

## Accredited Practitioner Register™ Audit Process

Athena Herd Foundation is required to verify that those who are on the Accredited Practitioner Register (Register) comply with the defined standards of registration, and in so doing ensure that the Register remains compliant with the accreditation conditions of the Professional Standards Association.

As part of this Athena Herd Foundation carries out an annual random sampled audit of registrants. Athena Herd Foundation will select a percentage of individual registrants to participate in the audit process.

### The Process

Those applying to join the Register have to prove the existence of core policies and procedures, as well as making a commitment to the register's Athena Framework of Professional Standards and Athena Framework for Ethical Treatment of Horses. The audit process is in place to guarantee continued compliance with these.

To ensure ongoing compliance the Athena Herd Foundation will select a percentage of individual registrants (on a random basis) to participate in the audit process. The current sample size is targeted to be 5% of registrants per annum. This percentage sample size will be reviewed on an annual basis depending on the size of the register.

All registrants who have been on the Register for over a year are eligible to be audited. Those that have been previously selected and satisfactorily reviewed will not be selected again within the next 24 months.

### Content of audits

The annual audit process will cover a review of the following documents:

- Sample review of service user/client records and feedback forms;
- Completed copies of client waiver forms;
- Any recorded or received client feedback;
- Copies of policies and process and any evidence of their application or activity in line with them;
- Copies of current Professional Indemnity insurance, and another insurances required to support their work with service users;
- A review of content and claims made about the service in all marketing and promotional materials;
- Athena Herd Foundation logos and materials have only been used in line with the Athena Brand Protection Policy;
- Records of health and safety incidents, circumstances arising against identified risks or service user complaints;
- Evidence of CPD hours undertaken;
- Records and confirmation of professional supervision

Those selected for audit will be sent a letter informing them that they have been chosen for audit along with the guidelines on the information that they will need to supply to Athena Herd Foundation and the timelines for submission and audit.

### **Result of Audit Process**

A summary audit report will produced after each audit cycle. This report and any actions and/or proposals arising from it will be notified to the Athena Herd Foundation Executive Committee.

Those practitioners who are audited and achieve a satisfactory outcome will be advised and recorded as such. As noted above, those achieving a satisfactory outcome will not be reviewed for at least another 24 months.

Those practitioners who are audited and found to be in breach of their registration and/or the AH Terms and Conditions will be investigated under the terms of the applicable policy, such as AH Safeguarding Policy, AH Anti-Bullying and Harassment Policy or AH Malpractice and Maladministration Policy.

Dependent upon the outcome of this investigation AH would take action in line with the AH Sanctions Policy. This has a number of options available, ranging from imposing a SMART action plan to removal from the register.

The AH Appeals Policy exists as a means for any practitioner who wishes to challenge any outcomes imposed under the AH Sanctions Policy.