2.4. **Annexe A** sets out the current Policy Log, including details of the current Executive level responsibility, the last review date, the next review date, whether the Board or Committee has responsibility for approving the policy and the frequency of reviews.
  - 2.5. The Policy Review calendar in **Annexe B** shows the cycle of reviews for the next 5 years and which policy will be due for review in each year.
  - 2.6. The Governance Department will be responsible for ensuring that the Policy Log remains up to date. The log will be circulated periodically, including during Q3 each year, so that the relevant Senior Leadership Group members and their departments are aware of the policies that are due for review and can factor this into their forward business planning activities.
  - 2.7. The Board is asked to review these details and approve the Policy Log.
-

### 3. Resource Implications

- 3.1. The updating and maintenance of the Policy Log has no financial cost implications but will require staff time.
- 

### 4. Risk Implications

- 4.1. Policies should be regularly reviewed to ensure that best practice is followed, and they are consistent and effective. Effective policies and procedures should be living documents that can be adapted with changes to the organisation.
  - 4.2. The lack of periodic review of policies leaves ARB at risk of not keeping up-to-date with the organisational changes leading to inconsistency in decision-making. The policies may also fail to comply with the new rules and legislations that occur during the years. Policies should align with the organization's mission, vision, and objectives, as well as the Board and senior leadership.
  - 4.3. To mitigate the risks outlined in 4.1 and 4.2, the Governance team will monitor and ensure that the Policy Log and Review Calendar is kept up to date by regularly sharing them with other departments across the organisation and seeking their input. The Policy Log will also be brought to the Board annually going forward so that Board members are informed of the ongoing position regarding the relevant policies.
- 

### 5. Equality and Diversity implications

- 5.1. Equality, Diversity and Inclusion (EDI) considerations will be taken into account as each policy is reviewed, and tailored to the area that the policy deals with. Advice will be sought from the recently appointed external consultancy on EDI related matters to improve the work in this area.
- 

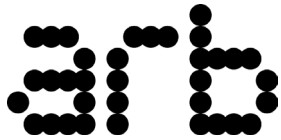
### 6. Recommendations

- 6.1 The Board is asked to approve the Policy Log which sets out the details relating to the list of policies, and other documents, that fall under the Board and Committees' responsibility.

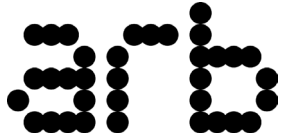
**Annex A - ARB Policy Log  
22 May 2024**

**ARB's Internal Policies**

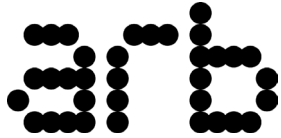
<b>Policy</b>	<b>Current Executive Level Responsibility for the Policy</b>	<b>Last Review</b>	<b>Next Review (based on current plans and to regularise the cycle)</b>	<b>Current Level of Authority for Approval of the Policy</b>	<b>Frequency of Review (from 2024 onwards)</b>
<b>Declarations of Conflicts of Interest Policy</b>	<b>Governance</b>	<b>October 2022</b>	<b>October 2024</b>	<b>Board</b>	<b>Every 5 years</b>
<b>Data Protection Policy</b>	<b>Data Protection Officer Governance</b>	<b>June 2023</b>  Note: a very low level review was undertaken in 2023 when the Board Handbook was updated	<b>2024/2025 – once the new Data Bill has been passed</b>	<b>Audit and Risk Assurance Committee</b>	<b>Every 2 years</b>
<b>Whistleblowing policy</b>	<b>Corporate</b>	<b>October 2021</b>	<b>Review now due</b>	<b>Audit and Risk Assurance Committee</b>	<b>Every 2 years</b>
<b>Fraud and Bribery Prevention Policy</b>	<b>Director of Standards Corporate</b>	<b>2023</b>  Note: a very low level review was undertaken in	<b>2025</b>	<b>Audit and Risk Assurance Committee</b>	<b>Every 2 years</b>



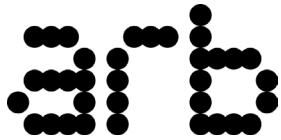
<b>Policy</b>	<b>Current Executive Level Responsibility for the Policy</b>	<b>Last Review</b>	<b>Next Review (based on current plans and to regularise the cycle)</b>	<b>Current Level of Authority for Approval of the Policy</b>	<b>Frequency of Review (from 2024 onwards)</b>
		2023 when the Board Handbook was updated			
<b>Board member's Annual Performance and Development Review Policy including relevant supporting documents and role profiles</b>	<b>Governance Corporate</b>	<b>2020</b>	<b>Currently under review</b>	<b>People Committee has responsibility for approving the Policy/Process; other documents will be noted by the Committee and the Board; the Board will have opportunities to input and feedback on the development of the policy/process and supporting documents</b>	<b>Every 4 years</b>
<b>Associates Performance and Development policy</b>	<b>Corporate</b>	<b>2020</b>	<b>Currently under review</b>	<b>People Committee</b>	<b>Every 4 years</b>
<b>Recruitment and Appointment of</b>	<b>Corporate Governance</b>	<b>2020</b>	<b>Requires review in 2024</b>	<b>People Committee</b>	<b>Every 5 years</b>



Policy	Current Executive Level Responsibility for the Policy	Last Review	Next Review (based on current plans and to regularise the cycle)	Current Level of Authority for Approval of the Policy	Frequency of Review (from 2024 onwards)
<b>ARB's Associates Policy</b>					
Travel, Subsistence and Attendance Allowance Policy	Corporate	April 2023	2025	Board	Every 2 years
Board members' complaints procedure	Governance Corporate	2023  Note: a very low level review was undertaken in 2023 when the Board Handbook was updated	2025	Board	Every 5 years
<b>ARB Customer Service Complaints Policy</b>	<b>Governance</b>	<b>2023</b>  Note: a very low level review was undertaken in	<b>Requires review in 2024</b>	Board	Every 3 years



Policy	Current Executive Level Responsibility for the Policy	Last Review	Next Review (based on current plans and to regularise the cycle)	Current Level of Authority for Approval of the Policy	Frequency of Review (from 2024 onwards)
		2023 to bring the online form up to date			
Board Open and Confidential Session Matters Policy	Governance	2019	2025	Board	Every 5 years
ARB's Investment Policy	Corporate	2023	2024	Board	Every 2 years
ARB's Reserves Policy	Corporate	2023	2024	Board	Every 2 years
Risk Appetite	Corporate	2022	2024	Board	Every year
Health and Safety Policy (Staff Handbook)	Corporate	2019	Q3 2024	Audit and Risk Assurance Committee	Every 2 years
Safeguarding Policy	Governance	New Policy Needed	New Policy Needed	TBC	Governance to check what would fall in scope and to benchmark; this policy may

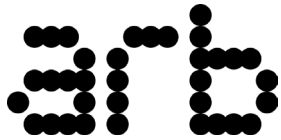


Policy	Current Executive Level Responsibility for the Policy	Last Review	Next Review (based on current plans and to regularise the cycle)	Current Level of Authority for Approval of the Policy	Frequency of Review (from 2024 onwards)
					not be needed as a result of the benchmarking

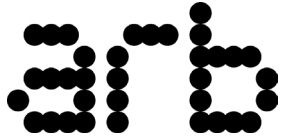
Other documents for which the Board and its Committees currently have responsibility for approving:

Policy	Responsibility	Last Review	Next Review	Current Level of Authority for Approval	Frequency of Review
ARB's Equality, Diversity and Inclusion Statement	CEO's Office	N/A	2024	Board	Every 3 years
ARB's Scheme of Delegation	Governance	2023	2025	Board	At least every 2 years, but annually if adjustments are required due to new legislation or changes in ARB's operations
Committee Terms of Reference (Accreditation Committee, Appeals Committee, Audit)	Governance	April 2022	2024	Board	Every 2 years

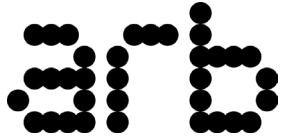




Policy	Responsibility	Last Review	Next Review	Current Level of Authority for Approval	Frequency of Review
and Risk Assurance Committee and People Committee)					
<b>ARB's General Rules and policies within those</b>	<b>Governance (in tandem with the relevant Department)</b>	<b>2023</b>	<b>Currently under Review</b>	<b>Board Accreditation Committee for Schedule 1 of the General Rules</b>	At least every 2 years, but annually if adjustments are required due to new legislation or changes in ARB's operations
ARB's Appeals Rules and policies within those	Governance (in tandem with the relevant Department)	2023	2027	Board	At least every 4 years
ARB's Investigations and Professional Conduct Committee Rules and the policies within those	Professional Standards	2022	2025	Board	Every 3 years
<b>ARB's Prescribed Examination Rules and the policies within those</b>	<b>Policy &amp; Communications Registration Governance</b>	<b>CHECK</b>	<b>Currently under review</b>	<b>Board</b>	<b>Every 5 to 7 years</b>



Policy	Responsibility	Last Review	Next Review	Current Level of Authority for Approval	Frequency of Review
ARB's Accreditation Rules and the policies within those	Policy & Communications Accreditation	2023	2027	Board	Review after 3 years in the first instance; then commencing a review every 5 to 7 years
Accreditation Standards and Outcomes	Accreditation Standards Policy and Communications	2023	2027	Board	Review after 3 years in the first instance; then commencing a review every 5 to 7 years
ARB/DLUHC Framework Agreement	Governance (in tandem with other relevant Departments)	2023	At least once every five years	Board/relevant DLUHC approvals	At least once every five years
Title Protection Policy	Professional Standards	December 2021	Q4 2024	Board	Every 3 years
<b>Architects Code: Standards of Conduct and Practice</b>	<b>Professional Standards</b>	<b>January 2017</b>	<b>Currently under review; to be published in 2025</b>	<b>Board</b>	<b>Every 5 years</b>
Continuing Professional Development Requirements	Professional Standards	2023	Q4 2025	Board	Annually



Policy	Responsibility	Last Review	Next Review	Current Level of Authority for Approval	Frequency of Review
Continuing Professional Development Framework	Professional Standards	2023	2028	Board	Every 5 years
ARB Privacy Notices including Website, CRM Portal, Complaints, Employment, and MRA Agreements	Data Protection Officer Governance	June 2023	2024/2025 – see above in relation to overarching Data Protection Policy	Audit and Risk Assurance Committee for noting if Data Protection Policy is not impacted; if the Data Protection Policy is impacted then it's for approval by Audit and Risk Assurance Committee	Every 2 years

**Annexe B**

**ARB Policy Review Calendar: The cycle of the policies that will be due for review in the next 5 years (2024-2028)**

2024	2025	2026	2027	2028
<b>Policies</b>				
<b>Customer Service Complaints policy</b>	<b>Fraud and Bribery Prevention Policy</b>	<b>Declarations and Conflicts of Interest Policy</b>		
<b>Reserves Policy</b>	<b>Travel, Subsistence and Attendance Allowance Policy</b>			
<b>Data Protection Policy</b>	<b>Board members' complaints procedure</b>			
<b>Board member's Annual Performance and Development Review Policy including relevant supporting documents and role profiles</b>	<b>Board Open and Confidential Session Matters Policy</b>			
<b>Associates Performance and Development policy</b>				

2024	2025	2026	2027	2028
Recruitment and Appointment of ARB's Associates Policy				
ARB's Investment Policy				
ARB's Reserves Policy				
Risk Appetite				
Safeguarding Policy				
<b>Other Documents:</b>				
ARB's Scheme of Delegation	Architects Code: Standards of Conduct and Practice		ARB's Appeals Rules and policies within those	ARB/DLUHC Framework Agreement
ARB's Equality, Diversity and Inclusion Statement	Continuing Professional Development Requirements		ARB's Accreditation Rules and the policies within those	Continuing Professional Development Framework
ARB's General Rules	ARB's Investigations and Professional Conduct Committee Rules and the policies within those		Accreditation Standards and Outcomes	
Committees' Terms of Reference				

2024	2025	2026	2027	2028
<b>ARB Privacy Notices including Website, CRM Portal, Complaints, Employment, and MRA Agreements</b>				
<b>Title Protection Policy</b>				