**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*** | |
| 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. |
| **Leadership and organisation** | * Leadership and commitment * Association roles, responsibilities, and authorities. |
| **Governance principles and risk management** | * Risk and compliance culture * Professional risk management framework. |
| **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. |
| **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). |
| **Performance evaluation** | * Audit * Management review. |
| **Improvement** | * Non-conformity, non-compliance, and corrective action * Continual improvement * predetermined criteria review and assessment. |

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| 1. **QUESTIONS: *ASSOCIATION COMPLIANCE PLAN*** | | |
| **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. |  | |
| 1. **QUESTIONS: *COMMUNICATION*** | | |
| 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. |  | |