



RQIA Provider Guidance 2019-2020

Independent Health Care

Dental Practices

www.rqia.org.uk

Assurance, Challenge and Improvement in Health and Social Care

What We Do

The Regulation and Quality Improvement Authority (RQIA) is the independent body that regulates and inspects the quality and availability of Northern Ireland's health and social care (HSC) services. We were established in 2005 under The Health and Personal Social Services (Quality, Improvement and Regulation)(Northern Ireland) Order 2003 to drive improvements for everyone using health and social care services.

Through our programme of work, we provide assurance about quality of care; challenge poor practice; promote improvement; safeguard the rights of service users; and inform the public through the publication of our reports. RQIA has four main areas of work:

- We register and inspect a wide range of independent and statutory health and social care services
- We work to assure the quality of services provided by the HSC Board, HSC trusts and agencies - through our programme of reviews
- We undertake a range of responsibilities for people with mental ill health and those with a learning disability
- We support establishments and service providers to improve the service they deliver

All work undertaken by RQIA is focused on the following four domains:

- Is care safe?
- Is care effective?
- Is care compassionate?
- Is the service well led?

RQIA registers, inspects and supports a wide range of health and social care services. These include: nursing, residential care, and children's homes; domiciliary care agencies; day care settings/centres; independent health care; nursing agencies; independent medical agencies; residential family centres; adult placement agencies; voluntary adoption agencies, school boarding departments and young adult supported accommodation (inspected only).

The Four Domains



How We Will Inspect

We will inspect every dental practice at least annually. Our inspectors are most likely to carry out an announced inspection, however from time to time we may carry out an unannounced inspection in response to concerns that may be raised with us.

When we inspect a dental practice, we aim to provide assurances in respect of the standard, quality and safety of services delivered. We do this by:

- Seeking the views of the people who use the service, or their representatives
- Talking to the management and other staff on the day of the inspection
- Examining a range of records including care records, incidents, complaints and policies
- Providing feedback on the day of the inspection to the manager on the outcome of the inspection; and
- Providing a report of our inspection findings and outline any areas for quality improvement

Our inspections are underpinned by:

- [The Health and Personal Social Services \(Quality, Improvement and Regulation\) \(Northern Ireland\) Order 2003](#)
- [The Independent Health Care Regulations \(Northern Ireland\) 2005](#)
- [The Regulation and Improvement Authority \(Independent Health Care\) \(Fees and Frequency of Inspections\) \(Amendment\) Regulations \(Northern Ireland\) 2011](#)
- [The Department of Health \(DOH\) Minimum Standards for Dental Care and Treatment \(2011\)](#)

The 2019/20 inspections will focus on the following areas:

- Management of medical emergencies
- Infection prevention and control
- Decontamination of reusable dental instruments
- Radiology and radiation safety
- Conscious sedation
- Complaints
- Review of areas for improvement identified during the previous care inspection

While we assess the systems and processes in place to support dental practitioners to provide safe, effective, and compassionate services we do not assess the actual quality of dentistry provided by individual dentists.

What We Look For When We Inspect

To help us to report on whether care is safe, effective and compassionate and whether the service is well led, we will look for evidence against the following indicators.

Is care safe?

Avoiding and preventing harm to service users from the care, treatment and support that is intended to help them.

Indicator S1

There are, at all times, suitably qualified, competent and experienced persons working in the service in such numbers as are appropriate for the health and welfare of service users.

Examples of Evidence

Staffing

- There are sufficient numbers of staff in various roles to fulfil the needs of the practice and patients
- There is an induction programme in place appropriate to the role
- A system is in place to ensure staff receive annual appraisals and records are retained
- A system is in place to ensure all staff receive appropriate training to fulfil the duties of their role in keeping with the [General Dental Council \(GDC\) Enhanced Continuing Professional Development \(CPD\)](#) requirements and [RQIA training guidance](#)
- There are arrangements for monitoring the GDC registration status of all clinical staff; records should be retained for inspection
- There are arrangements in place for monitoring the professional indemnity of all staff who require individual indemnity cover; records should be retained for inspection

Recruitment and Selection

- Staff have been recruited in line with Regulation 19 (2) Schedule 2 of The Independent Health Care Regulations (Northern Ireland) 2005, as amended
- There is a written policy and procedure for staff recruitment in keeping with Regulation 19 (2) Schedule 2 of The Independent Health Care Regulations (Northern Ireland) 2005
- Staff personnel files are in keeping with 19 (2) Schedule 2, as amended
- Enhanced AccessNI checks are received prior to new staff commencing work
- Recruitment and selection records should be retained in keeping with Regulation 21 (3) Schedule 3 Part II
- An up-to-date staff register should be maintained and retained for inspection in keeping with Regulation 21 (3) Schedule 3 Part II

Indicator S2

The service promotes and makes proper provision for the welfare, care and protection of service users.

Examples of Evidence

Safeguarding

Adult

- Policies and procedures are in line with the regional [Adult Safeguarding Prevention and Protection in Partnership policy \(July 2015\)](#) and [Adult Safeguarding Operational Procedures \(2016\)](#)
- The practice has identified an adult safeguarding champion (if required)

- There is an identified safeguarding lead in the practice and staff are aware of who the safeguarding lead is
- There are arrangements in place to embed the regional adult safeguarding operational procedures
- All staff receive the relevant level of training as outlined in the [RQIA training guidance for dental practice](#)
- Staff training should be in keeping with the [Northern Ireland Adult Safeguarding Partnership \(NIASP\) Training Framework \(revised June 2016\)](#)
- Staff are knowledgeable about adult safeguarding and are aware of their obligations in relation to raising concerns
- All suspected, alleged or actual incidents of abuse are fully and promptly referred to the relevant persons and agencies for investigation in accordance with procedures and legislation; written records must be retained
- Where shortcomings are highlighted as a result of an investigation, learning arising should be assessed, implemented and quality assured
- Staff are familiar with their responsibilities and know how to appropriately recognise poor practice and raise concerns

Children

- Policies and procedures are in line with the regional policy [Co-operating to Safeguard Children and Young People in Northern Ireland, \(August 2017\)](#) and [Safeguarding Board for Northern Ireland \(SBNI\) Procedures Manual \(November 2017\)](#)
- There is an identified safeguarding lead in the practice and staff are aware of who the safeguarding lead is
- There are arrangements in place to embed the regional procedures manual
- All staff receive the relevant level of training as outlined in the [RQIA training guidance for dental practice](#)
- Staff training should be in keeping with [SBNI Child Safeguarding Learning and Development Strategy and Framework 2015 – 2018](#)
- Staff are knowledgeable about safeguarding children and are aware of their obligations in relation to raising concerns
- All suspected, alleged or actual incidents of abuse are fully and promptly referred to the relevant persons and agencies for investigation in accordance with procedures and legislation; written records must be retained
- Where shortcomings are highlighted as a result of an investigation, learning arising should be assessed, implemented and quality assured
- Staff are familiar with their responsibilities and know how to appropriately recognise poor practice and raise concerns

Indicator S3

There are systems in place to ensure that unnecessary risks to the health, welfare or safety of service users are identified, managed and where possible eliminated.

Examples of Evidence

Management of Medical Emergencies

- Emergency medicines and equipment are available in accordance with British National Formulary (BNF) and [Primary Dental Care – Equipment List \(November 2013\)](#)
- [Primary Dental Care Quality Standards for CPR \(May 2017\)](#)
- A robust system is in place for checking expiry dates of medicines and equipment by an identified individual
- A policy in relation to the management of medical emergencies is in place (to include training arrangements, provision of equipment, emergency medication, checking procedures, how to summon help, incident documentation and staff debriefing)

- Procedures in relation to the management of medical emergencies are in place (to include the following conditions: anaphylaxis, asthma, cardiac emergencies, epileptic seizures, hypoglycaemia, syncope)
- Management of a medical emergency is included in staff induction and update training is provided annually
- Staff have knowledge and understanding of managing a medical emergency
- Arrangements are in place to access an Automated External Defibrillator (AED) within three minutes of collapse

Conscious sedation

- A policy and procedure in relation to the management of conscious sedation is in place (to include type of sedation provided, training of dental team, sedation environment, equipment for inhalation and intravenous sedation, indications for conscious sedation, preparation for sedation, sedation procedures to include pre, peri and post sedation, dealing with emergencies, record keeping and advanced planning to manage any risks that might arise due to multiple sedation cases being scheduled at the same time)
- Evidence that the dental team undertaking conscious sedation has completed training in keeping with DoH [Conscious Sedation In The Provision of Dental Care \(2003\)](#)
- Arrangements are in place for the routine servicing/maintenance of inhalation sedation equipment including the distribution pipework
- A nitrous oxide risk assessment is in place as directed in [NIAIC alert Sept 17](#)
- Controlled drugs that are subject to safe custody requirements are kept in a controlled drug cabinet that complies with The Misuse of Drugs (Safe Custody) (Northern Ireland) Regulations 1973, if applicable
- Controlled drugs are ordered and retained by the individual dentists
- When required a controlled drugs register is in place for each individual dentist
- Standard operating procedures (SOP) are in place for all controlled drugs
- In respect of intravenous sedation low strength midazolam 1mg/1ml is used
- Midazolam 1mg/ml is stored in a lockable drawer or cupboard
- A stock balance/reconciliation stock system is in place for midazolam
- Antagonist/reversal medication is retained and immediately accessible

Conscious sedation clinical records

- Accurate and contemporaneous entries are made on the clinical records of every patient receiving conscious sedation as detailed in Conscious Sedation In The Provision of Dental Care (2003) (to include the rationale for the use of conscious sedation and detail a full assessment of all clinical risks)
- Clinical records must demonstrate that patients have been provided with clear information including the details of drugs used in order to demonstrate that informed consent has been obtained
- The clinical record must include the names of the all GDC registrants involved during the conscious sedation procedure
- Patient observations are appropriately recorded during all treatments involving conscious sedation

Infection Prevention Control and Decontamination Procedures

- The environment is clean and clutter free
- Infection prevention and control (IPC) and decontamination policies and procedures are in place in keeping with [Health Technical Memorandum \(HTM\) 01-05 Decontamination in primary dental care practices](#) and [HTM 07-01 Safe management of healthcare waste](#)
- Records of staff training should be retained
- Records of Hepatitis B vaccination status of clinical staff are retained
- IPC and decontamination leads are identified
- Staff have knowledge and understanding of IPC procedures in line with best practice
- Staff have knowledge and understanding of the decontamination process including periodic testing of decontamination equipment and storage of instruments in accordance with HTM 01-05

- Decontamination equipment is validated in accordance with HTM 01-05
- The decontamination room is laid out and operates in line with HTM 01-05
- The Infection Prevention Society (IPS) HTM 01-05 audit is completed every six months and an action plan for compliance is devised if applicable
- Sharps injuries should be managed in keeping with [Managing sharps incidents in dental practices](#)
- Sharps use should be in keeping with [The Health and Safety \(Sharp Instruments in Healthcare\) Regulations \(Northern Ireland\) 2013](#)

Radiography and Radiation Safety

- There are arrangements in place to comply with [The Ionising Radiations Regulations \(Northern Ireland\) 2017](#) and [The Ionising Radiation \(Medical Exposure\) Regulations \(Northern Ireland\) 2018](#)
- Radiation protection file is available and includes all relevant documentation (e.g. local rules, employers procedures, audits, quality assurance)
- The practice has appointed a radiation protection advisor (RPA) and medical physics expert (MPE)
- There is an identified radiation protection supervisor (RPS) for the practice
- A critical examination is undertaken on installation of new or repositioned x-ray equipment and a report provided by the RPA
- A quality assurance test is undertaken by the appointed RPA every three years
- Most recent RPA report (within the last 3 years) is available and evidence is retained that any recommendations made within the report have been implemented and assured
- Local rules in keeping with [The Ionising Radiations Regulations 2017](#) should be displayed on or near each x-ray unit
- All relevant staff have signed to confirm they have read and understood the radiation protection file including local rules and employer's procedures
- Servicing and maintenance of radiology equipment is in keeping with manufacturer's instructions
- Six monthly x-ray quality audits have been undertaken, annual justification and clinical evaluation recording audits have been undertaken. Any findings/learning arising from audits should be implemented and assured
- Rectangular collimation is in use

Indicator S4

The premises and grounds are safe, well maintained and suitable for their stated purpose.

Examples of Evidence

Environment

- The practice is clean, clutter free, warm and pleasant
- There are no obvious hazards to the health and safety of patients and staff
- There are arrangements in place in relation to maintaining the environment (e.g. servicing of lift/gas/boiler/fire detection systems/fire-fighting equipment, fixed electrical wiring installation, legionella risk assessment)
- Arrangements are in place to ensure that environmental risk assessments are reviewed on an annual basis. Any findings/learning arising from risk assessments should be implemented and assured
- Written security policies in keeping with the [Business Services Organisation \(BSO\) Guidance in relation to Prescription Safety in General Dental Practices](#) should be in place to reduce the risk of prescription theft and misuse
- Procedures and systems are implemented and assured to reduce the risk of prescription theft and misuse

Is care effective?

The right care, at the right time in the right place with the best outcome.

Indicator E1

The service responds appropriately to and meets the assessed needs of the people who use the service.

Examples of Evidence

Clinical Records

- Arrangements are in place for maintaining and updating clinical records
- Arrangements are in place to review and update patients' medical histories
- Routine dental examinations include a process to check for gum disease and oral cancers
- The treatment plan is developed in consultation with the patient and includes information about the costs of treatment, options and choices
- Record keeping is in accordance with legislation, standards and best practice guidance; [GMGR records management](#)
- A record keeping policy and procedure is available which includes the creation, storage, recording, retention and disposal of records and data protection
- Records are securely stored – electronic/hard copy
- A freedom of information publication scheme is in place
- The practice is registered with the Information Commissioners Office (ICO)
- The practice has arrangements in place to comply with the [Guide to the General Data Protection Regulation \(GDPR\)](#) legislation which will take effect from May 2018

Health Promotion

- The practice has a strategy for promoting oral health and hygiene
- There is evidence of the arrangements for promoting oral health

Indicator E2

There are arrangements in place to monitor, audit and review the effectiveness and quality of care delivered to service users at appropriate intervals.

Examples of Evidence

- A range of audits, including clinical audits, are undertaken routinely and any actions identified for improvement are implemented into practice

Indicator E3

There are robust systems in place to promote effective communication between service users, staff and other key stakeholders.

Examples of Evidence

- Written procedures are in place for onward referral in respect of specialist treatments e.g. sedation, orthodontics, oral surgery and oral cancers
- A system is in place for breaking bad news to patients in the context of dentistry
- There is an open and transparent culture that facilitates the sharing of information
- Patients are aware of who to contact if they want advice or have any issues/concerns
- Staff meetings are held on a regular basis and minutes are retained
- Staff can communicate effectively
- Learning from complaints/incidents/near misses is effectively disseminated to staff, implemented and assured

Is care compassionate?

Service users are treated with dignity and respect and should be fully involved in decisions affecting their treatment, care and support.

Indicator C1

There is a culture/ethos that supports the values of dignity and respect, independence, rights, equality and diversity, choice and consent of service users.

Examples of Evidence

- Staff can demonstrate how confidentiality is maintained
- Staff can demonstrate how consent is obtained
- Discussion with staff and observation of interactions demonstrate that patients are treated with dignity and respect
- There is a suitable location for private consultation
- There are arrangements in place to assist patients with a disability or who require extra support
- There is a policy and procedure on maintaining confidentiality which is regularly assured

Indicator C2

Service users are listened to, valued and communicated with, in an appropriate manner.

Examples of Evidence

- There are arrangements in place to support patients to make informed decisions
- There are arrangements for providing information in alternative formats/interpreter services, if required

Indicator C3

There are systems in place to ensure that the views and opinions of service users, and or their representatives, are sought and taken into account in all matters affecting them.

Examples of Evidence

- Patient consultation (patient satisfaction survey) about the standard and quality of care and environment is carried out at least on an annual basis
- The results of the consultation are collated to provide a summary report
- The summary report is made available to patients and a subsequent action plan is developed to inform and improve services
- RQIA staff/patient questionnaire responses are reviewed and used to improve services

Is the service well led?

Effective leadership, management and governance which creates a culture focused on the needs and the experiences of service users in order to deliver safe, effective and compassionate care.

Indicator L1

There are management and governance systems in place to ensure the overall quality and safety of services provided.

Examples of Evidence

Governance Arrangements

- Where the entity operating the practice is a corporate body or partnership or an individual owner who is not in day to day management of the practice, arrangements are in place to ensure the registered person/nominated representative monitors the quality of services and undertakes an unannounced visit to the premises at least six monthly and produces a report of their findings (where appropriate)
- There are arrangements in place for policies and procedures to be reviewed at least every three years
- Policies are centrally indexed, a date of implementation and planned review is recorded and they are retained in a manner which is easily accessible by staff
- Arrangements are in place to provide evidence of appropriate review of risk assessments e.g. legionella, fire, HTM 01-05 IPS audit, Control of Substances Hazardous to Health (COSHH)

Complaints

- The practice has a complaints policy and procedure in accordance with the relevant legislation and DHSSPS guidance on complaints handling
- There are clear arrangements for the management of complaints from NHS and private patients
- Records are kept of all complaints and these include details of all communications with complainants, investigation records, the result of the investigation, the outcome and the action taken
- Staff know how to receive and deal with complaints
- Arrangements are in place to audit complaints, identify trends and improve services provided

Statutory notification of incidents and deaths to RQIA

- The practice has an incident policy and procedure in place which includes reporting arrangements to RQIA
- Incidents are effectively documented and investigated in line with legislation
- All relevant incidents are reported to RQIA and other relevant organisations in accordance with legislation and procedures, RQIA [Statutory Notification of Incidents and Deaths](#)
- Arrangements are in place to audit adverse incidents to identify trends and improve service provided

Indicator L2

There are management and governance systems in place that drive quality improvement.

Examples of Evidence

Quality Improvement

- There is evidence of a systematic approach to the review of available data and information, in order to make changes that improve quality, and add benefit to the organisation and patients

Quality Assurance

- Arrangements are in place for managing relevant alerts
- Arrangements are in place for staff supervision and appraisal

- There is collaborative working with external stakeholders e.g. Investors In People (IIP), British Dental Association (BDA) Good practice scheme
- There are procedures to facilitate audit, including clinical audit (e.g. IPS, x-ray, records, incidents, accidents, complaints)
- Results of audits are analysed and actions identified for improvement are embedded into practice

Indicator L3

There is a clear organisational structure and all staff are aware of their roles, responsibility and accountability within the overall structure.

Examples of Evidence

- There is a defined organisational and management structure that identifies the lines of accountability, specific roles and details responsibilities of all areas of the practice
- Staff are aware of their roles and responsibilities and actions to be taken should they have a concern
- The registered person/s have understanding of their role and responsibilities as outlined in legislation
- Patients are aware of the roles of staff and who to speak with if they need advice or have issues/concerns
- The registered person is kept informed regarding the day to day running of the practice
- There are opportunities to raise staff awareness through training and education regarding equality legislation to recognise and respond to patients' diverse needs

Indicator L4

The registered person/s operates the service in accordance with the regulatory framework.

Examples of Evidence

- The statement of purpose and patient guide are kept under review, revised when necessary and updated
- Insurance arrangements are in place for public and employers liability
- Registered person/s respond to regulatory matters (e.g. notifications, reports/QIPs, enforcement)
- Any changes in the registration status of the service are notified to RQIA
- RQIA certificate of registration is on display and reflective of services provided

Indicator L5

There are effective working relationships with internal and external stakeholders.

Examples of Evidence

- Arrangements are in place for staff to access their line manager
- There are arrangements in place to support staff (e.g. staff meetings, appraisal and supervision)
- Discussion with staff confirmed that there are good working relationships and that management are responsive to suggestions/concerns
- There are arrangements in place to effectively address staff suggestions/concerns
- There is a raising concerns/whistleblowing policy and procedural guidance for staff

Inspection Reports

Our inspection reports will reflect the findings from the inspection. Where it is appropriate, a Quality Improvement Plan (QIP) will detail those areas requiring improvement to ensure the service is compliant with the relevant regulations and standards as a minimum. Where no areas for improvement are identified from the inspection, this will be reflected in the report.

Once the inspection report is finalised and agreed as factually accurate, it will be made public on RQIA's website.



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