

Clinical Records Audit (CQC desirable audit)



Recommended duration - every six months

Recommended number of patients to audit - 20

Dental professionals are required to make and keep accurate dental records of care provided to patients. One of the fundamental criteria used to manage risk in a dental practice is keeping good quality clinical records.

During CQC inspections you may be asked to show a dental care record to provide evidence of what staff and patients tell the CQC about the quality of care in your practice. If audits of records have been systematically undertaken, the audit findings and any subsequent action plans may provide sufficient evidence to answer the KLOEs and the CQC may not need to look at individual dental care records.

The below is an audit produced using information from the Dental Record Keeping Standards: a consensus approach from the OCDO, and the FGDP Clinical Examination and Record-Keeping - Good Practice Guidelines.

Please note this audit follows the FGDP guidelines on the basic (B) requirements.

The aim is to be able to answer every question with a 'yes'.

Date of audit:

Clinician:

Person completing the audit:

Signature and date on completion:

Re-audit date:

New Patient Examination Clinical Records Audit

Please answer 'yes', 'no' or 'n/a' (not applicable) to the following questions for each patient.

Patient number	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
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Personal information

Patient initials																				
Full name recorded?																				
Date of birth recorded?																				
Parent/guardian details recorded if the patient is a child?																				
Address recorded?																				
Email address recorded?																				
Emergency contact details present?																				
NHS ID number recorded where relevant?																				
Occupation recorded?																				
Payment method recorded?																				
Medical history recorded?																				
Medical history signed and dated by the patient?																				
Reason for attendance recorded?																				

Social History

If the patient smokes has cessation been offered?																				
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Patient number	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Patient initials																				
Alcohol consumption recorded?																				
Dental anxiety recorded? (if applicable)																				

Patient Examination

Reason for attending recorded?																				
Extra oral examination recorded																				
Soft tissue examination recorded?																				
BPE recorded?																				
Initial charting recorded?																				
Previous dental history recorded?																				
Caries recorded?																				
Defective restorations recorded?																				
Existing restorations recorded?																				
Previous endodontic treatment recorded?																				
Mobility of teeth recorded?																				
If a prosthesis is present, has it been recorded?																				
Has oral hygiene routine been recorded with advice given?																				

Patient number	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Has the occlusion been recorded?																				
Has tooth wear been recorded (if applicable)																				
Is a recall interval for the next appointment present?																				
Radiographs																				
Are any x-rays taken recorded in the clinical notes along with justification?																				
Is there a clinical evaluation of any radiographs taken?																				
Are x-rays graded in the notes																				

Audit Results:

Date:

Number of 'no' answers	Number of 'yes' answers	Total percentage of 'yes' answers

Audit Review with Clinician

Areas being done well:

Areas requiring improvement:

Areas requiring improvement:

Clinician Signature:

Person conducting the review signature:

Date:

Review date: