**4.1.1a TEMPLATE: *Association codes* 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 code(s) that provide consumer protections.

To assist you, see Guidance4.1.2 *Association codes.*

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| 1. **QUESTION: *STRUCTURE***
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| **Evidence / information to be provided** | **Association’s response (including examples)**  |
| Provide and explain your association’s current, or proposed, code of ethics and/or code of practice. Support your explanation of how the code(s) is (or are) operationalised by providing relevant documents such as: * the relevant Constitution elements
* approved policy, procedures, processes
* forms, templates, internal or external standards
* oversight by executive bodies or committees and their terms of reference
* standing communication to members and the public
* relevant website content.
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| 1. **QUESTION: *IMPLEMENTATION***
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| Where a code of ethics and / or code of practice is proposed, or being amended, discuss how your association will operationalise the code, including the association’s resources (e.g. staff, financial, IT) and implementation timetable.  |  |
| 1. **QUESTION:**  ***CODE COMPARISON***
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| Complete and provide the template contained in 4.1.1b for comparing the association’s codes, or draft codes, with 4.1.2 *Association codes guidance*. In completing the table, you may need to refer to more than one Code, and where this is the case, should be clearly identified, such as CE 1.0 (for your code of ethics), CC 1.0 (for your code of conduct), CP 1.0 (for your code of practice), SC s1 (for a statutory code).  |  |
| 1. **QUESTION: *OTHER STATUTORY OR REGULATORY REQUIREMENTS***
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| 1. Where your association or members are subject to a statutory or regulatory code of ethics and / or code of practice for all or part of a members conduct, provide the references to the relevant statutory code, regulator
2. Explain the interaction between the association as a professional conduct co-regulator and the statutory regulator (examples include scheduled meetings or consultation, membership of panels or committees).
3. Describe your association’s additional code elements which add to, or enhance, the statutory code.
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| 1. **QUESTION: *GOVERNANCE***
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| 1. Discuss the consequences for nonconformance with your code of ethics or breaching the code of practice.
2. Describe the role and responsibilities of your association’s executive and governing body in consumer protection. A key question is how does your governing body go about seeking relevant independent expert advice to support its decision-making?
3. Describe the ways your code(s) are communicated to your members and the public, and how you assess and improve the communication of the code(s) to your members and the public.
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| 1. **QUESTION: *IMPROVEMENTS & CONSUMER PROTECTION OUTCOMES***
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| 1. Describe any plans you have to improve your association’s code(s), including any strategies that you may have to address consumer harms and risks.
2. Describe any measures you use to assess the effectiveness of your code(s) to ensure professional conduct and their frequencies (e.g. qualitative metrics such as measures of satisfaction, or quantitative such as actual numbers or dollar amounts), and how the measures contribute to continuous improvement of the code, and further the objective of protecting consumers of the services provided by your members.
3. Does your association’s code(s) have an improvement cycle? Please describe - for example:
* how emerging trends from the outcomes of conduct and competence processes (including but not limited to consumer claims, notification, and complaints data) are used to inform revisions of the code(s)
* how your association identifies and incorporates best practice
* how the purpose for, and benefits of, the improvement is identified and confirmed
* how adequate resources are assigned to the improvement
* how the process is free of inappropriate or conflicted influence (including by government, the profession, employers, or other interested parties)
* the process of engaging and consultation with stakeholders (e.g. members, public, consumers, regulators, related occupational associations) to assure alignment
* the development of practical measures of effectiveness of each code improvement, for example, collection, collation, analysis and reporting to the governing body
* what changes require governing body approval and formal approval by a general meeting of members.
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