

# Unannounced Enforcement Compliance Inspection Report 13 September 2016



## Knock Orthodontic Practice & Coulter's Dental Surgery

Type of service: Independent Hospital – Dental Treatment  
Address: 416 Upper Newtownards Road, Belfast, BT4 3EZ  
Tel no: 028 9065 3031  
Inspector: Lynn Long

[www.rqia.org.uk](http://www.rqia.org.uk)

Assurance, Challenge and Improvement in Health and Social Care

## 1.0 Summary

An unannounced inspection of Knock Orthodontic Practice & Coulter's Dental Surgery took place on 13 September 2016 from 12:30 to 13.00.

The purpose of the inspection was to assess the level of compliance achieved in relation to a failure to comply notice, FTC/IHC-DT/11410/2016-17/01, issued on 18 August 2016. The date for compliance with the notice issued on 18 August 2016 was 20 October 2016.

On 9 September 2016 Mr Coulter contacted RQIA to advise that compliance had been achieved and requested the compliance inspection be undertaken on an earlier date.

### **FTC Ref: FTC/IHC-DT/11410/2016-17/01**

The inspection on 13 September 2016 identified that the necessary improvements to achieve compliance in relation to three of the four actions outlined in the failure to comply notice had been addressed. The fourth action which related to safeguarding training had not been addressed. On 14 September 2016, RQIA received evidence to confirm that safeguarding training had been undertaken on 13 September 2016.

The inspection on 13 September 2016 and subsequent information submitted to RQIA by electronic mail which was reviewed on 14 September 2016 found that the necessary improvements to comply with the regulation set out in the notice had been made. RQIA is satisfied that full compliance had been achieved with the above failure to comply notice.

This inspection was underpinned by 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 and the Department of Health, Social Services and Public Safety (DHSSPS) Minimum Standards for Dental Care and Treatment (2011).

While we assess the quality of services provided against regulations and associated DHSSPS care standards, we do not assess the quality of dentistry provided by individual dentists.

## 1.1 Inspection outcome

As indicated above, evidence was available to validate full compliance with the above failure to comply notice.

As a result of the findings of this inspection a confirmation of compliance letter was issued.

\*All enforcement notices for registered agencies/services are published on RQIA's website at: <https://www.rqia.org.uk/inspections/enforcement-activity/current-enforcement-activity/>

## 1.2 Actions/enforcement taken following the most recent care inspection

Following an announced care inspection which commenced on 25 July 2016 and concluded on 8 August 2016 a failure to comply notice was issued with regards to recruitment and selection of staff. The date for compliance was 20 October 2016.

## 2.0 Service details

<b>Registered organisation/registered person:</b> Mr William Coulter Mrs C J Coulter	<b>Registered manager:</b> Mr William Coulter
<b>Person in charge of the service at the time of inspection:</b> Mr William Coulter	<b>Date manager registered:</b> 13/03/2012
<b>Categories of care:</b> Independent Hospital (IH) – Dental Treatment	<b>Number of registered places:</b> 3

## 3.0 Methods/processes

Specific methods/processes used in this inspection include the following:

- discussion with Mr William Coulter, registered person
- review of relevant records
- evaluation and feedback

## 4.0 The inspection

### 4.1 Review of requirements and recommendations from the most recent inspection dated 25 July 2016

The requirements and recommendations made during the most recent inspection were not reviewed during this unannounced enforcement compliance inspection. These will be reviewed during the next announced care inspection.

## 4.2 Inspection findings

FTC Ref: FTC/IHC-DT/11410/2016-17/01

### The Independent Health Care Regulations (Northern Ireland) 2005

#### Regulation 19 (2)

A person is not fit to work in or for the purposes of an establishment, or for the purposes of an agency unless –

(d) full and satisfactory information is available in relation to him in respect of each of the matters specified in Schedule 2.

#### SCHEDULE 2

#### INFORMATION REQUIRED IN RESPECT OF PERSONS SEEKING TO CARRY ON, MANAGE OR WORK AT AN ESTABLISHMENT OR AGENCY

(2) Either –

(a) Where a certificate is required for a purpose relating to registration under Part 111 of the Order, or the position falls within section 115 (3) or (4) of the Police Act 1997

(a), an enhanced criminal record certificate issued under section 115 of that Act.

The inspection findings of the actions specified in the FTC notice are as follows:

**The registered person must ensure that at all times staff are recruited and employed in accordance with statutory legislation and mandatory requirements. This includes the receipt of a satisfactory AccessNI enhanced disclosure check prior to commencement of employment.**

Mr Coulter confirmed that there had been no new staff recruited since the previous inspection and there are no staff currently in the process of being recruited.

Discussion with Mr Coulter evidenced that both Mrs Coulter and he understand their role and responsibilities in relation to recruitment and selection of staff. Mr Coulter confirmed that should new staff be recruited in the future that they will be recruited in accordance with statutory legislation and mandatory requirements to include that an enhanced AccessNI check must be in place prior to any new staff, including self-employed staff commencing work in the future.

**The registered person must ensure that the staff recruitment policy and procedure contains details of all the required information as listed within Regulation 19 (2) and Schedule 2 of The Independent Health Care Regulations (Northern Ireland) 2005.**

A new recruitment policy had been developed. A review of the policy confirmed that ensuring that all required information as listed within Regulation 19 (2) and Schedule 2 of The Independent Health Care Regulations (Northern Ireland) 2005 will be sought and retained, is included.

**The registered person must implement robust monitoring systems to ensure that the recruitment process is compliant with statutory legislation and mandatory requirements.**

Mr Coulter confirmed during discussion that he understood what was required to be obtained prior to any new staff commencing employment at the practice. However, a recruitment checklist had not been developed. The benefits of having a recruitment checklist template were discussed and Mr Coulter confirmed that such a tool would assist them in ensuring all of the relevant information had been obtained and retained. Following the inspection RQIA shared a template checklist with Mr Coulter for future use.

**The registered person must ensure that all staff involved in the recruitment process receive training or refresher training in safeguarding of children and vulnerable adults.**

Mr Coulter confirmed during discussion that Mrs Coulter and he are the only people involved in staff recruitment. Mr Coulter confirmed that they had undertaken training in safeguarding of children and adults in the past. However, Mr Coulter was unsure of the date that this training had taken place and there were no records retained for review. The importance of undertaking safeguarding training was discussed. As safeguarding training was one of the actions outlined in the failure to comply notice, compliance had not been achieved. Mr Coulter agreed to arrange safeguarding training and contact RQIA when this had been completed.

On 14 September 2016, RQIA received evidence to confirm that Mr and Mrs Coulter had undertaken safeguarding training on 13 September 2016.

## **Conclusion**

The inspection on 13 September 2016 and subsequent information submitted to RQIA by electronic mail which was reviewed on 14 September 2016 found that the necessary improvements to comply with the regulation set out in the notice had been made. RQIA is satisfied that full compliance had been achieved with the above failure to comply notice.

### **5.0 Quality improvement plan**

There were no issues identified during this inspection, and a QIP is neither required, nor included, as part of this inspection report.

It should be noted that this inspection report should not be regarded as a comprehensive review of all strengths and areas for improvement that exist in the service. The findings reported on are those which came to the attention of RQIA during the course of this inspection. The findings contained within this report do not exempt the registered provider from their responsibility for maintaining compliance with the regulations and standards.



The Regulation and Quality Improvement Authority

9th Floor

Riverside Tower

5 Lanyon Place

BELFAST

BT1 3BT

Tel 028 9051 7500

Fax 028 9051 7501

Email [info@rqia.org.uk](mailto:info@rqia.org.uk)

Web [www.rqia.org.uk](http://www.rqia.org.uk)

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