Template

Professional risk management strategies

# Instructions

This template asks about your association’s member-facing professional risk management strategies.

It includes 10 questions, divided into 4 categories:

* Structure
* Implementation
* Other statutory or regulatory requirements
* Improvement and consumer protection outcomes.

Enter your response in the space below each question, noting which documents you have provided to support your answer.

We understand that your association’s adoption and application of the requirements for this module will vary according to its size and context. If needed, we can help you to identify your areas of greatest need and where your resources can best be applied.

For help completing this template, including best practice examples, see the Professional risk management strategies guidance.

# Questions

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| Structure |
| 1. What professional risk management strategies does your association use, or propose to use, in each of the following areas?
* **Membership requirements** (entry, annual, ongoing, fit and proper person)
* **Continuing occupational education requirements** (continuing professional development)
* **Quality management that your association completes** (such as member audits and quality reviews)
* **Risk management required of members** (by your association or their firms).

Give further details below, if needed.  |
| Required documents | For each of the above areas, provide documents such as: * relevant elements of your constitution
* approved policies, procedures and processes
* forms, templates and internal or external standards
* oversight by executive bodies or committees and their terms of reference
* standing communication to members
* relevant website content.
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Add your association’s response to this question here, if needed. Type over or delete this text.

Use the Body text style to complete your answer. If you need more styles, use built-in styles:

* Heading 2 and Heading 3
* Bullet list, Numbered list.

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| Implementation |
| 1. If you are proposing or amending a professional risk management strategy, how will your association implement it? Include the resources you will use (such as staff, financial and IT) and the implementation timetable.
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Add your response.

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| Other statutory or regulatory requirements |
| 1. Are you or your members subject to a statutory or regulatory requirement for all or part of your professional risk management strategies?

If so, please answer a and b below. If not, please go to Question 4. * 1. What are the relevant statutory provisions and who is the regulator?
	2. How does your association, as a professional standards co-regulator, interact with the statutory regulator? Provide examples, such as through scheduled meetings or consultation, or panel or committee membership.
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Add your response.

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| Improvement and consumer protection outcomes |
| 1. How does your association plan to improve each of the listed professional risk management strategies from Question 1? Provide a detailed response.
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Add your response.

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| 1. How does your association plan to improve its strategies to address consumer harms and risks? Provide a detailed response.
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Add your response.

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| 1. What are the executive and governing body’s roles and responsibilities in assessing the effectiveness of each of the listed strategies? A key part of this question is how does your governing body seek relevant independent expert advice to support its decision-making?
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Add your response.

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| 1. How do you communicate your professional risk management requirements to your members? How do you assess and improve this communication?
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Add your response.

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| 1. What measures do you use to assess the effectiveness of your professional risk management strategies, and how often do you use them? Measures could be qualitative, such as measures of satisfaction, or quantitative, such as actual numbers or dollar amounts.
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Add your response.

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| 1. How do these measures help you to continuously improve these strategies and further protect consumers of your members’ services?
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Add your response.

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| 1. What is the improvement cycle for your professional risk management system? Include information such as:
* how you use trends identified in the outcomes of conduct and competence processes (including consumer claims, notification and complaints data) to inform your revisions
* how you identify and incorporate best practice
* how you identify and confirm the purpose and benefits of the improvement
* how you assign adequate resources to the improvement
* how you keep the process free of inappropriate or conflicted influence (including by government, the profession, employers or other interested parties)
* how you engage and consult with stakeholders (such as members, the public, consumers, regulators and related occupational associations) to assure alignment with your strategies
* how you develop practical measures of effectiveness for each strategy (for example, by using data collection, collation, analysis and reporting to the governing body)
* which changes require approval by the governing body and a general meeting of members.
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Add your response.