

Announced Care Inspection Report 15 June 2016



Livingston Dental Healthcare Ltd

Type of Service: Independent Hospital (IH) - Dental Treatment

Address: 38 Hamilton Road, Bangor, BT20 4LE

Tel No: 028 9145 4590

Inspector: Lynn Long

www.rqia.org.uk

Assurance, Challenge and Improvement in Health and Social Care

1.0 Summary

An announced inspection of Livingston Dental Healthcare Ltd took place on 15 June 2016 from 10:00 to 12:15.

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 Mr Livingston 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 Mr Livingston 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 person'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
Total number of requirements and recommendations made at this inspection	0	0

This inspection resulted in no requirements or recommendations being made. Findings of the inspection were discussed with Mr Livingston, registered provider, 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

Other than those actions detailed in the previous QIP there were no further actions required to be taken following the last inspection.

2.0 Service details

Registered organisation/registered person: Livingston Dental Healthcare Ltd	Registered manager: Mr Edmund Livingston
Person in charge of the service at the time of inspection: Mr Edmund Livingston	Date manager registered: 29 October 2014
Categories of care: Independent Hospital (IH) – Dental Treatment	Number of registered places: 3

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, Mr Livingston, registered provider, 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 8 July 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 8 July 2015

Last care inspection statutory requirements		Validation of compliance
<p>Requirement 1</p> <p>Ref: Regulation 15 (3)</p> <p>Stated: Second time</p> <p>To be Completed by: 15 July 2015</p>	<p>Periodic testing of all decontamination equipment must be undertaken as outlined in HTM 01-05 and recorded in separate logbooks.</p> <p>The following should be established:</p> <ul style="list-style-type: none"> • distinct separate logbooks should be established for each piece of decontamination equipment; • a separate fault log should be available for each piece of equipment; • a daily automatic control test (ACT) and weekly protein residue test should be undertaken and recorded for the DAC Universal; • all periodic tests as outlined in HTM 01-05 for a steriliser should be recorded in respect of the non-vacuum steriliser; and • the daily visual cleaning efficacy test and the monthly soil tests should be recorded in respect of the washer disinfectant 	<p>Met</p>
	<p>Action taken as confirmed during the inspection:</p> <p>A review of the records and discussion with staff confirmed that the periodic testing of all decontamination equipment was being undertaken as outlined in HTM 01-05 and separate log books for each piece of equipment have been established.</p> <p>This requirement has been met.</p>	

<p>Requirement 2</p> <p>Ref: Regulation 19 (2) Schedule 2</p> <p>Stated: First time</p> <p>To be Completed by: 8 July 2015</p>	<p>The registered person must ensure that Enhanced Access NI checks are undertaken and received prior to any new staff commencing employment in the future.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>There have been no new staff employed in Livingston Dental Healthcare Limited since the previous inspection. However, Mr Livingston confirmed that he is aware of the procedures to be followed in relation to Enhanced Access NI checks should he need to recruit new staff.</p> <p>A separate recruitment checklist has also been developed in line with the legislative requirements.</p> <p>This requirement has been met.</p>	<p>Met</p>
<p>Last care inspection recommendations</p>		<p>Validation of compliance</p>
<p>Recommendation 1</p> <p>Ref: Standard 13</p> <p>Stated: Second time</p> <p>To be Completed by: 9 October 2015</p>	<p>It is recommended to cover the overflows with a stainless steel plate sealed with anti-bacterial mastic on the identified hand washing basins.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>The overflows have been covered with a stainless steel plate and sealed as required.</p> <p>This recommendation has been met.</p>	<p>Met</p>
<p>Recommendation 2</p> <p>Ref: Standard 12.4</p> <p>Stated: First time</p> <p>To be Completed by: 10 August 2015</p>	<p>It is recommended that oropharyngeal airways in sizes 0, 1, 2, 3 and 4 should be provided. These should be included in the monthly checking record.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>A review of the equipment retained for use in a medical emergency confirmed that the oropharyngeal airways were available and are included in the monthly checking records.</p> <p>This recommendation has been met.</p>	<p>Met</p>

<p>Recommendation 3</p> <p>Ref: Standard 11.1</p> <p>Stated: First time</p> <p>To be Completed by: 9 October 2015</p>	<p>It is recommended that the recruitment policy is further developed to ensure it reflects legislative and best practice guidance.</p> <hr/> <p>Action taken as confirmed during the inspection:</p> <p>A review of the recruitment policy and newly developed recruitment checklist confirmed that it has been further developed and is reflective of both legislative and best practice guidance.</p>	<p>Met</p>
<p>Recommendation 4</p> <p>Ref: Standard 11.1</p> <p>Stated: First time</p> <p>To be Completed by: 8 July 2015</p>	<p>It is recommended that information as detailed in regulation 19 (2) Schedule 2 of the Independent Healthcare Regulations (Northern Ireland) 2005 should be retained in staff personnel files to include the following:</p> <ul style="list-style-type: none"> • positive proof of identity, including a recent photograph; • evidence that an enhanced Access NI check was received prior to commencement of employment; • two written references; • details of full employment history, including an explanation of any gaps in employment; • documentary evidence of qualifications, where applicable; • evidence of current GDC registration, where applicable; • criminal conviction declaration on application; • confirmation that the person is physically and mentally fit to fulfil their duties; and • evidence of professional indemnity insurance, where applicable <hr/> <p>Action taken as confirmed during the inspection:</p> <p>No new staff have been recruited in the practice since the previous inspection.</p> <p>Mr Livingston confirmed during discussion that he is aware of what information is required to be obtained during the recruitment process should new staff need to be recruited in the future.</p> <p>It was also confirmed that the recruitment policy and subsequent recruitment checklist have been developed to guide staff during the recruitment process.</p>	<p>Met</p>

<p>Recommendation 5</p> <p>Ref: Standard 9.4</p> <p>Stated: First time</p> <p>To be Completed by: 9 October 2015</p>	<p>It is recommended that arrangements are established for patient satisfaction surveys to be completed at least on an annual basis.</p>	<p>Met</p>
<p>Action taken as confirmed during the inspection:</p> <p>A patient satisfaction survey was completed in November 2015 and a comprehensive report of the findings of the survey had been produced by Denplan and made comparisons to national patient satisfaction statistics from Denplan surveys.</p> <p>The report of the findings has not been shared with patients.</p> <p>This was discussed with Mr Livingston who readily agreed to inform patients that the report was available and could be accessed on request.</p> <p>This recommendation has been met.</p>		

4.3 Is care safe?

Staffing

Three 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.

No new staff have been recruited since the previous care inspection; however, induction programme templates 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 personal 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. Staff confirmed during discussion that training is promoted in the practice.

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.

Recruitment and selection

A review of the submitted staffing information and discussion with Mr Livingston confirmed that no new staff have been recruited since the previous inspection. It was confirmed that, should staff be recruited in the future, robust systems and processes have been developed to ensure that all recruitment documentation as outlined in Schedule 2 of The Independent Health Care Regulations (Northern Ireland) 2005 would be sought and retained for inspection.

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

Safeguarding

Staff, spoken with, were 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 staff demonstrated that they have 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 uniform policy and hand hygiene.

Discussion with staff demonstrated that they 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 a washer disinfectant, two steam sterilisers and a DAC Universal 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 three 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 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. Staff, 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 weekly basis. Discussion took place regarding the frequency of monitoring of water temperatures.

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 Mr Livingston was in a position to access information in a timely fashion.

Patient and staff views

Eight patients submitted questionnaire responses to RQIA. All indicated that they felt safe and protected from harm. One comment was provided as follows:

- ‘Staff are excellent, very professional and high hygiene standards.’

Four staff submitted questionnaire responses. All indicated that they feel 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.

Number of requirements:	0	Number of recommendations:	0
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4.4 Is care effective?

Clinical records

Staff spoken with confirmed that clinical records are updated contemporaneously during each patient’s treatment session in accordance with best practice.

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

Both manual and 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. There was a range of health promotion information available for patients. The practice is a Denplan Excel practice and oral health is audited and promoted as part of the ongoing Denplan Excel quality assurance programme. In addition to this one of the dental nurses has undergone training and an examination in oral health promotion. Oral health promotion appointments are now available for patients and are allocated based on patient need. Mr Livingston also 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
- clinical records
- review of complaints/accidents/incidents

Communication

Mr Livingston 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.

Staff 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 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 comments were provided:

- 'Great care, very approachable.'
- 'All options explained in detail.'

All of the submitted staff questionnaire responses indicated that they feel 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.

Number of requirements:	0	Number of recommendations:	0
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4.5 Is care compassionate?

Dignity, respect and involvement in decision making

Staff spoken with demonstrated a good understanding of the core values of privacy, dignity, respect and patient choice. Staff 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.

It was confirmed that treatment options, including the risks and benefits, were discussed with each patient. These ensured patients understood what treatment is available to them and can make an informed choice.

The practice undertakes patient satisfaction surveys on an annual basis. Review of the most recent patient satisfaction report which was undertaken in November 2015 demonstrated that the practice pro-actively seeks the views of patients about the quality of treatment and other services provided. The findings of the most recent survey, had been produced in a comprehensive report format by Denplan, and made comparisons to national patient satisfaction statistics from Denplan surveys. However, the report of the findings has not been shared with patients. This was discussed with Mr Livingston who readily agreed to inform patients that the report was available and could be accessed on request. Patient feedback whether constructive or critical, is used by the practice to improve, as appropriate.

Patient and staff views

All of the 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 comments were provided:

- 'Very kind and helpful staff.'
- 'Very well respected and always well consulted.'

All of the submitted staff questionnaire responses indicated that they feel 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.

Number of requirements:	0	Number of recommendations:	0
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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. Staff 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. Staff spoken with were aware of the policies and how to access them.

Arrangements were in place to review risk assessments.

A copy of the complaints procedure was displayed/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 complaints have been managed in accordance with best practice.

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.

Mr Livingston 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 includes x-ray quality, x-ray justification and clinical evaluation audit, infection prevention and control and decontamination audits and record card audits. If required an action plan is developed and embedded into practice to address any shortfalls identified during the audit process. The range and frequency of audits carried out exceeds best practice.

A whistleblowing/raising concerns policy was available. Discussion with staff confirmed that they were aware of who to contact if they had a concern.

The registered person demonstrated a clear understanding of their 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 patients who submitted questionnaire responses indicated that they feel that the service is well managed.

All of the submitted staff questionnaire responses indicated that they feel 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.

Number of requirements:	0	Number of recommendations:	0
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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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