

CQC REPORTS

“Shoulds”

The CQC - when writing a report following an inspection – may list actions it wants the providers to take; if there is a breach of the Regulations (ie of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014)), the issue will be highlighted as a “must” on Page 2 and the dentist has to provide an action plan within a specified timescale. However, if the issue needs addressing, but is not urgent, it will appear as a “should”.

The list below was gleaned from 125 CQC reports published on its website between 4th January and 11th February 2016; it is not exhaustive (and may contain duplicates!) and shows a snapshot of the issues found in a proportion of the 1,000 or so practices the CQC is aiming to inspect in 2015/16.

BDA members can refer to the CQC part of our website – www.bda.org/cqc - and “Extra” or “Expert” members can contact the BDA’s compliance team to discuss any CQC-related issues/concerns they might have on (0207) 563 4567 or on compliance@bda.org

- Patient recalls having regard to NICE guidelines
- Review protocols in line with ‘Delivering better oral health’
- Effective process established for the on-going assessment and supervision of all staff
- Maintain accurate, complete and detailed records relating to employment of staff
- Establish complaints system and make it easily available to patients ie waiting room
- Review storage of dental care records
- Manage medical emergencies inc Resus Council and GDC standards
- Tailor all policies and procedures to the practice
- Records relevant to the management of the practice available
- Review clean to dirty air flow
- Review the practice’s sharps procedures (Sharp Instruments in Healthcare Regulations 2013)
- Check staff immunity for Hepatitis B
- Endodontic files clearly labelled with patient info after decontamination
- Check and record (CPR) training
- Local x-ray rules contain names of authorised staff
- Risk assessment on transporting clinical waste
- Securing the clinical waste bins to the wall
- Review the number of scaler tips that are available for hygienist
- Gillick competence awareness training
- Review the hygienist referral process
- Hands free waste bin
- Review storage of cleaning equipment re cross infection
- Record keeping audit
- Update the information on NHS Choices
- Review staff awareness of rinsing instruments
- Protocols for dental records in line with FGDP
- Reporting mechanism for needle stick injuries
- Review interpreter services availability

- Ensure the practice's recruitment policy and procedures are suitable (Schedule 3)
- Review system for recording, investigating etc significant events
- Undertake a Disability Discrimination Act audit
- Audits to be undertaken at regular intervals & results shared with staff
- Implement daily and monthly water testing
- Periodically review policies and procedures
- Checks equipment and keep records
- Review storage of paper records (DoH code of Practice for Records Management (NHS Code of Practice 2006)
- Review fire risk assessment & implement
- Document action plans for the clinical record audits
- Review protocols & procedures using Guidance Notes for Dental Practitioners on the Safe Use of X-ray
- Radiography audits are undertaken at least annually
- Establish a frequent staff meeting cycle
- Update radiography Local Rules inc RPS details
- Ensure panoramic X-ray machine tested & certified.
- Review arrangements for receiving & responding to MHRA alerts
- Review policy COSHH storage
- Conduct automatic control & steam penetration test (HTM 01-05)
- Conduct IPS audit every six months (HTM 01-05)
- Conduct weekly check on the AED & oxygen cylinder
- Check emergency drug kit
- Record in the X-ray machine service record when dose adjustments made
- Analyse data from patient satisfaction survey
- Repair the floor in surgery
- Record COSHH review in folder when done
- Repair chair upholstery
- Record Legionella review in folder when done
- Ensure audits are undertaken at regular intervals & results shared with staff inc radiography, infection control & dental care records
- Establish a frequent staff meeting cycle
- Undertake month water temp tests & recording
- Record details when verbal reference is given
- New owners should overhaul existing clinical governance systems & processes
- Review waste handling protocols in line with (HTM 07-01)
- Undertake Legionella risk assessment inc running hot water and temp recording
- Ensure training, learning and development needs of staff inc appraisals
- Establish systems for manual instrument cleaning are in place
- Ensure staff follow agreed written procedure inc audits
- Review system for recording, investigating etc significant events
- Complete checks from legionella risk assessment
- Maintain accurate, complete & contemporaneous for patients receiving a scale and polish
- Review Gillick competence awareness training
- Review system for recording, investigating etc significant events
- Ensure practice is compliant (IRR) 99 and (IRMER) 2000

- Review protocols for dental records in line with FGDP
- Review availability medical emergency equipment (Resus Council & GDC)
- Implement a scheduled maintenance plan inc treatment rooms/surgeries
- Update infection control audit action plans
- Establish a frequent staff meeting cycle
- Review protocols on reasons for X-ray & quality (IR(ME)R) 2000 & FGDP selection criteria
- Review awareness of 'Delivering Better Oral Health' toolkit
- Review testing procedures for autoclaves & recording process
- Establish a "best practice (HTM 01-05) plan"
- Document patient treatment options
- Review protocols for rubber dam use
- Replace fabric chairs in surgeries with wipe clean ones
- Operate accessible complaints system which identifies, receives, records, handles & responds to complaints
- Ensure all roles & responsibilities are clearly defined
- Undertake actions from fire risk assessment
- Undertake regular staff meetings
- Periodically review all policies/procedures
- Carry out equipment checks
- Clearly defining job roles for staff
- Implement a lone workers policy
- Review system for recording, investigating etc significant events
- Obtain child & adult self-inflating bags for emergency resuscitation kit.
- Establish system to assess, monitor and mitigate risks for surgery equipment
- Conduct frequent autoclave tests (HTM 01-05)
- Place signage X-ray room doors
- Update staff training matrix
- Ensure ultrasonic cleaner tests are completed quarterly
- Ensure all staff trained in safeguarding of children & vulnerable adults
- Record patient's ASA (American Society of Anaesthesiologists) status in assessment process
- Review staff training & availability medical emergency equipment (Resus Council & GDC)
- Review staff awareness of MCA
- Ensure that governance arrangements monitor and assess the quality of the service
- Place review dates on policies/procedures
- Re-evaluate process for dating pouched instruments & introduce protocol
- Review staff's understanding about obtaining consent from young patients
- Update website to clarify it is not fully disabled accessible
- Ensure there is proper and safe management of medicines inc stock management
- Ensure x-ray audits undertaken regular intervals to improve quality
- Record peer review discussions for reflective learning
- Review infection control procedures & protocols in line with HTM 01-05
- Review procedures to ensure staff CPD up-to-date
- Review conscious sedation protocols & audits ('Standards for Conscious Sedation in the Provision of Dental Care 2015.')