

## Overview

# Disciplinary system

## Starting this submodule

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This submodule sets out the information about your disciplinary system that you need to submit with your application to make, remake or amend a scheme.

It will help you to understand:

- our expectations and requirements for disciplinary systems
- how systems can strengthen consumer safeguards around member activity.

We ask for this information in line with professional standards legislation. For example, in the Professional Standards Act 1994 (NSW), sections 10 and 36 cover this.

When applying to remake or amend a scheme you must also complete this module. But first, confirm with us what we will require. Your association might have previously provided the information requested in this module, such as in an earlier scheme application, an annual or ad hoc report. If this is the case, you need only refer to the previously provided information or attach that information. Then complete the submodule by identifying and explaining any improvements or changes since you last gave us the information.

## Understanding disciplinary systems

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Associations use disciplinary systems when members breach professional standards. Under these systems, associations may investigate issues, make findings and impose sanctions.

Disciplinary systems aim to:

- hold members accountable for professional conduct, competency and character standards
- deliver timely and procedurally fair outcomes
- help associations and members improve professional standards to meet community expectations and reduce consumer harm.

The disciplinary system may include or be integrated with other elements of an association's professional risk management strategies. These include:

1. Membership requirements (entry, annual, ongoing, fit and proper person)
2. Continuing occupational education requirements (continuing professional development)
3. Quality management that your association completes (such as member audits and quality reviews)
4. Risk management required of members (by your association or their firms).

## Completing the templates

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This submodule includes 2 templates:

1. [Disciplinary system](#)
2. [Model Code comparison](#).



## Overview: Disciplinary system

Enter the information about your association into the templates and submit the required supporting documents with your application.

Use the Disciplinary system [guidance](#) to help you.