



The Regulation and
Quality Improvement
Authority

Announced Inspection

Name of Establishment: Lisbellaw Dental Practice
Establishment ID No: 11564
Date of Inspection: 3 April 2014
Inspector's Name: Stephen O'Connor
Inspection No: 16694

The Regulation and Quality Improvement Authority
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1.0 General Information

Name of establishment:	Lisbellaw Dental Practice
Address:	8 Main Street Lisbellaw Enniskillen BT94 5ER
Telephone number:	02866 387878
Registered organisation / registered provider:	Miss Kim Forster
Registered manager:	Miss Kim Forster
Person in charge of the establishment at the time of Inspection:	Miss Kim Forster
Registration category:	IH-DT
Type of service provision:	Private dental treatment
Maximum number of places registered: (dental chairs)	1
Date and type of previous inspection:	Announced 9 October 2013
Date and time of inspection:	3 April 2014 09:55 – 11:50
Name of inspector:	Stephen O'Connor

2.0 Introduction

The Regulation and Quality Improvement Authority (RQIA) is empowered under The Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003 to inspect dental practices providing private dental care and treatment. A minimum of one inspection per year is required.

This is a report of the announced inspection to assess the quality of services being provided. The report details the extent to which the standards measured during inspection were met.

3.0 Purpose of the Inspection

The purpose of this inspection was to consider whether the service provided to patients was in accordance with their assessed needs and preferences and was in compliance with legislative requirements, minimum standards and other good practice indicators. This was achieved through a process of analysis and evaluation of available evidence.

RQIA not only seeks to ensure that compliance with regulations and standards is met but also aims to use inspection to support providers in improving the quality of services. For this reason, inspection involves in-depth examination of an identified number of aspects of service provision.

The aims of the inspection were to examine the policies, practices and monitoring arrangements for the provision of dental care, and to determine the provider's compliance with the following:

- The HPSS (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 Minimum Standards for Dental Care and Treatment 2011; and
- Health Technical Memorandum HTM 01-05: Decontamination in Primary Care Dental Practices and Professional Estates Letter (PEL) (13) 13.

Other published standards which guide best practice may also be referenced during the inspection process.

4.0 Methods/Process

Committed to a culture of learning, the RQIA has developed an approach which uses self-assessment, a critical tool for learning, as a method for preliminary assessment of achievement of the Minimum Standards.

The inspection process has three key parts; self-assessment (including completion of self-declaration), pre-inspection analysis and the inspection visit by the inspector.

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

- a self-assessment was submitted prior to the inspection and has been analysed;
- discussion with Miss Forster, registered provider;
- examination of relevant records;
- consultation with relevant staff;
- tour of the premises; and
- evaluation and feedback.

Any other information received by RQIA about this practice has also been considered by the inspector in preparing for this inspection.

5.0 Consultation Process

During the course of the inspection, the inspector spoke with staff on duty. Questionnaires were provided to staff prior to the inspection by the practice, on behalf of the RQIA to establish their views regarding the service. Matters raised by staff were addressed by the inspector during the course of this inspection:

	Number	
Discussion with staff	2	
Staff Questionnaires	3 issued	3 returned

Prior to the inspection the registered person/s were asked, in the form of a declaration, to confirm that they have a process in place for consulting with service users and that a summary of the findings has been made available. The consultation process may be reviewed during this inspection.

6.0 Inspection Focus

The inspection sought to establish the level of compliance achieved with respect to the selected DHSSPS Minimum Standards for Dental Care and Treatment and a thematic focus incorporating selected standards and good practice indicators. An assessment on the progress in relation to the issues raised during and since the previous inspection was also undertaken.

In 2012 the DHSSPS requested that RQIA make compliance with best practice in local decontamination, as outlined in HTM 01-05 Decontamination in Primary Care Dental Premises, a focus for the 2013/14 inspection year.

The DHSSPS and RQIA took the decision to review compliance with best practice over two years. The focus of the two years is as follows:

- Year 1 – Decontamination – 2013/14 inspection year
- Year 2 - Cross infection control – 2014/15 inspection year

Standard 13 – Prevention and Control of Infection [Safe and effective care]

The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.

The decontamination section of the Infection Prevention Society Audit tool, which has been endorsed by the Department of Health, was used as a framework for development of a self-assessment tool and for planned inspections during 2013/14.

The following sections of the 2013 edition of the Infection Prevention Society Audit tool, which has been endorsed by the Department of Health have been used as a framework for the development of a self-assessment tool and for planned inspections in 2014/15:

- Prevention of Blood-borne virus exposure
- Environmental design and cleaning
- Hand Hygiene
- Management of Dental Medical Devices
- Personal Protective Equipment
- Waste

A number of aspects of the Decontamination section of the Audit tool have also been revisited.

RQIA have highlighted good practice guidance sources to service providers, making them available on our website where possible. Where appropriate, requirements will be made against legislation and recommendations will be made against DHSSPS Minimum Standards for Dental Care and Treatment (2011) and other recognised good practice guidance documents.

The registered provider/manager and the inspector have each rated the practice's compliance level against each section of the self-assessment.

The table below sets out the definitions that RQIA has used to categorise the service's performance:

Guidance - Compliance statements		
Compliance statement	Definition	Resulting Action in Inspection Report
0 - Not applicable		A reason must be clearly stated in the assessment contained within the inspection report.
1 - Unlikely to become compliant		A reason must be clearly stated in the assessment contained within the inspection report.
2 - Not compliant	Compliance could not be demonstrated by the date of the inspection.	In most situations this will result in a requirement or recommendation being made within the inspection report.
3 - Moving towards compliance	Compliance could not be demonstrated by the date of the inspection. However, the service could demonstrate a convincing plan for full compliance by the end of the Inspection year.	In most situations this will result in a requirement or recommendation being made within the inspection report.
4 – Substantially Compliant	Arrangements for compliance were demonstrated during the inspection. However, appropriate systems for regular monitoring, review and revision are not yet in place.	In most situations this will result in a recommendation, or in some circumstances a requirement, being made within the inspection report.
5 – Compliant	Arrangements for compliance were demonstrated during the inspection. There are appropriate systems in place for regular monitoring, review and any necessary revisions to be undertaken.	In most situations this will result in an area of good practice being identified and comment being made within the inspection report.

7.0 Profile of Service

Lisbellaw Dental Practice is located in a residential building, converted for use as a dental practice, situated in the town of Lisbellaw.

On-street car parking is available for patients.

The establishment is accessible for patients with a disability, however, a disabled accessible toilet is not available and patients are made aware of this.

Lisbellaw Dental Practice operates one dental chair, providing both private and NHS dental care. A waiting area, reception, and toilet facilities are available for patient use. The practice also has staff and storage facilities.

The practice has a separate decontamination room for the processing of instruments; refurbishment works have recently been undertaken and are almost complete.

Miss Forster is supported in the practice by associate dentists, a team of dental nurses and a receptionist.

The establishment's statement of purpose outlines the range of services provided.

This practice is registered as an independent hospital (IH) providing dental treatment (DT).

8.0 Summary of Inspection

This announced inspection of Lisbellaw Dental Practice was undertaken by Stephen O'Connor on 3 April 2014 between the hours of 09:55 and 11:50. Miss Kim Forster, registered provider, was available during the inspection and for verbal feedback at the conclusion of the inspection.

The requirements and recommendations made as a result of the previous inspection were also examined. Observations and discussion demonstrated that considerable work has been undertaken in relation to the requirement to refurbish the decontamination room. Refurbishment works are almost complete and an additional recommendation has been made to fit a finished floor in the decontamination room. The requirements in regards to the validation of the washer disinfectant and steam steriliser have not been addressed and are now stated for the second time. Observations and discussion demonstrated that of the five recommendations previously made four have been fully addressed and compliance achieved. The recommendation in regards to the provision and use of an illuminated magnification device has not been addressed and is now stated for the second time. The detail of the action taken by Miss Forster can be viewed in the section following this summary.

Prior to the inspection, Miss Forster completed a self-assessment using the standard criteria outlined in the theme inspected. The comments provided by Miss Forster in the self-assessment were not altered in any way by RQIA. The self-assessment is included as appendix one in this report. A review of the submitted self-assessment identified that Miss Forster had omitted to rate the practice's levels of compliance against each section. This was discussed with Miss Forster with a view to the completion of future self-assessments.

During the course of the inspection the inspector met with staff, discussed operational issues, examined a selection of records and carried out a general inspection of the establishment.

Questionnaires were also issued to staff; three were returned to RQIA within the timescale required. Review of submitted questionnaires and discussion with staff evidenced that staff were knowledgeable regarding the inspection theme and that they have received training appropriate to their relevant roles. Staff confirmed that they are familiar with the practice policies and procedures and have received infection prevention and control training. Clinical staff confirmed that they have been immunised against Hepatitis B.

Inspection Theme – Cross infection control

Dental practices in Northern Ireland have been directed by the DHSSPS, that best practice recommendations in the Health Technical Memorandum (HTM) 01-05, Decontamination in primary care dental practices, along with Northern Ireland amendments, should have been fully implemented by November 2012. HTM 01-05 was updated in 2013 and Primary Care Dental Practices were advised of this through the issue of Professional Estates Letter (PEL) (13) 13

on 1 October 2013. The PEL (13) 13 advised General Dental Practitioners of the publication of the 2013 version of HTM 01-05 and the specific policy amendments to the guidance that apply in Northern Ireland.

RQIA reviewed the compliance of the decontamination aspect of HTM 01-05 in the 2013/2014 inspection year. The focus of the inspection for the 2014/2015 inspection year is cross infection control. A number of aspects of the decontamination section of HTM 01-05 were also revisited.

A copy of the 2013 edition of HTM 01-05 Decontamination in primary dental care practices is available at the practice for staff reference. Staff are familiar with best practice guidance outlined in the document and audit compliance on an on-going basis.

The practice has a policy and procedure in place for the prevention and management of blood-borne virus exposure, including management of spillages, sharps and inoculation incidents in accordance with national guidance. Review of documentation and discussion with Miss Forster, registered provider, and staff evidenced that appropriate arrangements are in place for the prevention and management of blood-borne virus exposure. Staff confirmed that they are aware of and adhering to practice policy in this regard. In general, sharps management at the practice was observed to be in line with best practice. A recommendation was made that sharp containers should be wall mounted at the point of use; and purple lidded sharps containers must be provided for the disposal of pharmaceutical waste.

The premises were clean and tidy and clutter was kept to a minimum. Satisfactory arrangements are in place for the cleaning of the general environment and dental equipment. It was observed that the covering of the dental chair is torn. A recommendation was made that the tear in the dental chair should be repaired in the interests of infection prevention and control and to aid effective cleaning.

The practice has a hand hygiene policy and procedure in place and staff demonstrated that good practice is adhered to in relation to hand hygiene. Dedicated hand washing basins are available in the appropriate locations. Information promoting hand hygiene is provided for staff. A recommendation was made that in keeping with best practice guidance disinfectant rub/gel should be provided at the point of use.

A written scheme for the prevention of legionella is available. Procedures are in place for the use, maintenance, service and repair of all medical devices. Observations made and discussion with staff confirmed that dental unit water lines (DUWLs) are appropriately managed.

The practice has a policy and procedure in place for the use of personal protective equipment (PPE) and staff spoken with demonstrated awareness of this.

Observations made confirmed that PPE was readily available and used appropriately by staff.

Appropriate arrangements were in place for the management of general and clinical waste, including sharps. Waste was appropriately segregated and suitable arrangements were in place for the storage and collection of waste by a registered waste carrier. Relevant consignment notes are retained in the practice for at least three years.

A decontamination room separate from patient treatment areas and dedicated to the decontamination process is available. Works to refurbish the decontamination room are nearing completion. The finished floor in the decontamination room has yet to be fitted and it was observed that the floor in the dental surgery is not coved or sealed at the edges. A recommendation was made that a finished floor in keeping with the flooring specifications outlined in HTM 01-05 should be fitted in the decontamination room: and that the floor in the dental surgery should be sealed at the edges where it meets the wall.

Miss Forster confirmed that the washer disinfecter has not been validated and that its use has not been incorporated into the decontamination process, and that the steam steriliser has not been validated. Two requirements were made to address these issues. The equipment provided, once validated and operational will be sufficient to meet the practice requirements. A logbook evidenced that periodic tests are undertaken and recorded in keeping with HTM 01-05 in regard to the steam steriliser.

The evidence gathered through the inspection process concluded that Lisbellaw Dental Practice is moving towards compliance with this inspection theme.

Miss Forster confirmed on the submitted self-assessment that arrangements for consultation with patients, at appropriate intervals are not in place. A requirement has been made to introduce and maintain a system for reviewing at appropriate intervals the quality of treatment and other services provided to patients in or for the purposes of the establishment.

Three requirements, two of which are stated for the second time and five recommendations, one of which is stated for the second time were made as a result of the announced inspection, details can be found in the main body of the report and the attached Quality Improvement Plan (QIP).

The inspector wishes to thank Miss Forster and staff for their helpful discussions, assistance and hospitality throughout the inspection process.

9.0 Follow-up on Previous Issues

No	Regulation Ref.	Requirements	Action taken - as confirmed during this inspection	Inspector's Validation of Compliance
1	25 (2)	The dedicated decontamination room must be refurbished, fully equipped and operational to ensure that all reusable dental instruments are appropriately cleaned, sterilised and stored following use in keeping with best practice as outlined in HTM 01-05.	<p>Observation and discussion with Miss Forster and staff demonstrated that the refurbishment of the dedicated decontamination room is nearing completion. The room has been refurbished in keeping with best practice guidance as outlined in HTM 01-05. A finished floor has yet to be fitted and Miss Forster confirmed that arrangements are in place to have the floor fitted.</p> <p>This requirement has not been fully addressed and a recommendation has been made that a finished floor in keeping with the flooring specifications outlined in HTM 01-05 should be fitted in the decontamination room.</p>	Substantially compliant
2	15 (2) (b)	The installed washer disinfectant must be validated and following staff training it must be used to clean reusable instruments in keeping with best practice as outlined in HTM 01-05.	<p>Miss Forster confirmed that the practice has contacted a dental supplier and requested a validation appointment. However due to resource issues with the dental supplier the practice are waiting for the validation appointment to be scheduled.</p> <p>This requirement has not been addressed and is now stated for the second time. An additional component was included with this requirement that a copy of the validation certificate must be forwarded to RQIA on return of the QIP.</p>	Not compliant
3	15 (2) (b)	The ultrasonic cleaner and steriliser must be maintained and validated	As discussed previously Miss Forster has contacted a dental supplier and requested a	Not compliant

		<p>in keeping with best practice as outlined in HTM 01-05. Records of validation should be retained for inspection.</p>	<p>validation appointment, and the practice is waiting for this to be scheduled. On discussion Miss Forster confirmed that the ultrasonic cleaner will be decommissioned, and therefore it will not require validation.</p> <p>This requirement has not been addressed and the relevant component is now stated for the second time. An additional component was included with this requirement that a copy of the validation certificate must be forwarded to RQIA on return of the QIP.</p>	
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No	Minimum Standard Ref.	Recommendations	Action Taken – as confirmed during this inspection	Inspector's Validation of Compliance
1	8	Establish audits of justification and clinical evaluation recording, to be undertaken at least annually.	<p>Review of documentation and discussion with Miss Forster demonstrated that an audit of justification and clinical evaluation recording has been undertaken and that arrangements are in place for annual audits to be completed.</p> <p>This recommendation has been addressed.</p>	Compliant
2	14	<p>Further develop the legionella risk assessment to include:</p> <ul style="list-style-type: none"> • The water distribution and storage system in the practice. • Existing control measures and any additional control measures to be implemented as a result of the risk assessment. 	<p>Review of documentation and discussion with Miss Forster and staff demonstrated that an external company was appointed to undertake a legionella risk assessment and that control measures have been implemented.</p> <p>This recommendation has been addressed.</p>	Compliant
3	14	<p>Contact health estates at the Department of Health for advice and guidance in regards to the refurbishment of the decontamination room.</p> <p>Any recommendations made should be addressed and records retained.</p>	<p>Miss Forster confirmed that representatives from Health Estates visited the practice and assisted in the development of refurbishment plans for the decontamination room.</p> <p>This recommendation has been addressed.</p>	Compliant
4	13	An illuminated magnification device should be in place and be used to inspect instruments following cleaning as part of the decontamination process.	<p>It was observed that a magnification device is used to inspect instruments following cleaning, however the device in use does not have an inbuilt light source.</p> <p>This recommendation has not been addressed and is</p>	Not compliant

			now stated for the second time.	
5	13	<p>Establish a log book for the ultrasonic cleaner and washer disinfectant. Log books should contain the following information;</p> <ul style="list-style-type: none"> • Details of the machine and location; • Commissioning report; • Daily/weekly test record sheets; • Quarterly test record sheets; • Annual service/validation certification; • Fault history; • Process log; • Records to show staff have been trained in the correct use of the machine; • Relevant contacts e.g. service engineer. 	<p>Review of documentation and discussion with staff demonstrated that log books have been developed for the equipment currently in use. Miss Forster confirmed that once operational a log book will be established for the washer disinfectant.</p> <p>This recommendation has been addressed.</p>	Compliant

10.0 Inspection Findings

10.1 Prevention of Blood-borne virus exposure

STANDARD 13 – Prevention and Control of Infection (Safe and effective care) The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.
<p>Criteria Assessed:</p> <p>11.2 You receive care and treatment from a dental team (including temporary members) who have undergone appropriate checks before they start work in the service.</p> <p>13.2 Your dental service adheres to the appropriate infection control policies and procedures in line with current best practice and legislation.</p> <p>13.3 Your dental service has systems in place, including induction and ongoing training, to make sure these policies and procedures are known, and are being appropriately applied to the service at all times.</p>
<p>Inspection Findings:</p> <p>Miss Forster omitted to rate the practice arrangements for the prevention of blood-borne virus exposure on the submitted self-assessment.</p> <p>The practice has a policy and procedure in place for the prevention and management of blood-borne virus exposure, including management of spillages, sharps and inoculation incidents in accordance with national guidance.</p> <p>Review of documentation and discussion with staff evidenced that:</p> <ul style="list-style-type: none"> • The prevention and management of blood-borne virus exposure is included in the staff induction programme. • Staff training has been provided for clinical staff • Records are retained regarding the Hepatitis B immunisation status of clinical staff <p>Discussion with staff demonstrated that staff are aware of the policies and procedures in place for the prevention and management of blood-borne virus exposure.</p> <p>Observations made and discussion with a dental nurse demonstrated that sharps are appropriately handled. The sharps box in the dental surgery was observed to be for general clinical waste, free standing, appropriately used, signed and dated on assembly, and the dental nurse confirmed that sharps boxes are signed and dated on final closure. Used sharps boxes are locked with the integral lock and stored ready for collection away from public access. A recommendation was made that, in keeping with best practice guidance, sharp boxes should be wall mounted at the point of use. A sharps box for pharmaceutical waste was not available in the practice, additional information in this regard can be found in section 10.6 of this report.</p> <p>Discussion with a dental nurse and review of documentation evidenced that arrangements are in place for the management of a sharps injury, including needle stick injury. The dental nurse was aware of the actions to be taken in the event of a sharps injury.</p>

<p>Provider's overall assessment of the dental practice's compliance level against the standard assessed</p>	<p>No rating given</p>
<p>Inspector's overall assessment of the dental practice's compliance level against the standard assessed</p>	<p>Substantially compliant</p>

10.2 Environmental design and cleaning

<p>STANDARD 13 – Prevention and Control of Infection (Safe and effective care) The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.</p>
<p>Criterion Assessed: 13.1 Your dental service’s premises are clean.</p>
<p>Inspection Findings:</p> <p>Miss Forster omitted to rate the practice arrangements for environmental design and cleaning on the submitted self-assessment. However Miss Forster did indicate that the covering of the dental chair had a slight tear.</p> <p>The practice has a policy and procedure in place for cleaning and maintaining the environment.</p> <p>The inspector undertook a tour of the premises which were found to be maintained to a good standard of cleanliness. Clinical and decontamination areas were tidy and uncluttered and work surfaces were intact and easy to clean. As previously discussed in section 9.0 of this report the finished floor has yet to be fitted to the newly refurbished decontamination room. It was also observed that the flooring in the dental surgery is not covered or sealed at the edges. A recommendation was made to address the issues identified with the flooring.</p> <p>Fixtures, fittings, and equipment were free from damage, dust and visible dirt. As indicated on the submitted self-assessment a tear was observed to the covering of the dental chair. A recommendation was made in this regard.</p> <p>Discussion with staff confirmed that appropriate arrangements are in place for cleaning including:</p> <ul style="list-style-type: none"> • Equipment surfaces, including the dental chair, are cleaned between each patient; • Daily cleaning of floors, cupboard doors and accessible high level surfaces; • Weekly/monthly cleaning schedule; • Cleaning equipment is colour coded; • Cleaning equipment is stored in a non-clinical area; and • Dirty water is disposed of at an appropriate location. <p>Discussion with staff and review of submitted questionnaires confirmed that staff had received relevant training to undertake their duties.</p> <p>The practice has a local policy and procedure for spillage in accordance with the Control of Substances Hazardous to Health (COSHH) and staff spoken with demonstrated awareness of this.</p>

<p>Provider’s overall assessment of the dental practice’s compliance level against the standard assessed</p>	<p>No rating given</p>
<p>Inspector’s overall assessment of the dental practice’s compliance level against the standard assessed</p>	<p>Substantially compliant</p>

10.3 Hand Hygiene

<p>STANDARD 13 – Prevention and Control of Infection (Safe and effective care) The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.</p>
<p>Criteria Assessed: 13.2 Your dental service adheres to the appropriate infection control policies and procedures in line with current best practice and legislation. 13.3 Your dental service has systems in place, including induction and ongoing training, to make sure these policies and procedures are known, and are being appropriately applied to the service at all times.</p>
<p>Inspection Findings: Miss Forster omitted to rate the practice arrangements for hand hygiene on the submitted self-assessment.</p> <p>The practice has a hand hygiene policy and procedure in place.</p> <p>Staff confirmed that hand hygiene is included in the induction programme and that hand hygiene training is updated periodically.</p> <p>Discussion with a dental nurse confirmed that hand hygiene is performed before and after each patient contact and at appropriate intervals. Observations made evidenced that clinical staff had short clean nails and jewellery such as wrist watches and stoned rings were not worn in keeping with good practice.</p> <p>Dedicated hand washing basins are available in the dental surgery and the decontamination room and adequate supplies of liquid soap, paper towels were available. The dental nurse confirmed that nail brushes and bar soap are not used in the hand hygiene process in keeping with good practice. Disinfectant rub/gel is not available in the practice and a recommendation was made in this regard.</p> <p>The inspector observed that wipe-clean posters promoting hand hygiene were on display in the dental surgery and the decontamination room.</p>

<p>Provider’s overall assessment of the dental practice’s compliance level against the standard assessed</p>	<p>No rating given</p>
<p>Inspector’s overall assessment of the dental practice’s compliance level against the standard assessed</p>	<p>Substantially compliant</p>

10.4 Management of Dental Medical Devices

<p>STANDARD 13 – Prevention and Control of Infection (Safe and effective care) The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.</p>
<p>Criterion Assessed: 13.4 Your dental service meets current best practice guidance on the decontamination of reusable dental and medical instruments.</p>
<p>Inspection Findings:</p> <p>Miss Forster omitted to rate the practice approach to the management of dental medical devices on the submitted self-assessment.</p> <p>The practice has an infection control policy that includes procedures for the use, maintenance, service and repair of all medical devices.</p> <p>The inspector reviewed the written scheme for the prevention of legionella contamination in water pipes and other water lines and discussion with Miss Forster and a dental nurse confirmed that this is adhered to.</p> <p>The dental nurse confirmed that impression materials, prosthetic and orthodontic appliances are decontaminated prior to despatch to laboratory and before being placed in the patient's mouth.</p> <p>Observations made and discussion with Miss Forster and the dental nurse confirmed that DUWLs are appropriately managed. This includes that:</p> <ul style="list-style-type: none"> • Filters are cleaned/replaced as per manufacturer's instructions; • An independent bottled-water system is used to dispense reverse osmosis water to supply the DUWLs; • Self-contained water bottles are removed, flushed with reverse osmosis water and left open to the air for drying on a daily basis in accordance with manufacturer's guidance; • DUWLs are flushed at the start of each working day and between every patient; • DUWLs and handpieces are fitted with anti-retraction valves; and • DUWLs are purged using disinfectant as per manufacturer's recommendations.

<p>Provider's overall assessment of the dental practice's compliance level against the standard assessed</p>	<p>No rating given</p>
<p>Inspector's overall assessment of the dental practice's compliance level against the standard assessed</p>	<p>Compliant</p>

10.5 Personal Protective Equipment

<p>STANDARD 13 – Prevention and Control of Infection (Safe and effective care) The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.</p>
<p>Criterion Assessed: 13.2 Your dental service adheres to the appropriate infection control policies and procedures in line with current best practice and legislation. 13.3 Your dental service has systems in place, including induction and ongoing training, to make sure these policies and procedures are known, and are being appropriately applied to the service at all times.</p>
<p>Inspection Findings: Miss Forster omitted to rate the practice approach to the management of personal protective equipment (PPE) on the submitted self-assessment.</p> <p>The practice has a policy and procedure in place for the use of PPE and the dental nurse spoken with demonstrated awareness of this. The dental nurse confirmed that the use of PPE is included in the induction programme.</p> <p>Observations made and discussion with a dental nurse evidenced that PPE was readily available and in use in the practice.</p> <p>Discussion with the dental nurse confirmed that:</p> <ul style="list-style-type: none"> • Hand hygiene is performed before donning and following the removal of disposable gloves; • Single use PPE is disposed of appropriately after each episode of patient care; • Heavy duty gloves are available for domestic cleaning and decontamination procedures where necessary; • Eye protection for staff and patients is decontaminated after each episode; <p>The dental nurse confirmed that she is aware of the practice uniform policy.</p>

<p>Provider’s overall assessment of the dental practice’s compliance level against the standard assessed</p>	<p>No rating given</p>
<p>Inspector’s overall assessment of the dental practice’s compliance level against the standard assessed</p>	<p>Compliant</p>

10.6 Waste

<p>STANDARD 13 – Prevention and Control of Infection (Safe and effective care) The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.</p>	
<p>Criterion Assessed: 13.2 Your dental service adheres to the appropriate infection control policies and procedures in line with current best practice and legislation. 13.3 Your dental service has systems in place, including induction and ongoing training, to make sure these policies and procedures are known, and are being appropriately applied to the service at all times..</p>	
<p>Inspection Findings: Miss Forster omitted to rate the practice approach to the management of waste on the submitted self-assessment.</p> <p>The practice has a policy and procedure in place for the management and disposal of waste in keeping with HTM 07-01. Staff confirmed that the management of waste is included in the induction programme and that waste management training is updated periodically.</p> <p>Review of documentation confirmed that contracted arrangements are in place for the disposal of waste by a registered waste carrier and relevant consignment notes are retained in the practice for at least three years. HTM 07-01 outlines that waste audits and duty of care checks should be undertaken periodically; this was discussed with Miss Forster who confirmed that waste audits are not undertaken. The inspector advised that in keeping with best practice guidance consideration should be given to implementing waste audits and duty of care checks in the future.</p> <p>Observations made and discussion with a dental nurse confirmed that she is aware of the different types of waste and appropriate disposal streams.</p> <p>Pedal operated bins are available throughout the practice.</p> <p>Appropriate arrangements are in place in the practice for the storage and collection of general and clinical waste, including sharps waste.</p> <p>As previously discussed in section 10.1 of this report it was observed that a sharps box was available in the dental surgery. However the sharps box available is only suitable for general clinical waste. In accordance with Professional Estates Letter (PEL) (13) 14 issued on 18 October 2013 a purple lidded sharps box must be used to dispose of pharmaceutical waste. This was discussed with Miss Forster and staff and a recommendation was made in this regard.</p>	

Provider’s overall assessment of the dental practice’s compliance level against the standard assessed	No rating given
Inspector’s overall assessment of the dental practice’s compliance level against the standard assessed	Substantially compliant

10.7 Decontamination

STANDARD 13 – Prevention and Control of Infection (Safe and effective care)

The dental service takes every reasonable precaution to make sure you are not exposed to risk of infection.

Criterion Assessed: 13.4

Your dental service meets current best practice guidance on the decontamination of reusable dental and medical instruments.

Inspection Findings:

Miss Forster omitted to rate the decontamination arrangements of the practice on the submitted self-assessment. However she did indicate that refurbishments works in the decontamination room are nearing completion, and that once completed the washer disinfectant and steam steriliser would be validated.

A decontamination room separate from patient treatment areas and dedicated to the decontamination process is available on the ground floor of the practice. As discussed in section 9.0 of this report the decontamination room has recently been refurbished in keeping with best practice guidance as outlined in HTM 01-05. A finished floor has yet to be fitted and Miss Forster confirmed that arrangements are in place to have the floor fitted. A recommendation was made in this regard.

Appropriate equipment, including one washer disinfectant and one non-vacuum steam steriliser have been provided to meet the practice requirements.

As previously discussed in section 9.0 of this report the washer disinfectant has not been validated, and its use has not been implemented into the decontamination cycle. Reusable dental instruments are being manually cleaned in the decontamination room. This was discussed with Miss Forster who confirmed that the practice has contacted a dental supplier and requested a validation appointment. However due to resource issues with the dental supplier the practice are waiting for the validation appointment to be scheduled.

Review of documentation and discussion with a dental nurse demonstrated that a procedure for manual cleaning is in place. The dental nurse confirmed that the procedure is followed when manual cleaning is undertaken. The procedure includes the washing and rinsing of instruments in separate sinks, dilution strength of detergents, correct water temperature, management of cleaning brushes and that instruments are fully submerged during cleaning. A requirement was made that the installed washer disinfectant must be validated and following staff training it must be used to clean reusable instruments in keeping with best practice as outlined in HTM 01-05. A copy of the validation certificate must be forwarded to RQIA on return of the QIP.

As previously discussed in section 9.0 of this report the steam steriliser available for use in this practice has not been validated. A requirement was made that the steriliser must be maintained and validated in keeping with best practice as outlined in HTM 01-05, and arrangements put in place to ensure annual revalidation thereafter. Records of validation should be retained for inspection. A copy of the validation certificate must be forwarded to RQIA on return of the QIP.

Review of documentation demonstrated that a logbook is available for the steam steriliser and that it is used to record the results of periodic tests undertaken in keeping with HTM 01-05. Miss Forster confirmed that once validated and operational a logbook will be in place in respect of the

washer disinfectant.

Provider's overall assessment of the dental practice's compliance level against the standard assessed	No rating given
Inspector's overall assessment of the dental practice's compliance level against the standard assessed	Moving towards compliance

Inspector's overall assessment of the dental practice's compliance level against the standard assessed	Compliance Level
	Moving towards compliance

11.0 Additional Areas Examined

11.1 Staff Consultation/Questionnaires

During the course of the inspection, the inspector spoke with a dental nurse and a receptionist. Questionnaires were also provided to staff prior to the inspection by the practice on behalf of the RQIA. Three were returned to RQIA within the timescale required.

Review of submitted questionnaires and discussion with staff evidenced that staff were knowledgeable regarding the inspection theme and that they have received training appropriate to their relevant roles. Staff confirmed that they are familiar with the practice policies and procedures and have received training in regards to hand hygiene, environmental cleaning, prevention and management of blood-borne exposure, management of spillages, sharps and inoculation injuries and the management of waste. Staff also confirmed that good quality, mild liquid soap, and hand creams are available for use and that sufficient supplies of personal protective equipment (PPE) are available. Clinical staff confirmed that they have been immunised against Hepatitis B.

11.2 Patient Consultation

Miss Forster confirmed on the submitted self-assessment that arrangements for consultation with patients, at appropriate intervals are not in place.

Review of documentation and discussion with Miss Forster and staff demonstrated that a patient satisfaction survey has been developed. The inspector discussed ways in which this survey could be implemented.

A requirement was made to introduce and maintain a system for reviewing at appropriate intervals the quality of treatment and other services provided to patients in or for the purposes of the establishment. On completion of the consultation a report of the findings must be produced and made available to patients.

12.0 Quality Improvement Plan

The details of the Quality Improvement Plan appended to this report were discussed with Miss Forster as part of the inspection process.

The timescales for completion commence from the date of inspection.

The registered provider is required to record comments on the Quality Improvement Plan.

Matters to be addressed as a result of this inspection are set in the context of the current registration of your premises. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises the RQIA would apply standards current at the time of that application.

Enquiries relating to this report should be addressed to:

Stephen O'Connor
The Regulation and Quality Improvement Authority
9th Floor
Riverside Tower
5 Lanyon Place
Belfast
BT1 3BT

Stephen O'Connor
Inspector / Quality Reviewer

Date



**The Regulation and
Quality Improvement
Authority**

REGULATION AND QUALITY

20 MAR 2014

IMPROVEMENT AUTHORITY

**Self Assessment audit tool of compliance with
HTM01-05 - Decontamination - Cross Infection Control**

Name of practice: Lisbellaw Dental Practice

RQIA ID: 11564

Name of inspector: Stephen O'Connor

This self-assessment tool should be completed in reflection of the current decontamination and cross infection control arrangements in your practice.

THE REGULATION AND QUALITY IMPROVEMENT AUTHORITY
9th floor Riverside Tower, 5 Lanyon Place, Belfast, BT1 3BT
Tel: 028 9051 7500 Fax: 028 9051 7501

1 Prevention of bloodborne virus exposure			
Inspection criteria <i>(Numbers in brackets reflect HTM 01-05/policy reference)</i>	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 01-05.
1.1 Does the practice have a policy and procedure/s in place for the prevention and management of blood borne virus exposure, including management of spillages, sharps and inoculation incidents in accordance with national guidance? (2.6)	✓		<i>If no, answer remaining questions in this section to reflect your current arrangements</i>
1.2 Have all staff received training in relation to the prevention and management of blood-borne virus exposure? (1.22, 9.1, 9.5)	✓		
1.3 Have all staff at risk from sharps injuries received an Occupational Health check in relation to risk reduction in blood-borne virus transmission and general infection? (2.6)		✓	
1.4 Can decontamination and clinical staff demonstrate current immunisation with the hepatitis B vaccine e.g. documentation? (2.4s, 8.8)	✓		
1.5 Are chlorine-releasing agents available for blood /bodily fluid spillages and used as per manufacturer's instructions? (6.74)	✓		
1.6 Management of sharps Any references to sharps management should be read in conjunction with The Health and Safety (Sharp Instruments in Healthcare) Regulations (Northern Ireland) 2013 Are sharps containers correctly assembled?	✓		

1.7 Are in-use sharps containers labelled with date, locality and a signature?	✓		
1.8 Are sharps containers replaced when filled to the indicator mark?	✓		
1.9 Are sharps containers locked with the integral lock when filled to the indicator mark? Then dated and signed?	✓		
1.10 Are full sharps containers stored in a secure facility away from public access?	✓		
1.11 Are sharps containers available at the point of use and positioned safely (e.g. wall mounted)?	✓		
1.12 Is there a readily-accessible protocol in place that ensures staff are dealt with in accordance with national guidance in the event of blood-borne virus exposure? (2.6)	✓		
1.13 Are inoculation injuries recorded?	✓		
1.14 Are disposable needles and disposable syringes discarded as a single unit?	✓		
Provider's level of compliance			Provider to complete

2 Environmental design and cleaning			
Inspection criteria	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 01-05.
2.1 Does the practice have a policy and procedure for cleaning and maintaining the environment? (2.6, 6.54)	✓		
2.2 Have staff undertaking cleaning duties been fully trained to undertake such duties? (6.55)	✓		
2.3 Is the overall appearance of the clinical and decontamination environment tidy and uncluttered? (5.6)	✓		
2.4 Is the dental chair cleaned between each patient? (6.46, 6.62)	✓		
2.5 Is the dental chair free from rips or tears? (6.62)			<i>Slight tear</i>
2.6 Are all surfaces i.e. walls, floors, ceilings, fixtures and fittings and chairs free from damage and abrasion? (6.38)	✓		
2.7 Are all work-surface joints intact, seamless, with no visible damage? (6.46, 6.47)	✓		
2.8 Are all surfaces i.e. walls, floors, ceilings, fixtures and fittings and chairs free from dust and visible dirt? (6.38)	✓		
2.9 Are the surfaces of accessible ventilation fittings/grills cleaned at a minimum weekly? (6.64)	✓		
2.10 Are all surfaces including flooring in clinical and decontamination areas impervious and easy to clean? (6.46, 6.64)	✓		

<p>2.11 Do all floor coverings in clinical and decontamination areas have covered edges that are sealed and impervious to moisture? (6.47)</p>			<p>moving toward compliance</p>
<p>2.12 Are keyboard covers or "easy-clean" waterproof keyboards used in clinical areas? (6.66)</p>			<p>N/A</p>
<p>2.13 Are toys provided easily cleaned? (6.73)</p>			<p>N/A</p>
<p>2.14 Confirm free standing or ceiling mounted fans are not used in clinical/ decontamination areas? (6.40)</p>	<p>✓</p>		
<p>2.15 Is cleaning equipment colour-coded, in accordance with the National Patient Safety Agency recommendations as detailed in HTM 01-05? (6.53)</p>	<p>✓</p>		
<p>2.16 Is cleaning equipment stored in a non-clinical area? (6.60)</p>	<p>✓</p>		
<p>2.17 Where disposable single-use covers are used, are they discarded after each patient contact? (6.65)</p>	<p>✓</p>		
<p>2.18 Are the surfaces of equipment cleaned between each patient (E.g. work surfaces, dental chairs, curing lamps, delivery units, inspection handles and lights, spittoons, external surface of aspirator and X-ray heads)? (6.62)</p>	<p>✓</p>		
<p>2.19 Are all taps, drainage points, splash backs, sinks, aspirators, drains, spittoons, cleaned after every session with a surfactant/detergent? (6.63)</p>	<p>✓</p>		
<p>2.20 Are floors, cupboard doors and accessible high level surfaces and floors cleaned daily? (6.63)</p>	<p>✓</p>		

<p>2.21 Is there a designated area for the disposal of dirty water, which is outside the kitchen, clinical and decontamination areas; for example toilet, drain or slop-hopper (slop hopper is a device used for the disposal of liquid or solid waste)?</p>			
<p>2.22 Does the practice have a local policy and procedure/s for spillage in accordance with COSHH? (2.4d, 2.6)</p>			
<p>Provider's level of compliance</p>			<p>Provider to complete</p>

3 Hand hygiene			
Inspection criteria	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 01-05.
3.1 Does the practice have a local policy and procedure for hand hygiene? (2.6 Appendix 1)	✓		
3.2 Is hand hygiene an integral part of staff induction? (6.3)	✓		
3.3 Is hand hygiene training provided periodically throughout the year? (1.22, 6.3)	✓		
3.4 Is hand hygiene carried out before and after every new patient contact? (Appendix 1)	✓		
3.5 Is hand hygiene performed before donning and following the removal of gloves? (6.4, Appendix 1)	✓		
3.6 Do all staff involved in any clinical and decontamination procedures have short nails that are clean and free from nail extensions and varnish? (6.8, 6.23, Appendix 1)	✓		
3.7 Do all clinical and decontamination staff remove wrist watches, wrist jewellery, rings with stones during clinical and decontamination procedures? (6.9, 6.22)	✓		
3.8 Are there laminated or wipe-clean posters promoting hand hygiene on display? (6.12)	✓		
3.9 Is there a separate dedicated hand basin provided for hand hygiene in each surgery where clinical practice takes place? (2.4g, 6.10)	✓		

<p>3.10 Is there a separate dedicated hand basin available in each room where the decontamination of equipment takes place? (2.4u, 5.7, 6.10)</p>	✓		
<p>3.11 Are wash-hand basins free from equipment and other utility items? (2.4g, 5.7)</p>	✓		
<p>3.12 Are hand hygiene facilities clean and intact (check sinks taps, splash backs, soap and paper towel dispensers)? (6.11, 6.63)</p>	✓		
<p>3.13 Do the hand washing basins provided in clinical and decontamination areas have :</p> <ul style="list-style-type: none"> • no plug; and • no overflow. <p>Lever operated or sensor operated taps.(6.10)</p>	✓		
<p>3.14 Confirm nailbrushes are not used at wash-hand basins? (Appendix 1)</p>	✓		
<p>3.15 Is there good quality, mild liquid soap dispensed from single-use cartridge or containers available at each wash-hand basin?</p> <p>Bar soap should not be used. (6.5, Appendix 1)</p>	✓		
<p>3.16 Is skin disinfectant rub/gel available at the point of care? (Appendix 1)</p>	✓		
<p>3.17 Are good quality disposable absorbent paper towels used at all wash-hand basins? (6.6, Appendix 1)</p>	✓		

<p>3.18 Are hand-cream dispensers with disposable cartridges available for all clinical and decontamination staff? (6.7, Appendix 1)</p>			
<p>Provider's level of compliance</p>			<p>Provider to complete</p>

4 Management of dental medical devices			
Inspection criteria	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 01-05.
4.1 Does the practice have an infection control policy that includes procedures for the use, maintenance, service and repair of all medical devices? (1.18, 2.4a, 2.6, 2.7, 3.54)	✓		
4.2 Has the practice carried out a risk assessment for legionella under the Health and Safety Commission's "Legionnaires' disease - the control of legionella bacteria in water systems Approved Code of Practice and Guidance" (also known as L8)? (6.75-6.90, 19.0)	✓		
4.3 Has the practice a written scheme for prevention of legionella contamination in water pipes and other water lines?(6.75, 19.2)	✓		
4.4 Impression material, prosthetic and orthodontic appliances: Are impression materials, prosthetic and orthodontic appliances decontaminated in the surgery prior to despatch to laboratory in accordance with manufacturer's instructions?(7.0)	✓		
4.5 Impression material, prosthetic and orthodontic appliances: Are prosthetic and orthodontic appliances decontaminated before being placed in the patient's mouth? (7.1b)	✓		
4.6 Dental Unit Water lines (DUWLs): Are in-line filters cleaned/replaced as per manufacturer's instructions?(6.89, 6.90)	✓		

<p>4.7 Dental Unit Water lines (DUWLs): Is there an independent bottled-water system used to dispense distilled, reverse osmosis (RO) or sterile water to supply the DUWL? (6.84)</p>	<p>✓</p>		
<p>4.8 Dental Unit Water lines (DUWLs): For dental surgical procedures involving irrigation; is a separate single-use sterile water source used for irrigation? (6.91)</p>			<p>No Surgical Procedures as such carried out</p>
<p>4.9 Dental Unit Water lines (DUWLs): Are the DUWLs drained down at the end of every working day?(6.82)</p>	<p>✓</p>		
<p>4.10 Dental Unit Water lines (DUWLs): Are self-contained water bottles (bottled water system) removed, flushed with distilled or RO water and left open to the air for drying on a daily basis, and if necessary overnight, and in accordance with manufacturer's guidance? (6.83)</p>	<p>✓</p>		
<p>4.11 Dental Unit Water lines (DUWLs): Where bottled water systems are not used is there a physical air gap separating dental unit waterlines from mains water systems. (Type A)?(6.84)</p>			<p>N/A</p>
<p>4.12 Dental Unit Water lines (DUWLs): Are DUWLs flushed for a minimum of 2 minutes at start of each working day and for a minimum of 20-30 seconds between every patient? (6.85)</p>	<p>✓</p>		
<p>4.13 Dental Unit Water lines (DUWLs): Are all DUWL and hand pieces fitted with anti-retraction valves? (6.87)</p>	<p>✓</p>		<p>disinfectant?</p>
<p>4.14 Dental Unit Water lines (DUWLs): Are DUWLs either disposable or purged using manufacturer's recommended disinfectants? (6.84-6.86)</p>	<p>✓</p>		<p>Spoke with engineer/obes not recommend using disinfectants</p>

4.15 Dental Unit Water lines (DUWLs): Are DUWL filters changed according to the manufacturer's guidelines? (6.89)	✓		
Provider's level of compliance			Provider to complete

5 Personal Protective Equipment			
Inspection criteria	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 01-05.
5.1 Does the practice have a policy and procedures for the use of personal protective equipment? (2.6, 6.13)	✓		
5.2 Are staff trained in the use of personal protective equipment as part of the practice induction? (6.13)	✓		
5.3 Are powder-free CE marked gloves used in the practice? (6.20)	✓		
5.4 Are alternatives to latex gloves available? (6.19, 6.20)	✓		
5.5 Are all single-use PPE disposed of after each episode of patient care? (6.21, 6.25, 6.36c)	✓		
5.6 Is hand hygiene performed before donning and following the removal of gloves? (6.4 Appendix 1)	✓		
5.7 Are clean, heavy duty household gloves available for domestic cleaning and decontamination procedures where necessary? (6.23)	✓		
5.8 Are heavy-duty household gloves washed with detergent and hot water and left to dry after each use? (6.23)	✓		
5.9 Are heavy-duty household gloves replaced weekly or more frequently if worn or torn? (6.23)	✓		

<p>5.10 Are disposable plastic aprons worn during all decontamination processes or clinical procedures where there is a risk that clothing/uniform may become contaminated? (6.14, 6.24-6.25)</p>	<p>✓</p>		
<p>5.11 Are single-use plastic aprons disposed of as clinical waste after each procedure? (6.25)</p>	<p>✓</p>		
<p>5.12 Are plastic aprons, goggles, masks or face shields used for any clinical and decontamination procedures where there is a danger of splashes? (6.14, 6.26-6.29)</p>	<p>✓</p>		
<p>5.13 Are masks disposed of as clinical waste after each use? (6.27, 6.36)</p>	<p>✓</p>		
<p>5.14 Are all items of PPE stored in accordance with manufacturers' instructions? (6.14)</p>	<p>✓</p>		
<p>5.15 Are uniforms worn by all staff changed at the end of each day and when visibly contaminated? (6.34)</p>	<p>✓</p>		
<p>5.16 Is eye protection for staff used during decontamination procedures cleaned after each session or sooner if visibly contaminated? (6.29)</p>	<p>✓</p>		
<p>5.17 Is eye protection provided for the patient and staff decontaminated after each episode of patient care? (6.29)</p>	<p>✓</p>		
<p>Provider's level of compliance</p>			<p>Provider to complete</p>

6 Waste			
Inspection criteria	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 07-01.
6.1 Does the practice have a policy and procedure/s for the management and disposal of waste? (2.6, 6.1 (07-01) 6.4 (07-01))	✓		
6.2 Have all staff attended induction and on-going training in the process of waste disposal? (1.22, 6.43 (07-01) 6.51 (07-01))	✓		
6.3 Is there evidence that the waste contractor is a registered waste carrier? (6.87 (07-01) 6.90 (07-01))	✓		
6.4 Are all disposable PPE disposed of as clinical waste? (6.26, 6.27, 6.36, HTM 07-01 PEL (13) 14)	✓		
6.5 Are orange bags used for infectious Category B waste such as blooded swabs and blood contaminated gloves? (HTM 07-01, PEL (13) 14, 5.39 (07-01) Chapter 10 - Dental 12 (07-01))	✓		
6.6 Are black/orange bags used for offensive/hygiene waste such as non-infectious recognisable healthcare waste e.g. gowns, tissues, non-contaminated gloves, X-ray film, etc, which are not contaminated with saliva, blood, medicines, chemicals or amalgam? (HTM 07-01, PEL (13) 14, 5.50 (07-01) Chapter 10-Dental 8 (07-01))	✓		
6.8 Are black/clear bags used for domestic waste including paper towels? (HTM 07-01, PEL (13) 14, 5.51 (07-01))	✓		

<p>6.9 Are bins foot operated or sensor controlled, lidded and in good working order? (5.90 (07-01))</p>	<p>✓</p>		
<p>6.10 Are local anaesthetic cartridges and other Prescription Only Medicines (POMs) disposed of in yellow containers with a purple lid that conforms to BS 7320 (1990)/UN 3291? (HTM 07-01 PEL (13) 14, Chapter 10 - Dental 11 (07-01))</p>	<p>✓</p>		
<p>6.11 Are clinical waste sacks securely tied and sharps containers locked before disposal? (5.87 (07-01))</p>	<p>✓</p>		
<p>6.12 Are all clinical waste bags and sharps containers labelled before disposal? (5.23 (07-01), 5.25 (07-01))</p>	<p>✓</p>		
<p>6.13 Is waste awaiting collection stored in a safe and secure location away from the public within the practice premises? (5.33 (07-01), 5.96 (07-01))</p>	<p>✓</p>		
<p>6.14 Are all clinical waste bags fully described using the appropriate European Waste Catalogue (EWC) Codes as listed in HTM 07-01 (Safe Management of Healthcare Waste)?(3.32 (07-01))</p>	<p>✓</p>		
<p>6.15 Are all consignment notes for all hazardous waste retained for at least 3 years?(6.105 (07-01))</p>	<p>✓</p>		
<p>6.16 Has the practice been assured that a "duty of care" audit has been undertaken and recorded from producer to final disposal? (6.1 (07-01), 6.9 (07-01))</p>		<p>✓</p>	
<p>6.17 Is there evidence the practice is segregating waste in accordance with HTM 07-01? (5.86 (07-01), 5.88 (07-01), 4.18 (07-01))</p>	<p>✓</p>		
<p>Provider's level of compliance</p>			<p>Provider to complete</p>

7 Decontamination			
Inspection criteria	Yes	No	If NO provide rationale and actions to be taken with timescales to achieve compliance with HTM 01-05.
7.1 Does the practice have a room separate from the patient treatment area, dedicated to decontamination meeting best practice standards? (5.3–5.8)			Near Completion
7.2 Does the practice have washer disinfector(s) in sufficient numbers to meet the practice requirements? (PEL(13)13)	✓		
7.3 Are all reusable instruments being disinfected using the washer disinfector? (PEL(13)13)		✓	moving towards compliance
7.4 Does the practice have steam sterilisers in sufficient numbers to meet the practice requirements?	✓		
7.5 a Has all equipment used in the decontamination process been validated? 7.5 b Are arrangements in place to ensure that all equipment is validated annually? (1.9, 11.1, 11.6, 12,13, 14.1, 14.2, 15.6)			Can't validate until clean complete.
7.6 Have separate log books been established for each piece of equipment? Does the log book contain all relevant information as outlined in HTM01-05? (11.9)	✓		only sterilize!

<p>7.7 a Are <u>daily</u>, weekly, monthly periodic tests undertaken and recorded in the log books as outlined in HTM 01-05? (12, 13, 14)</p> <p>7.7 b Is there a system in place to record cycle parameters of equipment such as a data logger?</p>	<p>✓</p> <p>✓</p>		<p>on sterilize/</p>
<p>Provider's level of compliance</p>			<p>Provider to complete</p>

Appendix 1



Name of practice: Lisbellaw Dental Practice

Declaration on consultation with patients

The need for consultation with patients is outlined in The Independent Health Care Regulations (Northern Ireland) 2005, Regulation 17(3) and The Minimum Standards for Dental Care and Treatment 2011, Standard 9.

1 Do you have a system in place for consultation with patients, undertaken at appropriate intervals?

Yes

No

If no or other please give details:

2 If appropriate has the feedback provided by patients been used by the service to improve?

Yes

No

3 Are the results of the consultation made available to patients?

Yes

No



The **Regulation and
Quality Improvement
Authority**

Quality Improvement Plan

Announced Inspection

Lisbellaw Dental Practice

3 April 2014



The areas where the service needs to improve, as identified during this inspection visit, are detailed in the inspection report and Quality Improvement Plan.

The specific actions set out in the Quality Improvement Plan were discussed with Miss Forster either during or after the inspection visit.

Any matters that require completion within 28 days of the inspection visit have also been set out in separate correspondence to the registered persons.

Registered providers/managers should note that failure to comply with regulations may lead to further enforcement and/or prosecution action as set out in The HPSS (Quality, Improvement and Regulation) (Northern Ireland) Order 2003.

It is the responsibility of the registered provider/manager to ensure that all requirements and recommendations contained within the Quality Improvement Plan are addressed within the specified timescales.

Matters to be addressed as a result of this inspection are set in the context of the current registration of your premises. The registration is not transferable so that in the event of any future application to alter, extend or to sell the premises the RQIA would apply standards current at the time of that application.

STATUTORY REQUIREMENTS

This section outlines the actions which must be taken so that the registered person/s meets legislative requirements based on The HPSS (Quality, Improvement and Regulation) (Northern Ireland) Order 2003, and The Independent Health Care Regulations (NI) 2005 as amended.

NO.	REGULATION REFERENCE	REQUIREMENTS	NUMBER OF TIMES STATED	DETAILS OF ACTION TAKEN BY REGISTERED PERSON(S)	TIMESCALE
1	15 (2) (b)	<p>The installed washer disinfector must be validated and following staff training it must be used to clean reusable instruments in keeping with best practice as outlined in HTM 01-05.</p> <p>A copy of the validation certificate must be forwarded to RQIA on return of the QIP.</p> <p>Ref: 9.0 & 10.7</p>	Two	Validation Has Been completed.	Two months
2	15 (2) (b)	<p>The steriliser must be maintained and validated in keeping with best practice as outlined in HTM 01-05, and arrangements put in place to ensure annual revalidation thereafter. Records of validation should be retained for inspection.</p> <p>A copy of the validation certificate must be forwarded to RQIA on return of the QIP.</p> <p>Ref: 9.0 & 10.7</p>	Two	VALIDATION HAS BEEN COMPLETED	Two months
3	17(1)	<p>Introduce and maintain a system for reviewing at appropriate intervals the quality of treatment and other services provided to patients in or for the purposes of the establishment.</p>	One	NOW ESTABLISH + ONGOING	Two months

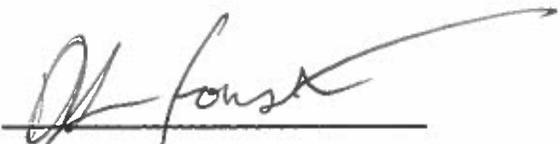
RECOMMENDATIONS					
These recommendations are based on The Minimum Standards for Dental Care and Treatment (2011), research or recognised sources. They promote current good practice and if adopted by the registered person may enhance service, quality and delivery.					
NO.	MINIMUM STANDARD REFERENCE	RECOMMENDATIONS	NUMBER OF TIMES STATED	DETAILS OF ACTION TAKEN BY REGISTERED PERSON(S)	TIMESCALE
1	13	<p>In keeping with best practice guidance the following issues in relation to flooring should be addressed:</p> <ul style="list-style-type: none"> • A finished floor in keeping with the flooring specifications outlined in HTM 01-05 should be fitted in the decontamination room: and • The floor in the dental surgery should be sealed at the edges where it meets the wall. <p>Ref: 9.0 & 10.2</p>	One	<p>Finished floor Down .</p>	One month
2	13	<p>An illuminated magnification device should be in place and be used to inspect instruments following cleaning as part of the decontamination process.</p> <p>Ref: 9.0</p>	Two	<p><u>ORDERED</u></p>	One month
3	13	<p>In keeping with best practice guidance as outlined in HTM 07-01 and Professional Estates Letter (PEL) (13) issued on 18 October 2013 the following issues in relation to sharps containers should be addressed:</p> <ul style="list-style-type: none"> • Sharp containers should be wall mounted at the point of use; and • Purple lidded sharps containers must 	One	<p>Purchased Purple mount . lids now in cupboard as discussed with Stephen .</p>	One month

		<p>On completion of the consultation a report of the findings must be produced and made available to patients.</p> <p>Ref: 11.2</p>		<p>ESTABLISHED + ON GOING.</p>	
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		be provided for the disposal of pharmaceutical waste. Ref: 10.1 & 10.6		✓	
4	14.2	The tear in the dental chair should be repaired in the interests of infection prevention and control and to aid effective cleaning. Ref: 10.2	One	WAITING To Be repaired	Two months
5	13	In keeping with best practice guidance disinfectant rub/gel should be provided at the point of use. Ref: 10.3	One	Purchased Now in use	One month

The registered provider/manager is required to detail the action taken, or to be taken, in response to the issues raised in the Quality Improvement Plan. The Quality Improvement Plan is then to be signed below by the registered provider and registered manager and returned to:

Stephen O'Connor
 The Regulation and Quality Improvement Authority
 9th floor
 Riverside Tower
 5 Lanyon Place
 Belfast
 BT1 3BT

SIGNED: 

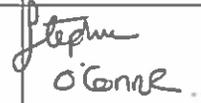
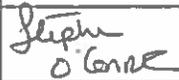
NAME: Kim Forster
 Registered Provider

DATE: 12/5/14

SIGNED: _____

NAME: _____
 Registered Manager

DATE: _____

QIP Position Based on Comments from Registered Persons		Yes	No	Inspector	Date
A	Quality Improvement Plan response assessed by inspector as acceptable	✓			19.05.14
B	Further information requested from provider		✓		19.05.14