

Overview

Scheme compliance plan

Starting this submodule

This submodule will help you to develop your association's scheme compliance plan. This plan is one of our requirements to meet regulatory best practice.

Understanding the scheme compliance plan

We expect your scheme compliance plan to meet Australian Standard AS ISO 37301:2023 Compliance management systems (the Standard). The Standard defines compliance as follows:

Compliance is an ongoing process and the outcome of an organisation meeting its obligations. Compliance is made sustainable by embedding it in the culture of the organisation and in the behaviour and attitude of people working for it.

An effective scheme compliance plan shows that your association will:

- monitor and report on its scheme compliance obligations in a structured way
- administer the scheme in line with the Standard
- manage any scheme risks appropriately
- identify and treat any new and emerging risks in line with your risk approach.

Your plan should cover topics such as your professional risk management strategies, fee payment, compliance with association membership requirements, CPD requirements and insurance standards. It can be a standalone document or included with your other legal, regulatory or industry obligations.

If your scheme is approved, you will also use this plan as the base for your mandatory Annual Professional Standards Report (APSR). In the APSR, you must report on how your association has implemented its professional risk management strategies over the past calendar year, noting:

- the scheme aims of consumer protection and improved occupational standards
- compliance with the professional standards legislation.

You must submit your APSR to us by 31 March each year.

Following scheme approval, we meet with you to discuss the APSR in more detail. In this workshop, we cover the ongoing compliance and reporting obligations for the scheme. You can find out more in:

- [Introduction – The professional standards scheme application process](#)
- [Module 6 – Annual Professional Standards Report](#).

Completing the plan and questions

Use our Scheme compliance plan [template](#) to develop your association's plan. Then answer the questions in the template and submit your answers with your plan.