

Appendix A – Table A1: Three Pillars of Professional Standards – Case study Comparisons

Pillars	Aspects of Pillars	Choices / Variations	ACCA	GMC	NMC	RICS	SRA
Entry Standards	Min. Level of entry	Lower than degree	✓	✗	✗	✗	✗
		Degree level	✗	✗	[✓]	✓	✗
		Higher than degree	✗	✓	✗	✗	✓
	Range of entry paths	Diploma/NVQ	✗	✗	✓	✗	✗
		Degree	✗	✓	✓	✓	✓
		Professional qualification	✓	✗	✗	✗	✗
	Degree of control of entry paths	Experience	✓	✗	✗	✗	✗
		Accreditation/ QA	✗	✓	✓	✓	✓
		Authentication of Certs.	✓	✓	✓	✓	✓
	(Post degree) Supervised experience	Own qualifications	✓	✗	✗	✗	✗
Pre-Qualification		✓	✓	✗	✓	✓	
Complaints & Discipline	Ethical code	Post-Qualification (Preceptorship)	✗	✓	[✓]	✗	✗
		Beneficiaries other than client?	✓	✓	✓	✓	✓
		Aspirational	(✓)	✗	(✓)	✗	✗
	Complaints	Actionable	(✓)	✓	(✓)	✓	✓
		Public	✓	✓	✓	✓	✓
		Private	✗	✗	✗	✗	✗
		Handled internally	✓	✓	✓	(✓)	✓
		Handled externally	✗	✗	✗	(✓)	{✗}
		Use of ADR	✗	✗	✗	✗	✗
	Complaints processes	Informed complainant	✓	✗	✓	✓	✓
Compensation		✓	✗	✗	✓	✗	
Filtering		✓	✓	✓	✗	✓	
Investigation		✓	✓	✓	✓	{✗}	
Committees	Disciplinary	✓	✓	✓	✓	✓	
	Appeals	✓	✓	✓	✓	✓	
	Investigating	✗	✓	✓	✗	{✗}	
Establishment of guilt	Disciplinary	✗	✓	✓	✗	✓	
	Combined	✓	✗	✗	✓	✗	
Consequences of transgression	Balance of probabilities	✓	✓	✓	✓	(✓)	
	Beyond reasonable doubt	✗	✗	✗	✗	(✓)	
	CPD	✗	✓	✗	✓	✗	
	Supervision Order	✗	✓	✓	✗	✓	
	Suspension	✓	✓	✓	✓	✓	
	Expulsion	✓	✓	✓	✓	✓	
	Name and shame	✓	✗	✓	✓	✓	
	Removal of privilege	✗	✓	✗	✓	✓	
	Fine	✓	✗	✗	✓	✓	
Quiet word/warning	✗	✗	✗	✓	✓		
Appeals Process	Public apology	✗	✗	✗	✓	✗	
	Internal	✓	✗	✓	✓	✗	
CPD & Positive Supports	External (Courts)	✗	✓	✗	✗	✓	
	Compliance policy	Mandatory	✓	{✗}	✓	✓	✓
		Voluntary	✗	✗	✗	✗	✗
		Obligatory	✗	✗	✗	✗	✗
		Mixed	✗	✗	✗	✗	✗
	Level of CPD requirement	Hours/ points	✓	✗	✓	✗	✓
		No set requirements	✗	✓	✗	✓	✗
		Competency framework	✗	{✗}	✗	✗	✗
	Control over what counts	Accreditation of Suppliers	✗	✗	✗	✓	✓
		Acceptable activities	✓	✗	✓	✗	✓
Measurement	Inputs	✓	✗	✓	✗	✗	
	Outputs	✗	✗	[✓]	✗	✓	
	Combination	✗	✗	✗	✓	✗	
Support for CPD	Guidelines	✓	[✓]	✓	✓	✓	
	Recording templates	✓	[✓]	✓	[✓]	✓	
	Reflection templates	✗	[✓]	[✓]	[✓]	{✗}	
	Helplines/advice	✓	✓	✓	✓	{✗}	
	Mentoring	✓	✗	✓	✗	✗	
Support for ethical behaviour	Ethical dilemmas	✓	✓	✗	[✓]	{✗}	
	Training on code	✗	✓	✓	✓	✓	
	Requirement to sign up to code	✓	✓	✓	✗	✗	
	Ethics Helpline / Advice	✓	✓	✓	✓	✓	
	Access to code	✓	✓	✓	✓	✓	

Table A1: Key

✓	Regulator uses or provides this option
✗	Regulator does not use or provide this option
(✓)	Regulator uses both of these (usually exclusive) options
{✗}	Currently provided by another professional body
[✓]	Regulator will provide this shortly
[✗]	Another body will provide this shortly