Template

Readiness to operate a
professional standards scheme

# Instructions

This template will help you to decide whether your association is eligible and ready to apply for a professional standards scheme.

It includes 27 statements about 7 categories of risk. Consider whether each statement applies to your association and how you would address any associated risk. If a statement does apply or you cannot show how you would mitigate a risk, discuss this with us in your pre-application workshop.

Enter your response in the space indicated. Provide examples wherever possible and supporting documents as needed.

For help completing this template, including sample responses, see the Readiness to operate a professional standards scheme guidance.

# Statements of risk

|  |
| --- |
| Membership |
| 1. The association cannot compel members to provide data.
 |

Add your association’s response to this statement here. 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.

|  |
| --- |
| 1. The association cannot compel members to hold professional indemnity insurance.
 |

Add your response.

|  |
| --- |
| 1. The association cannot compel members to improve occupational standards.
 |

Add your response.

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| --- |
| 1. The association’s proposed scheme only includes a small part of its overall membership.
 |

Add your response.

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| --- |
| 1. The association does not have the minimum number of members to represent the occupational group.
 |

Add your response.

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| --- |
| 1. The association has corporate members.
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Add your response.

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| --- |
| 1. The association does not have robust and independent systems for resolving consumer complaints and disciplining members.
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Add your response.

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| --- |
| Governance |
| 1. The association is not a corporate body or cannot maintain its statutory responsibilities as an incorporated entity.
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Add your response.

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| --- |
| 1. The association’s constitution does not enable a scheme to be created and approved.
 |

Add your response.

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| --- |
| 1. The association is part of a complex corporate structure.
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Add your response.

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| --- |
| 1. The association appears to operate as an industrial association (lobbying in the interest of employers) or as a commercial association (sales for the interest of shareholders).
 |

Add your response.

|  |
| --- |
| 1. The association has no volunteer or member committees.
 |

Add your response.

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| --- |
| 1. The association has no member representatives on the governing body.
 |

Add your response.

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| --- |
| 1. The association is a proprietary limited (Pty Ltd) company structure (company limited by shares).
 |

Add your response.

|  |
| --- |
| 1. The association is a national association with state-based entities that are not strategically aligned.
 |

Add your response.

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| --- |
| 1. The turnover of governing body members is excessively high or low.
 |

Add your response.

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| --- |
| Occupational group |
| 1. The association operates in a high-risk occupational environment, such as financial services or the built environment.
 |

Add your response.

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| --- |
| 1. The association’s occupational group does not require professional indemnity insurance.
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Add your response.

|  |
| --- |
| 1. The association cannot identify consumers of its members’ services or the potential harms against those consumers.
 |

Add your response.

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| --- |
| 1. The association represents a small proportion of the entire occupational group.
 |

Add your response.

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| --- |
| Political risk or conflict of interest |
| 1. The association has connections or conflicts of interest with key decision-makers (political, media or administrative).
 |

Add your response.

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| --- |
| Prior performance |
| 1. The association expects a scheme remake (or replacement scheme), despite poor annual reporting scores or previous non-compliance.
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Add your response.

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| --- |
| Resourcing |
| 1. The association has no visibility over claims and professional indemnity insurance.
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Add your response.

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| 1. The association’s application will be largely drafted by an external consultant.
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Add your response.

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| 1. The association does not have enough resources to submit an application or operate the scheme over its life cycle.
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Add your response.

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| --- |
| Administrative |
| 1. The association is submitting an application for a scheme remake with less than 10 months until the current scheme expires.
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Add your response.

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| 1. The association’s governing body has not considered or approved its application before submission.
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Add your response.