

The Ultimate Dental Compliance Guide

A practical compliance self-check for dental practices



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Running a compliant dental practice isn't about ticking boxes it's about protecting patients, supporting team members, and safeguarding your business.

This guide is designed to help you **pause, reflect, and sense-check** whether your practice has the right compliance foundations in place. As you work through the sections, ask yourself honestly: *'If we were inspected tomorrow, would we feel confident?'*

Some sections include links to optional practical checklists where practices often want to go deeper, such as decontamination workflows and COSHH documentation.

'The biggest problem with compliance is 'you don't know what you don't know'. How do you know if you've interpreted the requirements correctly?'

Our members and clients tell us they want simple, practical guidance so we've created the Ultimate Compliance Guide and it's free to all.'

Pat Langley, Clinical Director at Dentistry Compliance



General practice information and guidance



- Do you have a central, up-to-date compliance file that reflects how your practice operates today?
- Is responsibility for compliance clearly assigned, or does it sit loosely across multiple roles?
- Are key documents easy to locate, consistent, and version-controlled?
- Do your team understand your compliance structure and understand the role they play within it?

* **Many practices struggle not because documents don't exist but because they aren't joined up.**



Personnel records

- Do you hold complete and current personnel files for every team member?
 - Are right-to-work checks, contracts, job descriptions, and appraisals documented?
 - Are records updated when roles or responsibilities change?
 - Do you have up-to-date evidence of clinical team members' Hepatitis B status?
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Training certificates

- Are all recommended training certificates present, in date, and relevant to each role? (Employed and self-employed)
 - Do you track renewal dates proactively or reactively?
 - Is training linked back to risk and learning needs within the practice?
 - Does the practice have oversight on team members' Personal Development Plans?
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Infection control

- Do your infection control policies reflect current guidance and real practice behaviour?
- Are audits carried out at the correct intervals, with all actions arising being implemented?
- Can staff explain procedures confidently, not just reference the location of the documents?
- Is evidence easily available for inspections?

Equipment installation, maintenance certificates and manuals

- Do you hold installation certificates, servicing records, and manuals for all relevant equipment?
- Are maintenance schedules documented and adhered to?
- Is responsibility for checks and follow-up clearly defined?

Health and safety

- Is your Health and Safety file practice-specific and up to date?
- Are risk assessments reviewed regularly with evidence findings have been acted upon? Do staff know how to report concerns or incidents?
- Do you have the relevant Health and Safety signage in place?

Data protection, GDPR and information governance

- Do you have clear evidence of Data Protection and GDPR compliance beyond policies alone?
- Are data protection roles and responsibilities understood by the team?
- Do team members know how to respond to data breaches or patient information requests?
- Do you review and store documentation in line with the appropriate retention period?

Our helpful Decontamination Room Checklist

Decontamination is one area where small gaps can easily creep in over time. If you'd like a more practical sense-check, our **Decontamination Room Checklist** walks through layout, workflows, equipment checks and records, helping you see whether what's written down truly matches what happens day to day.



 [Click to download](#)



Policies and procedures

- Are your policies current, consistent, and relevant to your practice?
- Do team members know where to find them and how they apply day to day?
- Are policies reviewed on a defined schedule?
- Can you demonstrate that policies are understood and implemented, not just written?

Legionella

- Do you have a current Legionella risk assessment?
- Are monitoring records complete and up to date?
- Is responsibility for checks clearly allocated?
- Would you be confident explaining your control measures to an inspector?

Complaints

- Is your complaints procedure clear and accessible for patients?
- Are complaints logged, investigated, and reviewed consistently?
- Do you use complaints as learning opportunities?
- Can you evidence outcomes and improvements?

Practice audits

- Are audits carried out across key clinical areas at the appropriate intervals?
- Do audit findings lead to clear actions and follow-up?
- Are trends reviewed at practice level?
- Could you show how audits improve patient care and safety?



Safeguarding children and adults at risk

- Are safeguarding policies up to date with a named Safeguarding Lead?
- Have all team members undertaken the appropriate level of training for their role?
- Do team members feel confident recognising and escalating concerns?
- Is safeguarding embedded into practice culture?

Healthcare waste

- Are waste contracts, licenses, and collection records in place?
- Are segregation and storage procedures followed consistently?
- Do team members understand their responsibilities?
- Is evidence easily accessible?

Cleaning records

- Are cleaning schedules documented and followed?
- Are records completed accurately and consistently?
- Do they reflect what happens in practice?
- Are checks and spot audits carried out?

Fire log

- Is your fire risk assessment current with evidence all actions required have been implemented?
- Are alarm tests and equipment check logged?
- Do team members participate regularly in fire drills?
- Do team members know their roles in the event of a fire?

Radiation protection file

- Is your Radiation Protection File complete and up to date?
- Are risk assessments, local rules, and training records present?
- Are responsibilities clearly defined e.g., RPS?
- Do all team members who take radiographs have evidence of appropriate documented training?

Significant events and feedback



- Are significant events logged, reviewed, and learned from?
- Do you capture patient and team members' feedback consistently?
- Are improvements documented and communicated?
- Can you evidence a culture of continuous improvement?

COSHH risk assessments

- Do you have COSHH assessments for all hazardous substances in the practice?
- Do you have material safety data sheets for all substances in the practice that do not require a COSHH assessment?
- Are they reviewed when products or processes change?
- Are records accessible and current

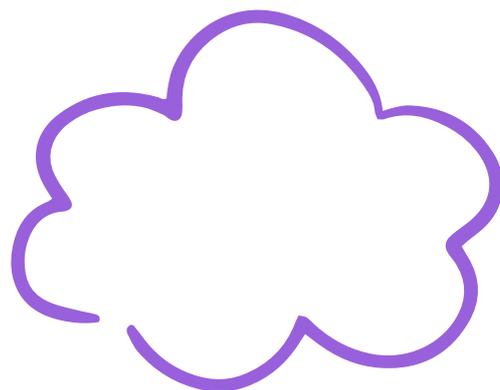


COSHH Guide

COSHH is often one of the most confusing areas to stay on top of, especially as products and processes change. If this section raises questions, our 'Less COSHH-fusion, more clarity' guide breaks the basics down into clear, manageable steps to help you feel more confident about what's required.



 [Click to download](#)



A final thought

If some of these questions gave you pause, you're not alone.

Many dental practices are doing far righter than they realise they just need clearer structure, confidence, and ongoing support to bring everything together.

At **Dentistry Compliance**, we help practices move from *'I think we're compliant'* to *'I know we are.'*

This guide is just the starting point.



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