



## **Innovation in complaints systems**

### *The role of the Professional Standards Councils*

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Chair, Professional Standards Councils

20 October 2022

**[www.psc.gov.au](http://www.psc.gov.au)**

# The Councils





# Professional standards schemes

## Research Library

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### **Professionalism**

Professionalism is the behaviour exhibited by professionals in upholding the principles, laws, ethics, and conventions of a profession as a way of practice. It has changed over time with changes in society, and is linked to the standards set by the profession and its professional association.

# Professional standards schemes

Associations with professional standards schemes provide better protection



**18 associations with professional standards schemes**

- › qualified professionals
- › ethical and competent services
- › ongoing education requirements
- › complaints and disciplinary processes
- › insured professionals

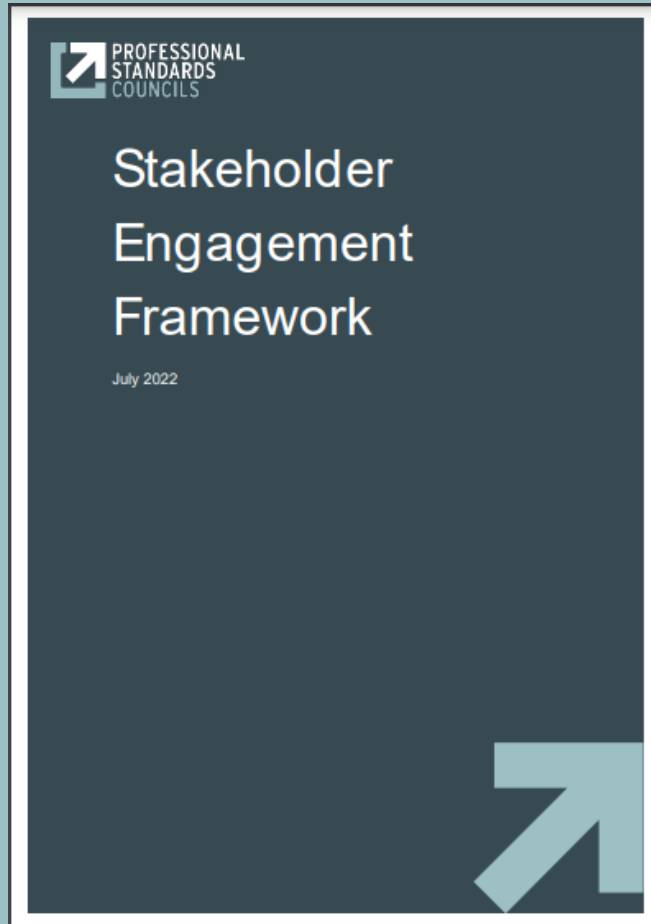


**Over 86,000 professionals** are part of professional standards schemes operated by their professional or occupational association



**Over 1 million consumers** receive quality professional services at any given time

# Strategic direction – last three years



**PROFESSIONAL STANDARDS COUNCILS**

## Stakeholder Engagement Framework

July 2022

This cover page features the Professional Standards Councils logo at the top left, the title 'Stakeholder Engagement Framework' in large white text, and the date 'July 2022' below it. A large light blue arrow graphic is in the bottom right corner.



**PROFESSIONAL STANDARDS COUNCILS**

## PROFESSIONAL STANDARDS FORUM + WORKSHOP

Responding to risk – insurance and improvement strategies

Thursday April 7, 2022 | Online via Zoom | 9.30 AM - 1.15 PM AEST

**Iain Summers**  
Professional Standards Councils

**Matt Press**  
Director, Office of the NSW Building Commissioner

**Adj Assoc Professor Bernie Harrison**  
Director, AHCS Improvement Academy

This event page features the Professional Standards Councils logo at the top left and a light blue arrow graphic at the top right. The main title is 'PROFESSIONAL STANDARDS FORUM + WORKSHOP' with the subtitle 'Responding to risk – insurance and improvement strategies'. Below this, a box contains the date 'Thursday April 7, 2022', the format 'Online via Zoom', and the time '9.30 AM - 1.15 PM AEST'. At the bottom, three circular headshots are shown with names and titles: Iain Summers (Professional Standards Councils), Matt Press (Director, Office of the NSW Building Commissioner), and Adj Assoc Professor Bernie Harrison (Director, AHCS Improvement Academy).



## Scheme Application Framework

Home > Scheme Application Framework

### The Scheme Application Framework

This Scheme Application Framework is designed to help occupational associations to apply for a professional standards scheme.

The Professional Standards Councils are responsible for facilitating the improvement of professional standards and the protection of consumers by enabling the creation of statutory schemes. We do this by approving and supervising schemes applied for by occupational associations on behalf of their members.

We conduct a rigorous assessment of applications submitted by occupational associations who want to enter or continue to participate in the national system for professional standards regulation. It is important that occupational associations submit an application that meets the statutory requirements together with complete and comprehensive supporting evidence.

This Framework was co-designed with occupational associations and delivers a simple, clear way for an occupational association to demonstrate that it meets the requirements of professional standards legislation, and can protect consumers and manage professional risks. The Framework is flexible and can be used when applying for approval of a new scheme or for the remake or amendment of a scheme.

This webpage content includes the Professional Standards Councils logo at the top left and a light blue arrow graphic at the top right. The main heading is 'Scheme Application Framework', followed by a breadcrumb 'Home > Scheme Application Framework'. The section title is 'The Scheme Application Framework'. The text describes the purpose of the framework, the role of the councils, and the assessment process. It also mentions that the framework was co-designed with occupational associations.





# Strategic direction – next three years



## Strategy 2025

Our statement of strategic intent sets out the next steps in achieving our vision for occupational associations to lead the way in continuously improving the high standard of professional services to Australian consumers.

### Foreword



**The Professional Standards Councils and our regulatory agency, the Professional Standards Authority, work to improve professional standards and protect consumers of professional services across Australia.**

In *Strategy 2025*, we are pleased to present our plan and priorities for the next three years as we lead the national system of professional standards regulation.



<b>Role</b>	To lead the national system of professional standards regulation by enabling the creation of professional standards schemes, and by assisting and supervising their operation, balancing the interests of consumers of professional services and of professions and occupations.				
<b>Leadership</b>	Our role is supported by sound management of risk and resources, and the development of our core capabilities and stakeholder relationships.				
<b>Strategic goals</b>	<b>Strategic initiatives</b>			<b>Success indicators</b>	<b>Performance measures</b>
<b>1. Extend professionalisation through professional standards schemes</b>	Encourage the Councils and occupational associations to focus more strongly on consumer protections and communicating the benefits of professional standards schemes to consumers and the community	Raise awareness of the benefits of schemes in protecting consumers, including through better complaints systems of occupational associations and more active engagement with the insurance industry	Develop and implement tailored models that assist smaller or emerging occupational associations to develop professional standards regulatory capacity.	Decision makers in government, occupational associations and consumer groups promote & pursue professional standards schemes  Occupations are using the national system for professional standards regulation	Increasing participation: schemes and members  Improving visibility of schemes and consumer benefits  Improving accessibility of occupational association complaints systems
<b>2. Strengthen the value proposition of professional standards regulation to occupational associations.</b>	Clarify stakeholder needs and perspectives on what constitutes 'benefit' from professional standards schemes.	Invest in data and digital products and services that support the value proposition from the Councils to occupational associations.	Design and deliver accessible and useable forums, guidance, research, and resources that facilitate collaboration and knowledge sharing.	All participating occupational associations are collaborating to share good practice and knowledge to continuously improve regulatory capacity, consumer protection and professional standards	Decreasing seriousness in consumer complaints and claims  Improving stakeholder confidence from occupational associations and others who represent consumer interests, including those in government
<b>3. Actively supervise scheme compliance and performance, standards, and risk management strategies of occupational associations</b>	Engage and equip occupational associations to proactively identify and treat compliance obligations, consumer harms and professional risks.	Develop, monitor and manage broad measures of professional standards scheme compliance and performance.	Analyse long-term trend data to ascertain the level of protection of consumers, policies of insurance, effect of risk management strategies and improvement of standards of members of occupational associations.	The Councils monitor compliance with professional standards schemes and publish performance results, including the way occupational risks and consumer harms are treated.	Publication of longitudinal data and trends  Improvements in key performance indicators assessed from occupational association Annual Professional Standards Reports



## Councils' 3 strategic goals over the next 3 years

1. Extend professionalisation through professional standards schemes
2. Strengthen the value proposition of professional standards regulation to occupational associations
3. Actively supervise scheme compliance and performance, standards, and risk management strategies of occupational associations



Professional  
Standards  
Councils' Forum  
theme:  
innovation in  
complaints  
systems



+ Hybrid event

THURSDAY, 20 OCTOBER 2022

**Professional Standards  
Forum + Workshop**

Innovation in complaints systems



## Innovation in complaints systems

The Councils' assessment of an association's consumer complaints system focuses on three questions:

- 1. Does the system address and reduce consumer harm?**
- 2. Does the system improve professional standards?**
- 3. Is the system sufficiently integrated with other required elements of the association's professional risk management strategies to provide reasonable assurance of consumer protection and professional standards improvements?**



# Innovation in complaints systems

## Schedule 1 Complaints and disciplinary matters

### Model code

#### 1 Citation

This Code may be cited as the *Occupational Associations (Complaints and Discipline) Code*.

#### 2 Definitions

In this Code:

*Council* means the Professional Standards Council constituted by the *Professional Standards Act 1994*.

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**Data driven**

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**Risk integrated**

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**Consumer responsive**

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**Root cause responsive**

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**Strategic**

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**Educative**

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**Adequately resourced**

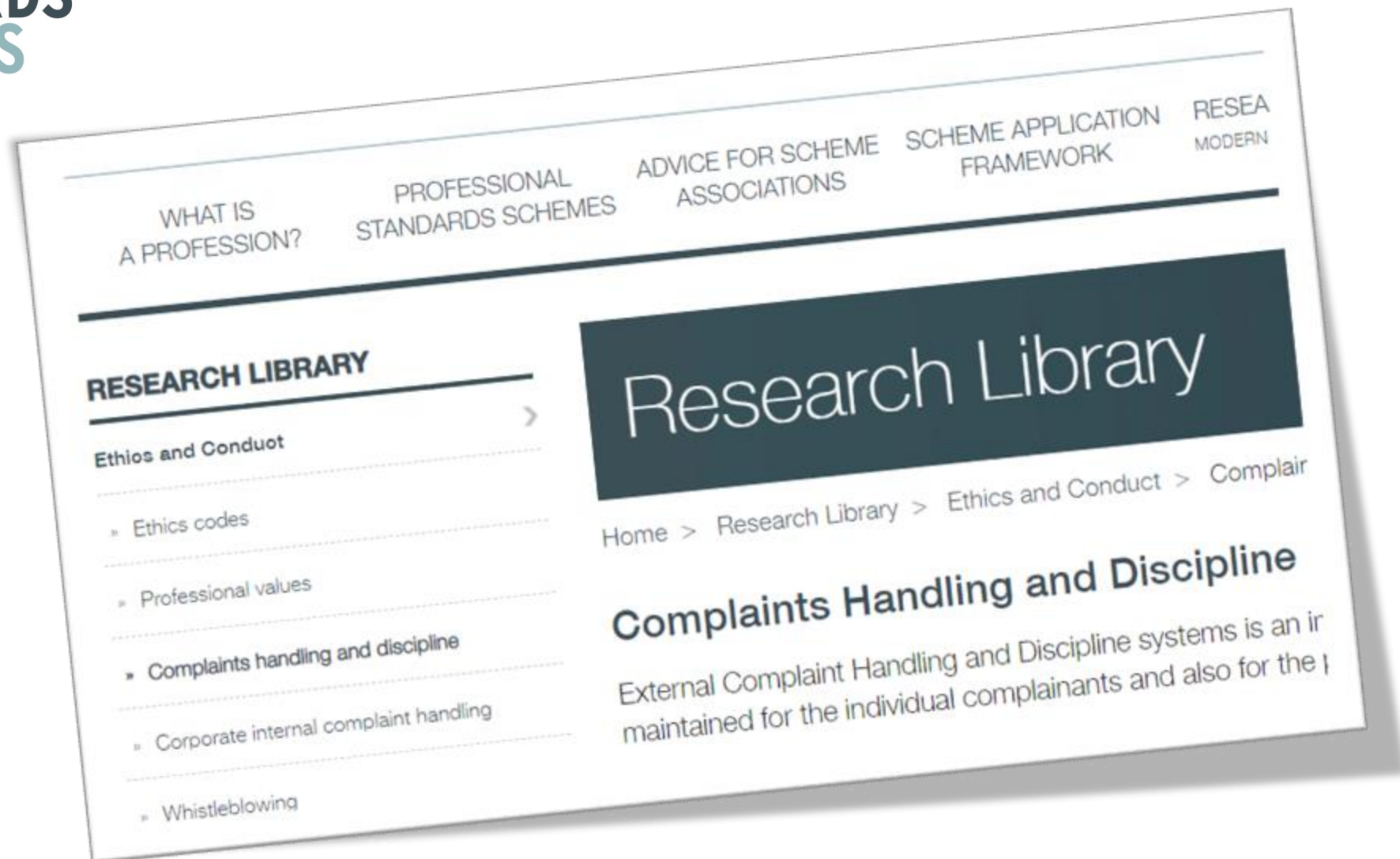
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Thank you

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**RESEARCH LIBRARY**

Ethics and Conduct >

- » Ethics codes
- » Professional values
- » Complaints handling and discipline
- » Corporate internal complaint handling
- » Whistleblowing

**Research Library**

Home > Research Library > Ethics and Conduct > Complain

**Complaints Handling and Discipline**

External Complaint Handling and Discipline systems is an ir maintained for the individual complainants and also for the