

# Announced Care Inspection Report 24 August 2016



## The Glengormley Dental Practice

**Type of Service: Independent Hospital (IH) – Dental Treatment**

**Address: Unit 1-3, 350 Antrim Road, Glengormley, BT36 5EQ**

**Tel No: 02890833100**

**Inspector: Philip Colgan**

## 1.0 Summary

An announced inspection of The Glengormley Dental Practice took place on 24 August 2016 from 08:30 to 10:45.

The inspection sought to assess progress with any issues raised during and since the previous inspection and to determine if the service was delivering safe, effective and compassionate care and if the service was well led.

### **Is care safe?**

Observations made, review of documentation and discussion with Mrs Lynda Bailey, Registered Manager, and staff demonstrated that systems and processes were in place to ensure that care to patients was safe and avoids and prevents harm. Areas reviewed included staffing, recruitment and selection, safeguarding, management of medical emergencies, infection prevention control and decontamination, radiology and the general environment. The systems and processes in place at this dental practice promote learning and development and ensure that care provided to patients is safe. No requirements or recommendations have been made.

### **Is care effective?**

Observations made, review of documentation and discussion with Mrs Bailey and staff demonstrated that systems and processes were in place to ensure that care provided in the establishment was effective. Areas reviewed included clinical records, health promotion, audits and communication. No requirements or recommendations have been made.

### **Is care compassionate?**

Observations made, review of documentation and discussion with staff demonstrated that arrangements are in place to promote patients' dignity, respect and involvement in decision making. No requirements or recommendations have been made.

### **Is the service well led?**

Information gathered during the inspection evidenced that there was effective leadership and governance arrangements in place which creates a culture focused on the needs of patients in order to deliver safe, effective and compassionate care. Areas reviewed included organisational and staff working arrangements, the arrangements for policy and risk assessment reviews, the arrangements for dealing with complaints, incidents and alerts, insurance arrangements and the registered manager's understanding of their role and responsibility in accordance with legislation. No requirements or recommendations have been made.

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

	Requirements	Recommendations
<b>Total number of requirements and recommendations made at this inspection</b>	0	0

This inspection resulted in no requirements or recommendations being made. Findings of the inspection were discussed with Mrs Lynda Bailey, Registered Manager, as part of the inspection process and can be found in the main body of the report.

Enforcement action did not result from the findings of this inspection.

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

There were no further actions required to be taken following the most recent inspection.

## 2.0 Service details

<b>Registered organisation/ registered provider:</b> Mr David Andrew Relf	<b>Registered manager:</b> Mrs Lynda Bailey
<b>Manager in charge of the service at the time of inspection:</b> Mrs Lynda Bailey	<b>Date manager registered:</b> 27 October 2015
<b>Categories of care:</b> Independent Hospital (IH) – Dental Treatment	<b>Number of registered places:</b> 4

## 3.0 Methods/processes

Questionnaires were provided to patients and staff prior to the inspection by the practice on behalf of the RQIA. Prior to inspection we analysed the following records: staffing information, complaints declaration and returned completed patient and staff questionnaires.

During the inspection the inspector met with Mrs Lynda Bailey, Registered Manager, and a dental nurse. A tour of some areas of the premises was also undertaken.

Records were examined during the inspection in relation to the following areas:

- staffing
- recruitment and selection
- safeguarding
- management of medical emergencies
- infection prevention and control
- radiography
- clinical record recording arrangements
- health promotion
- management and governance arrangements
- maintenance arrangements

#### 4.0 The inspection

#### 4.1 Review of requirements and recommendations from the most recent inspection dated 27 August 2015

The most recent inspection of the establishment was an announced care inspection. The completed QIP was returned and approved by the care inspector.

#### 4.2 Review of requirements and recommendations from the last care inspection dated 27 August 2015

Last care inspection recommendations		Validation of compliance
<b>Recommendation 1</b>  <b>Ref: Standard 12.4</b> <b>Stated: First time</b>	It is recommended that the expiry dates on all emergency medications are checked monthly and if required replaced.	<b>Met</b>
	<b>Action taken as confirmed during the inspection:</b> Discussion with Mrs Bailey and the dental nurse and observations made evidenced that this recommendation has been met.	

<p><b>Recommendation 2</b></p> <p>Ref: Standard 11.1 Stated: First time</p>	<p>It is recommended that the recruitment policy is developed. The policy and procedure should include the following information:</p> <ul style="list-style-type: none"> <li>• advertising and application process;</li> <li>• shortlisting, interview and selection process;</li> <li>• issuing of job description and contracts/agreements;</li> <li>• employment checks including two written references;</li> <li>• exploration of employment history including any gaps in employment;</li> <li>• pre-employment checks including confirmation of the Managers physical and mental health to undertake the relevant duties;</li> <li>• arrangements for obtaining an enhanced AccessNI check; and</li> <li>• evidence of professional qualifications and GDC registration if applicable</li> </ul>	<p style="text-align: center;"><b>Met</b></p>
<p><b>Action taken as confirmed during the inspection:</b> Discussion with Mrs Bailey and examination of the recruitment policy evidenced that this recommendation has been met.</p>		
<p><b>Recommendation 3</b></p> <p>Ref: Standard 11.1 Stated: First time</p>	<p>It is recommended that two written references are obtained prior to new staff commencing employment and retained in staff personnel files.</p>	<p style="text-align: center;"><b>Met</b></p>
<p><b>Action taken as confirmed during the inspection:</b> Discussion with Mrs Bailey and examination of the personnel files for newly recruited staff evidenced that this recommendation has been met.</p>		
<p><b>Recommendation 4</b></p> <p>Ref: Standard 11.1 Stated: First time</p>	<p>It is recommended that Enhanced AccessNI disclosure certificates are disposed of in keeping with AccessNI code of practice and a record retained of the staff member's name, dates the check was applied for and received, the unique identification number and the outcome of the check.</p>	<p style="text-align: center;"><b>Met</b></p>
<p><b>Action taken as confirmed during the inspection:</b> Discussion with Mrs Bailey and examination of the personnel files for newly recruited staff evidenced that this recommendation has been met.</p>		

## 4.3 Is care safe?

### Staffing

Four dental surgeries are in operation in this practice. Discussion with staff and a review of completed patient and staff questionnaires demonstrated that there was sufficient numbers of staff in various roles to fulfil the needs of the practice and patients.

Two new staff have been recruited since the previous care inspection. Review of their staff files evidenced that induction programmes were in place relevant to specific roles within the practice.

Procedures were in place for appraising staff performance and staff confirmed that appraisals had taken place. Staff confirmed that they felt supported and involved in discussions about their professional development. A review of a sample of personnel records evidenced that appraisals had been completed on an annual basis. There was a system in place to ensure that all staff receive appropriate training to fulfil the duties of their role.

A review of records confirmed that a robust system was in place to review the General Dental Council (GDC) registration status and professional indemnity of all clinical staff.

Mrs Bailey confirmed during discussion that the practice are proactive in ensuring that the needs of staff are met in relation to staff training, GDC registration and professional indemnity of all clinical staff.

### Recruitment and selection

A review of the submitted staffing information and discussion with Mrs Bailey confirmed that two new staff have been recruited since the previous inspection. A review of the personnel files for these staff demonstrated that all recruitment documentation as outlined in Schedule 2 of The Independent Health Care Regulations (Northern Ireland) 2005 has been sought and retained for inspection.

There was a recruitment policy and procedure available. The policy was comprehensive and reflected best practice guidance.

### Safeguarding

The dental nurse spoken with was aware of the types and indicators of abuse and the actions to be taken in the event of a safeguarding issue being identified, including who the nominated safeguarding lead was.

Review of records demonstrated that all staff had received training in safeguarding children and adults as outlined in the Minimum Standards for Dental Care and Treatment 2011.

Policies and procedures were in place for the safeguarding and protection of adults and children. The policy included the types and indicators of abuse and distinct referral pathways in the event of a safeguarding issue arising with an adult or child. The relevant contact details for onward referral to the local Health and Social Care Trust should a safeguarding issue arise, were included.

## **Management of medical emergencies**

A review of medical emergency arrangements evidenced that emergency medicines were provided in keeping with the British National Formulary (BNF), and that emergency equipment as recommended by the Resuscitation Council (UK) guidelines was retained. A robust system was in place to ensure that emergency medicines and equipment do not exceed their expiry date. There was an identified individual with responsibility for checking emergency medicines and equipment.

Review of training records and discussion with staff confirmed that the management of medical emergencies is included in the induction programme and training is updated on an annual basis in keeping with best practice guidance.

Discussion with the dental nurse demonstrated that she has a good understanding of the actions to be taken in the event of a medical emergency and the location of medical emergency medicines and equipment.

## **Infection prevention control and decontamination procedures**

Clinical and decontamination areas were tidy and uncluttered and work surfaces were intact and easy to clean. Fixtures, fittings, dental chairs and equipment were free from damage, dust and visible dirt. Staff were observed to be adhering to best practice in terms of the uniform and hand hygiene policies.

Discussion with the dental nurse demonstrated that she had an understanding of infection prevention and control policies and procedures and were aware of their roles and responsibilities. Staff confirmed that they have received training in infection prevention and control and decontamination in keeping with best practice. Training records were available for inspection.

There was a nominated lead who had responsibility for infection control and decontamination in the practice.

A decontamination room separate from patient treatment areas and dedicated to the decontamination process was available. Appropriate equipment, including two washer disinfectors and two steam sterilisers have been provided to meet the practice requirements. A review of documentation evidenced that equipment used in the decontamination process has been appropriately validated. A review of equipment logbooks evidenced that periodic tests are undertaken and recorded in keeping with Health Technical Memorandum (HTM) 01-05 Decontamination in primary care dental practices.

It was confirmed that the practice continues to audit compliance with HTM 01-05 using the Infection Prevention Society (IPS) audit tool.

A range of policies and procedures were in place in relation to decontamination and infection prevention and control.

## **Radiography**

The practice has four surgeries, each of which has an intra-oral x-ray machine.

A dedicated radiation protection file containing the relevant local rules, employer's procedures and other additional information was retained. A review of the file confirmed that staff have been authorised by the radiation protection supervisor (RPS) for their relevant duties and have received local training in relation to these duties.

It was evidenced that all measures are taken to optimise dose exposure. This included the use of rectangular collimation, digital radiography and x-ray audits.

A copy of the local rules was on display near each x-ray machine and appropriate staff had signed to confirm that they had read and understood these. The dental nurse, spoken with, demonstrated sound knowledge of the local rules and associated practice.

The radiation protection advisor (RPA) completes a quality assurance check every three years. Review of the report of the most recent visit by the RPA demonstrated that the recommendations made have been addressed.

The x-ray equipment has been serviced and maintained in accordance with manufacturer's instructions.

Quality assurance systems and processes were in place to ensure that all matters relating to x-rays reflect legislative and best practice guidance.

## **Environment**

The environment was maintained to a high standard of maintenance and décor.

Detailed cleaning schedules were in place for all areas which were signed on completion. A colour coded cleaning system was in place.

Arrangements are in place for maintaining the environment. A legionella risk assessment had been undertaken and water temperatures were being recorded and monitored on a monthly basis.

A fire risk assessment had been undertaken and staff confirmed fire training and fire drills had been completed. Staff were aware of the action to take in the event of a fire.

A written scheme of examination of pressure vessels had been completed and records were retained confirming this.

Records in relation to maintenance were retained in a systematic and organised manner and as a result of this robust system Mrs Bailey was in a position to access information in a timely fashion.



## Patient and staff views

Twenty patients submitted questionnaire responses to RQIA. All indicated that they felt safe and protected from harm.

Comments provided included the following:

- “Feel very safe and very much at ease”
- “Feel safe at all times”

Eight staff submitted questionnaire responses. All indicated that they felt that patients are safe and protected from harm. Staff spoken with during the inspection concurred with this.

## Areas for improvement

No areas for improvement were identified during the inspection.

<b>Number of requirements</b>	<b>0</b>	<b>Number of recommendations:</b>	<b>0</b>
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### 4.4 Is care effective?

## Clinical records

The dental nurse spoken with confirmed that clinical records are updated contemporaneously during each patient’s treatment session in accordance with best practice. Mrs Bailey confirmed that the clinical records are created, updated and maintained to the standard set by the Faculty of General Dental Practice (UK).

Routine dental examinations include a review of medical history, a check for gum disease and oral cancers and it was confirmed that treatment plans are developed in consultation with patients. It was confirmed that patients are informed about the cost of treatments, choices and options.

Computerised records are maintained. Electronic records have different levels of access afforded to staff dependent on their role and responsibilities. Appropriate systems and processes were in place for the management of records and maintaining patient confidentiality.

Policies were available in relation to records management, data protection and confidentiality and consent. The records management policy includes the arrangements in regards to the creation, storage, recording, retention and disposal of records and data protection. The policy is in keeping with legislation and best practice guidance.

The practice is registered with the Information Commissioner’s Office (ICO) and a Freedom of Information Publication Scheme has been established.

## Health promotion

The practice has a strategy for the promotion of oral health and hygiene, including access to two dental hygienists and a range of health promotion information leaflets were available in the reception area. Mrs Bailey confirmed that oral health is actively promoted on an individual level with patients during their consultations.

## Audits

There were robust arrangements in place to monitor, audit and review the effectiveness and quality of care delivered to patients at appropriate intervals which included:

- x-ray quality grading
- x-ray justification and clinical evaluation recording
- IPS HTM 01-05 compliance
- clinical waste management
- hand hygiene
- clinical records
- annual policies and procedures
- patient satisfaction

The range of audits undertaken exceeds best practice.

## Communication

Mrs Bailey confirmed that arrangements are in place for onward referral in respect of specialist treatments. A policy and procedure and template referral letters have been established.

Staff meetings are held on a regular basis to discuss clinical and practice management issues. Review of documentation demonstrated that minutes of staff meetings are retained. Staff spoken with confirmed that meetings also facilitated informal in house training sessions.

The dental nurse confirmed that there are good working relationships and there is an open and transparent culture within the practice.

## Patient and staff views

All of the 20 patients who submitted questionnaire responses indicated that they get the right care, at the right time and with the best outcome for them.

The following comment was made:

- “Really pleased with my treatment”

All of the eight submitted staff questionnaire responses indicated that they felt that patients get the right care, at the right time and with the best outcome for them. Staff spoken with during the inspection concurred with this.

## Areas for improvement

No areas for improvement were identified during the inspection.

<b>Number of requirements</b>	<b>0</b>	<b>Number of recommendations:</b>	<b>0</b>
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### 4.5 Is care compassionate?

#### Dignity, respect and involvement in decision making

The dental nurse spoken with demonstrated a good understanding of the core values of privacy, dignity, respect and patient choice and confirmed that if they needed to speak privately with a patient that arrangements are provided to ensure the patient's privacy is respected. Staff were observed to converse with patients and conduct telephone enquiries in a professional and confidential manner.

The importance of emotional support needed when delivering care to patients who were very nervous or fearful of dental treatment was clear and it was confirmed that longer appointments are made available for those who require it.

It was confirmed that treatment options, including the risks and benefits, were discussed with each patient. This ensures patients understand what treatment is available to them and can make an informed choice. Staff demonstrated how consent would be obtained. Discussion with Mrs Bailey and the dental nurse demonstrated the practice are very mindful of individual patients' needs and will arrange appointments and treatment plans around these needs. Examples of this included accommodating ground floor surgery appointments for patients who require this and accommodating appointment times that best suit the patient.

The practice undertakes patient satisfaction surveys on a regular basis. Review of the most recent patient satisfaction report demonstrated that the practice pro-actively seeks the views of patients about the quality of treatment and other services provided. Patient feedback whether constructive or critical, is used by the practice to improve, as appropriate.

A policy and procedure was in place in relation to confidentiality which included the arrangements for respecting patient's privacy, dignity and providing compassionate care and treatment.

#### Patient and staff views

All of the 20 patients who submitted questionnaire responses indicated that they are treated with dignity and respect and are involved in decision making affecting their care.

The following comment was made

- "I have always felt respected"

All submitted staff questionnaire responses indicated that they felt that patients are treated with dignity and respect and are involved in decision making affecting their care. Staff spoken with during the inspection concurred with this.

## Areas for improvement

No areas for improvement were identified during the inspection.

<b>Number of requirements</b>	<b>0</b>	<b>Number of recommendations:</b>	<b>0</b>
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### 4.6 Is the service well led?

#### Management and governance arrangements

There was a clear organisational structure within the practice and staff were able to describe their roles and responsibilities and were aware of who to speak to if they had a concern. The dental nurse confirmed that there were good working relationships and that management were responsive to any suggestions or concerns raised. There was a nominated individual with overall responsibility for the day to day management of the practice.

Policies and procedures were available for staff reference. Observations made confirmed that policies and procedures were indexed, dated and systematically reviewed. The dental nurse spoken with was aware of the policies and how to access them.

Arrangements were in place to review risk assessments on a regular basis.

A copy of the complaints procedure was available in the practice. Staff demonstrated a good awareness of complaints management. A complaints questionnaire was forwarded by RQIA to the practice for completion. The evidence provided in the returned questionnaire indicated that the complaints received since the previous inspection in August 2015 have been dealt with appropriately.

A system was in place to ensure that notifiable events were investigated and reported to RQIA or other relevant bodies as appropriate. A system was also in place to ensure that urgent communications, safety alerts and notices are reviewed and where appropriate, made available to key staff in a timely manner.

Mrs Bailey confirmed that arrangements were in place to monitor, audit and review the effectiveness and quality of care delivered to patients at appropriate intervals. The range of audits as listed previously is in excess of those required by legislation or good practice guidance. If required an action plan is developed and embedded into practice to address any shortfalls identified during the audit process.

A whistleblowing/raising concerns policy was available. Discussion with the dental nurse confirmed that she was aware of who to contact if they had a concern.

The registered manager demonstrated a clear understanding of her role and responsibility in accordance with legislation. Information requested by RQIA has been submitted within specified timeframes. It was confirmed that the Statement of Purpose and Patient's Guide are kept under review, revised and updated when necessary and available on request.

The RQIA certificate of registration was up to date and displayed appropriately.

Observation of insurance documentation confirmed that current insurance policies were in place.

## **Patient and staff views**

All of the 20 patients who submitted questionnaire responses indicated that they felt that the service is well managed.

The following comment was made;

- “I always feel my care options have been discussed with me thoroughly”

All submitted staff questionnaire responses indicated that they felt that the service is well led. Staff spoken with during the inspection concurred with this.

## **Areas for improvement**

No areas for improvement were identified during the inspection.

### **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.



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