Template 1

Disciplinary system

# Instructions

This template is designed to help you show that your association has an effective disciplinary system for members.

The template includes 11 questions, divided into 5 categories:

* Structure
* Implementation
* Other statutory or regulatory requirements
* Governance
* Monitoring and improvement.

Enter your response in the space below each question, noting which documents you have provided to support your answer.

For help completing this template, see the Disciplinary system [guidance](https://www.psc.gov.au/sites/default/files/SAF/SAF_Module_4/4_Guidance_Disciplinary_system.pdf).

# Questions

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| Structure |
| 1. What disciplinary system does your association use, or propose to use, in each of the following areas? It may be integrated with:
* **Membership requirements** (entry, annual, ongoing, fit and proper person)
* **Continuing occupational education requirements** (continuing professional development)
* **Quality management that your association completes** (such as member audits and quality reviews)
* **Risk management required of members** (by your association or their firms).

Give further details below, if needed. |
| Required documents | Any of the following documents that relate to your disciplinary system:* elements of your governing document
* by-laws, regulations, rules
* approved policies, procedures, processes
* forms, templates, internal or external standards
* oversight by executive bodies or committees and their terms of reference
* standing communication to members
* relevant website content.
 |

Add your association’s response to this question 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.

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| 1. Is your disciplinary system based on one or both of the following:
* an external statutory system and regulator (which must cover all elements of professional conduct)
* your association’s own system?
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Add your response.

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| Implementation  |
| 1. If you are proposing or amending a disciplinary system, how will your association implement it? Include the resources you will use (such as staff, financial and IT) and the implementation timetable.
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Add your response.

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| Other statutory or regulatory requirements |
| 1. Are you or your members subject to other statutory or regulatory requirements for all or part of the disciplinary system?

 If so, please answer a and b below. If not, please go to Question 5.1. What are the statutory or regulatory requirements and who is the regulator?
2. How does your association, as a professional conduct co-regulator, interact with the statutory regulator? Provide examples, such as through scheduled meetings or consultation, panel or committee membership, reporting or information sharing.
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Add your response.

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| GovernanceIf you answered any of questions 5-7 in earlier questions, you do not need to repeat the answers here. |
| 1. What is the role of your executive or governing body in the development, implementation, monitoring and improvement of your disciplinary system?
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Add your response.

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| 1. How do you communicate the responsibility for member discipline to your members?
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Add your response.

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| 1. What human, financial and technological resources does your association use to support its disciplinary system?
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Add your response.

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| Monitoring and improvement |
| 1. How do you monitor and improve the disciplinary system? Include:
* how data is collected and assessed to identify and manage professional risks, such as through targeted training and education programs
* which stakeholders are involved
* which staff are involved in the professional risk identification process
* what recommendations about improving occupational practice your association made to members over the last 1–2 years
* what improvements your association made to your occupational conduct, competency and character standards over the last 1–2 years
* how you evaluate the impact of your recommendations and improvements on consumer protection.
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Add your response.

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| 1. How do you consult and communicate with your stakeholders and members when developing, implementing, monitoring and improving your disciplinary system?
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Add your response.

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| 1. What is the frequency, extent and nature of reviews of your disciplinary system? Include how stakeholder interests are represented in reviews.
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Add your response.

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| 1. What was the outcome of your last disciplinary system review? Describe any changes made in response to the review and how you expect these will affect consumer protection.
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| Required documents | * Most recent review of your disciplinary system
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Add your response.