

0.0 Briefing note

Scheme application framework - matrix

For Schemes being prepared under Professional Standards
Legislation

June 2021





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Approved By	Chief Executive Officer, Professional Standards Councils

Revision History

Version	Approved by	Approval date	Effective date	Sections modified
1.0	PSC	18 June 2021	1 July 2021	This is a new guidance

Disclaimer

This guidance is applicable only to an occupational association preparing a Scheme for approval under Professional Standards Legislation. It does not constitute legal or other professional advice and should not be relied on as such. An occupational associations should seek its own legal/professional advice to find out how the Professional Standards Legislation and other relevant laws and regulations may apply to it. For access to legislation in force in NSW, go to the official NSW Government website for online publication of legislation at www.legislation.nsw.gov.au.

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The Professional Standards Councils, and the Professional Standards Authority, acknowledge the Traditional Custodians of the lands where we work and live. We celebrate the diversity of Aboriginal peoples, and their ongoing cultures and connections to the lands and waters of Australia. We pay our respects to Elders past, present and emerging.

Pilot



1. Objective

A key aim of this briefing note is to assist your association in understanding how the Scheme Application Framework is organised, at a high level, through the use of modules, submodules, guidance and templates.

2. How the application process is organised

Using a table of modules, submodules, guidance and templates, this briefing note applies a framework matrix to assist your association at a high level to scope and project manage its application.

For detail, see Guidance 0.0.1 *Application organisation and process*.

In summary, the framework matrix has 6 'umbrella' modules and 14 supporting sub-modules, arranged thematically. The modules combined form the *Scheme Application Framework* (framework), with the following features:

- the framework supports a scalable and modular approach
- each module can be completed free-standing and may be internally referential
- there is a recommended order for completing modules for applications for new Schemes, or for remaking or amending Schemes (see Guidance 0.0.2 *Application organisation and process* for a summary)
- most modules and submodules have a guidance document explaining the position of the Professional Standards Councils (Councils) on the specific component and are designed to assist your association with collating the information required for each module (or submodule), according to regulatory best practice. The guidance *does not* form part of the application to be submitted to the Councils and is meant to advise and assist your association.
- some modules (or submodules) include a template, which it is strongly recommended that you use, unless you can convey the information required in a way that is more convenient for you, having regard to your association's unique circumstances.

The reporting requirements for some modules are self-explanatory and no additional guidance is provided. However, where an applicant association has difficulty in completing any of the modules, you are recommended to contact the Professional Standards Authority for further assistance.

3. Framework matrix - summary

Below is a summary of the matrix of the *Scheme Application Framework*:

MODULE / SUBMODULE	TEMPLATE	GUIDANCE
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MODULE / SUBMODULE	TEMPLATE	GUIDANCE
0.0 Application Framework matrix (briefing note)		0.0.1 Application organisation and process guidance
		0.0.2 Application process and questions – common requirements (ready reckoner) guidance
1.0 The Association and its capability to operate a Professional Standards Scheme	1.0.1 Readiness to regulate questions template	1.0.2 The Association and its capability to operate a Professional Standards Scheme guidance
1.1 Occupational Group & Occupational Association (submodule)	1.1.1 Occupational Group and Association questions template	1.1.2 Occupational Group & Occupational Association guidance
1.2 Association governance, conflicts of interest and financial arrangements (submodule)	1.2.1 Governance, conflicts of interest and financial arrangements questions template	1.2.2 Governance, conflicts of interest and financial arrangements guidance
1.3 Association enterprise/business risk management system not inconsistent with ISO31000 (submodule)	1.3.1 Association enterprise/business risk management questions template	
1.4 Other statutory requirements (submodule)	1.4.1 Other statutory requirements	



MODULE / SUBMODULE	TEMPLATE	GUIDANCE
	questions template	
2.0 Letter of application from Association governing body to Councils		
2.1 Scheme Instrument (submodule)	2.1.1 Scheme instrument template	2.1.2 Scheme instrument guidance (with statutory references supporting clauses used and intersection with Commonwealth laws)
2.2 Association Insurance Standards (submodule)		2.2.1 Association insurance standards guidance
2.3 Public Consultation Document (submodule)	2.3.1 Public Consultation Document template	2.3.2 Public Consultation Document guidance
2.4 Scheme compliance plan not inconsistent with ISO19600 (submodule)	2.4.1 Scheme compliance plan questions template	
3.0 Members or class of members eligible to participate in the Scheme	3.0.1 Members or classes of members eligible to participate in the Scheme questions template	3.0.2 Members or class of members eligible to participate in the Scheme guidance
3.1 Consumers affected by the Scheme & identification of	3.1.1 Consumers affected by the Scheme and consumer harms	3.1.2 Consumer protection guidance



MODULE / SUBMODULE	TEMPLATE	GUIDANCE
consumer harms (submodule)	questions template	
4.0 Professional risk management strategies	4.0.1 Professional risk management strategies questions template	4.0.2 Professional risk management strategies guidance
4.1 Association Code(s) (submodule)	4.1.1 (a) Association codes questions template 4.1.1 (b) Code of Ethics template (comparative table)	4.1.2 Association Code(s) guidance
4.2 Resolution of complaints from (members') client's system (submodule)	4.2.1 Resolution of complaints questions template	4.2.2 Complaints systems guidance
4.3 Discipline of members system (submodule)	4.3.1 (a) Discipline of members questions template 4.3.1 (b) Statutory Model Code template (comparative table)	4.3.2 Discipline system guidance Plus, Model Code (Legislation) Plus, Councils Policy on Complaints & Discipline
5.0 Members' Claims Data	5.0.1 Member claims data	5.0.2 Members claims data guidance



MODULE / SUBMODULE	TEMPLATE	GUIDANCE
	questions template	
5.1 PI insurance cost and availability submodule	5.1.1 PI insurance cost and availability questions template	
6.0 Annual Scheme reporting capacity and capability		6.0.1 APSR guidance (previously known as PSIP)

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