

As a therapist it is prudent to conduct an audit of your practice at least once a year in order to review your practice and to familiarise yourself with the process of self-audit.

This audit tool can be used regardless of whether you practise from home, rent premises or are employed. It is based on the requirements for the training of Nutritional Therapists as set out in the NOS and NTC Core Curriculum, BANT Professional Practice Handbook and CNHC Code.

It is a tool which you may alter as you become more familiar with the above documents, and the process of self-audit. You may eventually like to consider adding your own criteria and standards e.g. *If you conduct urine analysis or are qualified to take blood then you would also need to include additional safe handling and disposal of waste criteria to the audit tool.*

**Whilst this is not an official document, BANT would strongly recommend its use.**

This tool can be used in the completion of the CNHC Registration Requirements, as an aid to the completion of the Assessment Checklist Document.

*In particular:*

- *Professional autonomy and accountability*
- *Professional relationships*
- *Formulation and delivery of therapy plans/strategies*
- *Critical evaluation of nutritional therapy practice*
- *Understanding the need for, and establishing and maintaining, a safe practice environment*

## **Conduct a Self-Audit**

Work through the self-audit tool and mark compliant or non-compliant against each of the questions asked.

## **Outcome of Audit**

What is the outcome of your audit? - i.e. are there any areas of non-compliance?

What issues have you identified that need attention?

Use the audit tool comments box at the end of each section to make additional notes.

## **Action Plan**

- Set realistic deadlines taking into account risk, time and cost.
- File your action plan and use it next year to check progress.
- You may report on your outcomes as a part of your CPD.

## **Health and Safety at Work**

You must be familiar and comply with the requirements and provisions of current Health and Safety at Work legislation. This places a duty on you to conduct your work in such a way as to ensure, so far as is reasonably practicable, that not only clients and employees but also the public and other visitors are not exposed to risks to their health or safety? [www.hse.gov.uk](http://www.hse.gov.uk)

## **Using the Self Audit Tool**

- You should complete the relevant parts of this audit for each of the premises you work from.
- Items in italics may not apply to you and should be marked N/A.
- The Practice Audit Contains is made up of the following sections:

<b>Section 1: Documentation Checklist</b>			
<b>Section 2: Health &amp; Safety at Work</b>			
<b>Section 3: Personal Standards</b>			
<b>Section 4: Practice Management</b>			
<b>AUDIT SUMMARY &amp; ACTION PLAN</b>			
Location of Clinic (Do not add the name of the clinic):		Audit by Applicant Number is your Date of Birth:	
		Date of Audit:	
Brief Summary of Issues (if any) from previous audit and action taken:		Date of previous audit if undertaken:	
Brief Summary of Outcome of this Audit ( <i>an overall statement, include any areas of concern, link as appropriate, to previous audit</i> )			
Section & item	Description	Action	Date completed

Section 1: Documentation Checklist		
	Yes	No
a) <i>Health and Safety Risk Assessment (over five staff)</i>		
b) Health and Safety Law/Poster		
c) Accident Book		
d) <i>Fire Risk Assessment</i>		
e) Fire Evacuation Procedures		
f) Fire appliance/s certificate and/or Certificate of Maintenance of Fire Appliances		
g) Smoke alarm check		
h) <i>PAT – Portable Appliance Testing Certificate</i>		
i) <i>Gas safety inspection certificate (if relevant)</i>		
j) Electricity safety inspection certificate		
k) Certificate of Public Liability		
l) Product and Professional Indemnity Insurance Policies		
m) First Aid at Work Certificate		
n) <i>Data protection Act Certificate of Compliance</i>		
o) Other:		
<p><i>Comments:</i></p>		

Section 2: Health & Safety at Work		
2.1 Is your clinic a safe work place? In particular...	Yes	No
a) if you employ five or more people, do you keep an up-to-date written statement of your health and safety policy for employees, including your arrangements for carrying out the policy, and ensure that all your employees are made aware of it and abide by it?		
b) is there a substantial handrail and two-way lighting system provided for every staircase?		
c) is every dangerous part of equipment, appliance or machinery effectively guarded?		
d) is equipment and machinery regularly inspected and maintained, where necessary?		
e) are all gas appliances and installations in accordance with the Council for Registered Gas Installers, and subject to regular examination?		
f) are all the electrical installations in accordance with the Institute of Electrical Engineering and Technology Regulations for the Electrical Equipment of Buildings? Are the installations and portable appliances subject to regular examination?		
g) are all cables kept as short as possible and routed and/or taped to prevent the risk of tripping?		
h) are all floors, passages and stairs of sound construction, properly maintained, and kept free from obstruction and substances likely to cause people to lose their footing?		
i) are accidents dealt with in accordance with the provisions of the Reporting of Injuries, Disease, and Dangerous Occurrences regulations 1995?		
j) do treatment devices carry a CE mark?		
2.2 Does the treatment room have...	Yes	No
a) a wash basin with a hot and cold water supply, located in or in the vicinity of the treatment room?		
b) dispenser liquid soap and disposable paper towels?		
c) sterile wipes for cleaning equipment?		
d) sufficient space to allow free movement, safe handling of equipment, performance of procedures and placing of the client?		
e) furniture which is clean and maintained in good repair?		

Section 2: Health & Safety at Work continued		
f) smooth, easily cleanable surfaces on table tops, shelves, and all working surfaces?		
g) adequate artificial lighting, heating, and ventilation?		
h) fresh paper couch roll which is disposed of after examining each client?		
i) adequate sized bin, with disposable liner?		
j) procedures and facilities for the removal of clinical waste if body fluids are taken?		
k) access for disabled clients?		
<b>2.3 Is the cleanliness of the treatment room/s &amp; examination surfaces maintained by...</b>	<b>Yes</b>	<b>No</b>
a) cleaning and dusting at least weekly all table tops, shelves and impervious surfaces with a damp cloth and occasionally with hot water and detergent?		
b) washing regularly all impervious floor surfaces with appropriate disinfectant/cleansers?		
c) vacuum-cleaning daily?		
d) emptying waste bins at the end of the day?		
e) banning all animals and birds?		
<b>Comments:</b>		

Section 3: Personal Standards		
3.1 Do you maintain your own health and personal hygiene by...	Yes	No
a) covering all cuts and wounds with a waterproof dressing?		
b) keeping hands/nails clean?		
c) wash hands before and after examinations/ investigations/ treatments?		
d) wearing suitable clean clothing and, optionally, a clean uniform?		
e) refraining from wearing strong smelling perfumes and/or personal hygiene products?		
f) refraining from smoking, eating or drinking whilst practising?		
g) informing your general practitioner(s) early if you suspect that you are suffering from or have been in contact with an Infectious Notifiable Disease and ensuring that your general practitioner(s) know that you are engaged in nutritional therapy practice?		
h) avoiding consulting when you are suffering from an infectious or contagious condition?		
<p><i>Comments:</i></p>		

Section 4: Practice Management		
<b>4.1 Do you ensure that the following is recorded in permanent ink?</b>	<b>Yes</b>	<b>No</b>
a) the names and contact details of client?		
b) the dates of attendance of an individual client?		
c) the client's perception of their needs?		
d) the client's expectations of NT? (Terms of Engagement or declaration etc.)		
e) presenting conditions/problems?		
f) the client's past medical history and potential allergies?		
g) the client's current medication/treatment/complementary therapy treatments including herbs and nutraceuticals?		
h) possible contraindications/red flags?		
i) social and family history/lifestyle?		
j) measures/tests (anthropometric/other) investigations/results or analysis?		
k) the recommendations given?		
l) the outcomes of any review of treatment?		
m) referral letters?		
n) consent to contact third parties?		
o) fee structures and charges?		
<b>4.2 Do you ensure confidentiality by...</b>	<b>Yes</b>	<b>No</b>
a) ensuring that client notes are not left unattended unless in a locked environment or cabinet?		
b) <i>training other staff to respect confidentiality?</i>		
c) seeking informed consent to pass client information to a third party?		
d) requesting informed consent from the client for a third party to be present during a consultation?		
e) significantly anonymising client details on material used in presentations, case conferences, and any other domain where identity must be protected?		
f) storing client records securely for 7 years?		
g) storing children's records securely until 7yrs after 18 <sup>th</sup> birthday is reached?		
h) having a parent, Guardian or designated carer present if the client is under 16yrs of age?		

Section 4: Practice Management		
<b>4.3 Do you ensure informed consent by...</b>	<b>Yes</b>	<b>No</b>
a) requesting a client's permission before physical contact		
b) explaining the need for specific tests, justifying the cost, whilst showing regard for financial constraints and other possible issues that the patient may have, before obtaining client approval to proceed with tests		
c) explaining and negotiating proposed dietary and life style changes and responding to any client concerns before obtaining client approval		
d) explaining and negotiating the proposed nutraceutical protocol, having taken into consideration any constraints, before agreeing the final plan		
<b>.4 When dealing with Promotional Materials, Sales and Prescriptions do you ensure that...</b>	<b>Yes</b>	<b>No</b>
a) promotional materials comply with Advertising Standards and the Trades Descriptions Act?		
b) promotional and educational materials are professionally presented?		
c) if required, disclosure of vested interest/s are displayed (clinic & promotional materials)?		
d) laws related to advertising and disease are not contravened?		
e) limited company or limited liability partnership conforms to Companies Act and Business Names Act?		
f) sales and prescriptions comply with Medicines Act, Food Act, Food Safety Act, Food labelling regulations, Food Supplement regulations?		
g) own labelled supplements comply with relevant legislation?		
h) hormones and other licensed medical products are not prescribed? (unless medical practitioner)		
<b>Comments</b>		