**2.4.1 TEMPLATE: *Scheme compliance plan* questions, which the applicant association should complete**

The questions below are designed to help you demonstrate to the Professional Standards Councils that the association applying for a Professional Standards Scheme maintains a structured approach to monitoring and reporting on Scheme compliance obligations.

**Note**: Associations may have a stand-alone compliance plan for Scheme obligations, or include them with their other legal, regulatory and/or industry obligations.

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| 1. **OVERVIEW: *STRUCTURE***
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| As a best practice guide, a Scheme compliance plan comprises the following adaptive sections: |
| ***Section*** | ***Description*** |
| **Context of the association** | * Description of the association e.g.
* what it does
* key responsibilities
* support to members
* connecting the occupation and consumers
* vision and mission
* relationship with other regulators
* classes of membership (including exclusions and exemptions)
* needs and expectations of key stakeholders.
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| **Leadership and organisation** | * Leadership and commitment
* Association roles, responsibilities, and authorities.
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| **Governance principles and risk management** | * Risk and compliance culture
* Professional risk management framework.
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| **Scheme compliance obligations** | * Association compliance obligations
* Scheme approval requirements
* association professional risk management strategies
* provide information requested by the councils
* annual reporting (APSR) to the Councils
* fee payments
* Scheme participant compliance obligations
* association membership requirements
* CPD requirements
* association insurance standards
* sufficiency of business assets
* disclosure requirements
* Managing compliance with Scheme requirements
* key internal stakeholders
* compliance process
* Identification, analysis and evaluation of compliance risks
* Review process and reporting
* Risk register and monitoring.
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| **Support** | * Resources
* Competence and training
* Awareness
* Communications (internal and external)
 |
| **Operation and compliance controls** | * Compliance control register (risk-based approach e.g. risk consequence, monitoring procedure, existing/mitigating controls, effectiveness of mitigating controls, control owner).
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| **Performance evaluation**  | * Audit
* Management review.
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| **Improvement** | * Non-conformity, non-compliance, and corrective action
* Continual improvement
* predetermined criteria review and assessment.
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| 1. **QUESTIONS: *ASSOCIATION COMPLIANCE PLAN***
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| **Evidence / information required** | **Association’s response (including examples)**  |
| 1. Provide your association’s current Scheme compliance plan
2. If you are proposing a Scheme compliance plan, describe the approach for establishing, developing, implementing, evaluating, maintaining, and improving an effective plan.
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| 1. **QUESTIONS: *COMMUNICATION***
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| 1. Describe the ways your Scheme compliance plan requirements are/will be communicated to your members, where applicable, and how you assess and improve the communication of your plan.
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