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Healthy Smiles Dental Practice

Inspection Report

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Overall summary

We carried out an announced comprehensive inspection on 20 January 2017 to ask the practice the following key questions; Are services safe, effective, caring, responsive and well-led?

Our findings were:

Are services safe?

We found that this practice was providing safe care in accordance with the relevant regulations.

Are services effective?

We found that this practice was providing effective care in accordance with the relevant regulations.

Are services caring?

We found that this practice was providing caring services in accordance with the relevant regulations.

Are services responsive?

We found that this practice was providing responsive care in accordance with the relevant regulations.

Are services well-led?

We found that this practice was providing well-led care in accordance with the relevant regulations.

Healthy Smiles Dental Practice is a general dental practice close to Leagrave railway station offering private dental treatment to adults and children on Fridays (or other times by appointment only). The principal dentist has a special interest in endodontics (root canal treatment) and accepts referrals from other practices on that basis.

The premises are located all on ground level in converted residential premises and has parking available. The practice consists of one treatment room, a reception and waiting area. There is also a designated decontamination room.

The staff at the practice consists of the principal dentist and two dental nurses (who also work part time at the provider's other practice in Leagrave). The principal dentist is the registered manager.

A registered manager is a person who is registered with the Care Quality Commission to manage the service. Like registered providers, they are 'registered persons'. Registered persons have legal responsibility for meeting the requirements in the Health and Social Care Act 2008 and associated Regulations about how the practice is run.

Our key findings were:

Summary of findings

- There was an induction and training programme for staff to follow which ensured they were skilled and competent in delivering safe and effective care and support to patients.
- The practice ensured staff maintained the necessary skills and competence to support the needs of patients.
- There were effective systems in place to reduce the risk and spread of infection. We found the treatment room and equipment were visibly clean.
- There were systems in place to check equipment had been serviced regularly, including the autoclave, fire extinguishers, oxygen cylinder and the X-ray equipment.
- We found the dentist regularly assessed each patient's gum health and took X-rays at appropriate intervals.
- Staff had been trained to handle emergencies and appropriate medicines and life-saving equipment were readily available.
- Patients received clear explanations about their proposed treatment, its costs, benefits and risks and were involved in making decisions about it.
- Patients were treated with dignity and respect and confidentiality was maintained.
- The appointment system met the needs of patients.
- Although the practice had not received any complaints, they had an appropriate complaints procedure in place.
- Staff demonstrated knowledge of the practice whistleblowing policy and were confident they would raise a concern about another staff member's performance if it was necessary.
- At our visit we observed staff were caring, friendly and professional.
- We received feedback from 11 patients who reported they received clear explanations of their treatment options from caring, friendly and professional staff.
- There was an effective system in place to act on feedback received from patients and staff.
- There were systems in place to assess, monitor and improve the quality of service provided.

There were areas where the provider could make improvements and should:

- Review the practice's protocols for the use of rubber dam for root canal treatment giving due regard to guidelines issued by the British Endodontic Society
- Review the practice protocols for mitigating risks associated with Legionella by ensuring the practice undertakes a Legionella risk assessment and implements the required actions giving due regard to guidelines issued by the Department of Health - Health Technical Memorandum 01-05: Decontamination in primary care dental practices and The Health and Social Care Act 2008: 'Code of Practice about the prevention and control of infections and related guidance.
- Review the practice protocols for the maintenance of the dental air compressor to ensure it is serviced in line with the manufacturer's instructions.

Summary of findings

The five questions we ask about services and what we found

We always ask the following five questions of services.

Are services safe?

We found that this practice was providing safe care in accordance with the relevant regulations.

The practice had systems in place for the management of infection control, clinical waste segregation and disposal, management of medical emergencies and dental radiography. The practice had not undertaken a Legionella risk assessment; however they were minimising the risks by maintaining dental unit water lines and monitoring water temperatures. We found the equipment used in the practice was maintained and in line with current guidelines. An exception to this was the dental air compressor which had not been appropriately serviced.

The practice did not use rubber dam in accordance with guideline issued by the British Endodontic Society when providing root canal treatment; however, the risks to patients were mitigated by using local anaesthetic instead of sodium hypochlorite (bleach) as an irrigant and by using rotary instruments.

There were systems in place for identifying, investigating and learning from incidents relating to the safety of patients and staff members. The staffing levels were adequate for the provision of care and treatment.

No action



Are services effective?

We found that this practice was providing effective care in accordance with the relevant regulations.

The practice provided evidence based dental care which was focussed on the needs of the patients. We saw examples of effective collaborative team working. The staff were up-to-date with current guidance and received professional development appropriate to their role and learning needs. Staff, who were registered with the General Dental Council (GDC), had frequent continuing professional development (CPD) training and were meeting the requirements of their professional registration.

No action



Are services caring?

We found that this practice was providing caring services in accordance with the relevant regulations.

Patients told us they had positive experiences of dental care provided at the practice. Patients felt they were listened to and were involved with the discussion of their treatment options which included its risks, benefits and costs. We observed the staff to be caring, friendly and professional. Staff spoke with enthusiasm about their work and displayed a genuine empathy for patients.

No action



Are services responsive to people's needs?

We found that this practice was providing responsive care in accordance with the relevant regulations.

No action



Summary of findings

The practice provided friendly and personalised dental care. Patients could access routine treatment and urgent or emergency care when required. The practice offered emergency appointments enabling effective and efficient treatment of patients with dental pain. Staff demonstrated that they knew and supported patients' individual support needs.

Are services well-led?

We found that this practice was providing well-led care in accordance with the relevant regulations.

The dental practice had effective clinical governance and risk management structures in place. Staff told us the provider was always approachable and the culture within the practice was open and transparent. Staff were aware of the practice ethos and philosophy. They told us they felt well supported and able to raise any concerns where necessary. Staff told us they enjoyed working at the practice and would recommend it to a family member or friends.

No action



Healthy Smiles Dental Practice

Detailed findings

Background to this inspection

We carried out this inspection under Section 60 of the Health and Social Care Act 2008 as part of our regulatory functions. This inspection was planned to check whether the practice was meeting the legal requirements and regulations associated with the Health and Social Care Act 2008.

The inspection was carried out on 20 January 2017 by a CQC inspector and a dental specialist advisor. We reviewed information received from the provider prior to the inspection. On the day of our inspection we looked at practice policies and protocols, clinical patient records and other records relating to the management of the service. We spoke with the principal dentist and a dental nurse.

To get to the heart of patients' experiences of care and treatment, we always ask the following five questions:

- Is it safe?
- Is it effective?
- Is it caring?
- Is it responsive to people's needs?
- Is it well-led?

This informed our view of the care provided and the management of the practice.

Are services safe?

Our findings

Reporting, learning and improvement from incidents

There was a system in place to learn from and make improvements following any accidents, incidents or significant events.

Staff understood the process for accident and incident reporting including the Reporting of Injuries Disease and Dangerous Occurrences Regulations 2013 (RIDDOR). We found incidents were reported, investigated and measures put in place where necessary to prevent recurrence.

Patients were told when they were affected by something that went wrong, given an apology and informed of any actions taken as a result.

Reliable safety systems and processes (including safeguarding)

The practice had policies and procedures in place for child protection and safeguarding adults. This included contact details for the local authority's safeguarding team, social services and other agencies including the Care Quality Commission. Staff had completed safeguarding training and demonstrated to us their knowledge of how to recognise the signs and symptoms of abuse and neglect. There was a documented reporting process available for staff to use if anyone made a disclosure to them.

Staff demonstrated knowledge of the whistleblowing policy and were confident they would raise a concern about another staff member's performance if it was necessary.

A risk management process had been undertaken for the safe use of sharps (needles and sharp instruments).

The principal dentist told us that root canal treatment was not undertaken using a rubber dam which was not in line with guidance issued by the British Endodontic Society. (A rubber dam is a thin sheet of rubber used by dentists to isolate the tooth being treated and to protect patients from inhaling or swallowing debris or small instruments used during root canal work). He told us he mitigated the risk of not using rubber dam by using local anaesthetic instead of sodium hypochlorite (bleach) as an irrigant and by using rotary instruments.

Medical emergencies

The practice had suitable emergency resuscitation equipment in accordance with guidance issued by the Resuscitation Council UK. This included an automatic external defibrillator (AED) and face masks for both adults and children. Oxygen and medicines for use in an emergency were available. We noted that the practice did not have a self-inflating bag with reservoir, or a spacer device as recommended by current guidance. We discussed this with the principal dentist who immediately ordered these. Records completed showed checks were done to ensure the equipment and emergency medicines were safe to use.

Records showed staff regularly completed training in emergency resuscitation and basic life support including the use of the AED (this is a portable electronic device that analyses life threatening irregularities of the heart and delivers an electrical shock to attempt to restore a normal heart rhythm). Staff we spoke with demonstrated they knew how to respond if a person suddenly became unwell.

Staff recruitment

There were effective recruitment and selection procedures in place. We reviewed the employment files for two staff members. Each file contained evidence that satisfied the requirements of relevant legislation. This included application forms, employment history, evidence of qualifications (where relevant), photographic evidence of the employee's identification and eligibility to work in the United Kingdom where required. The qualifications, skills and experience of each employee had been considered as part of the interview process.

Appropriate checks had been made before staff commenced employment including evidence of their professional registration with the General Dental Council (where required) and checks with the Disclosure and Barring Service had been carried out in all cases. The Disclosure and Barring Service carries out checks to identify whether a person has a criminal record or is on an official list of people barred from working in roles where they might have contact with children or adults who may be vulnerable.

Monitoring health & safety and responding to risks

There were some arrangements in place to deal with foreseeable emergencies. Fire extinguishers had been recently serviced; the practice undertook regular fire drills and staff demonstrated to us they knew how to respond in

Are services safe?

the event of a fire. The practice had undertaken a fire risk assessment in May 2014 in order to identify and mitigate risks associated with fire safety. The principal dentist told us although they were confident there were no unidentified risks that had occurred since this time, they would ensure their risk assessment was updated to reflect this and staff training would be refreshed as necessary.

The practice had a health and safety risk management process in place which enabled them to assess, mitigate and monitor risks to patients, staff and visitors to the practice. There was a business continuity plan in place.

There were arrangements in place to meet the Control of Substances Hazardous to Health 2002 (COSHH) regulations. We looked at the COSHH file and found it contained a details of how to minimise risks (to patients, staff and visitors) associated with chemicals and materials used at the practice.

Infection control

There were effective systems in place to reduce the risk and spread of infection. There was a written infection control policy which included minimising the risk of blood-borne virus transmission and the possibility of sharps injuries, decontamination of dental instruments, hand hygiene, segregation and disposal of clinical waste. The practice had followed the guidance on decontamination and infection control issued by the Department of Health, namely 'Health Technical Memorandum 01-05 -Decontamination in primary care dental practices (HTM 01-05)'. This document and the practice policy and procedures on infection prevention and control were accessible to staff. We noted that although the policy was regularly reviewed, it had not been updated since its inception in 2010 to take account any changes in guidance. We discussed this with the principal dentist who assured us this would be updated in the near future.

We examined the facilities for cleaning and decontaminating dental instruments. A dental nurse showed us how instruments were decontaminated. They wore appropriate personal protective equipment (including heavy duty gloves and a mask) while instruments were decontaminated and rinsed prior to being placed in an autoclave (a device for sterilising dental and medical instruments).

We saw instruments were placed in pouches after sterilisation and dated to indicated when they should be

reprocessed if left unused. We found daily, weekly and monthly tests were performed to check the steriliser was working efficiently and a log was kept of the results. We saw evidence the parameters (temperature and pressure) were regularly checked to ensure equipment was working efficiently in between service checks.

We observed how waste items were disposed of and stored. The practice had an on-going contract with a clinical waste contractor. We saw the differing types of waste were appropriately segregated and stored at the practice. This included clinical waste and safe disposal of sharps. Staff confirmed to us their knowledge and understanding of single use items and how they should be used and disposed of which was in line with guidance.

We looked at the treatment rooms where patients were examined and treated. The rooms and equipment appeared visibly clean. Hand washing posters were displayed next to each dedicated hand wash sink to ensure effective hand washing and there was clear demarcation of 'dirty' and 'clean' areas to mitigate the risk of infection spreading. Patients were given a protective bib and safety glasses to wear each time they attended for treatment. There were good supplies of protective equipment for patients and staff members.

Records showed a risk assessment process for Legionella had not been undertaken. This process ensures the risks of Legionella bacteria developing in water systems within the premises has been identified and preventive measures taken to minimise risk of patients and staff developing Legionnaires' disease. (Legionella is a bacterium found in the environment which can contaminate water systems in buildings). However, the practice had taken steps to mitigate the risk including monitoring the temperature of the hot and cold water on a monthly basis and appropriate maintenance of the dental unit water lines.

The provider told us he would ensure a Legionella risk assessment was undertaken by an appropriately qualified person as soon as possible.

There was a good supply of environmental cleaning equipment. The practice had a cleaning schedule in place that covered all areas of the premises and detailed what and where equipment should be used. This took into account national guidance on colour coding equipment to prevent the risk of infection spread.

Equipment and medicines

Are services safe?

There were systems in place to check equipment had been serviced regularly, including the autoclave, fire extinguishers, oxygen cylinder and the X-ray equipment. We were shown the servicing certificates. However, we noted that the dental air compressor had not been serviced since it was installed in 2007 which was not in line with the manufacturer's guidance. The provider assured us this would be actioned as soon as possible.

An effective system was in place for the prescribing, use and stock control of the medicines used in clinical practice such as local anaesthetics. These medicines were stored safely for the protection of patients.

Regular Portable Appliance Testing (PAT) is required to confirm that portable electric items used at the practice are safe to use. Documents we reviewed confirmed this was last undertaken in May 2016.

Radiography (X-rays)

We checked the provider's radiation protection records as X-rays were taken and developed at the practice. We also

looked at X-ray equipment at the practice and talked with staff about its use. We found there were suitable arrangements in place to ensure the safety of the equipment. We saw local rules relating to the X-ray machine were available.

We found procedures and equipment had been recently assessed by an independent expert. The practice had a well maintained radiation protection file. This contained the names of the Radiation Protection Advisor and the Radiation Protection Supervisor, Health and Safety Executive (HSE) notification and the necessary documentation pertaining to the maintenance of the X-ray equipment. Included in the file were the maintenance logs for each X-ray set and a copy of the local rules. The maintenance logs were within the current recommended interval of three years.

The dental care records we reviewed showed that dental X-rays were justified and reported on. X-rays were taken in line with current guidelines by the Faculty of General Dental Practice.

Are services effective?

(for example, treatment is effective)

Our findings

Monitoring and improving outcomes for people using best practice

The dentist told us they regularly assessed each patient's gum health and took X-rays at appropriate intervals. We asked the dentist to show us some dental care records which reflected this. Records showed an examination of a patient's soft tissues (including lips, tongue and palate) had been carried out and the dentist had recorded details of the condition of patients' gums using the basic periodontal examination (BPE) scores. (The BPE is a simple and rapid screening tool that is used to indicate the level of examination needed and to provide basic guidance on treatment need). In addition they recorded details of treatment options offered to or discussed with patients as well as the justification, findings and quality assurance of X-ray images taken.

The practice kept up to date with other current guidelines and research in order to develop and improve their system of clinical risk management. For example, the practice referred to National Institute for Health and Care Excellence (NICE) guidelines in relation to wisdom teeth removal, antibiotic prescribing and in deciding when to recall patients for examination and review.

The practice held regular formal and informal meetings (in conjunction with their sister practice) to discuss ways in which they could improve the care and treatment offered to patients.

Health promotion & prevention

The practice promoted the maintenance of good oral health as part of their overall philosophy and had considered the Department of Health publication 'Delivering Better Oral Health; a toolkit for prevention' when providing preventive oral health care and advice to patients.

The dentist and dental nurse we spoke with told us patients were given advice appropriate to their individual needs such as smoking cessation or dietary advice. This was confirmed in feedback we received from patients.

Staffing

There was an induction and training programme for staff to follow which ensured they were skilled and competent in delivering safe and effective care and support to patients.

Staff had undertaken training to ensure they were kept up to date with the core training and registration requirements issued by the General Dental Council. This included areas such as responding to medical emergencies and infection control and prevention.

There was an appraisal system in place which was used to identify training and development needs.

Working with other services

The practice had an effective system in place for accepting referrals from general dental practitioners for endodontic treatment. Each patient's referring dentist was notified via a letter when a patient accepted or declined treatment. After patients had received their treatment they were discharged back to their own dentist for further follow-up and monitoring.

Referrals when required were made to dental specialists. The practice had a system in place for referring patients for dental treatment and specialist procedures such as orthodontics, oral surgery and sedation.

The dentist we spoke with referred patients to other providers if the treatment required was not provided by the practice. Staff told us where a referral was necessary, the care and treatment required was explained to the patient and they were given a choice of other dentists who were experienced in undertaking the type of treatment required. A referral letter was then prepared and sent to the treatment provider with full details of the consultation and the type of treatment required. When the patient had received their treatment they would be discharged back to the practice for further follow-up and monitoring.

Consent to care and treatment

The practice ensured valid consent from patients was obtained for all care and treatment. Staff confirmed individual treatment options, risks and benefits and costs were discussed with each patient who then received a detailed treatment plan and estimate of costs. Patients were given time to consider and make informed decisions about which option they wanted.

The Mental Capacity Act 2005 (MCA) provides a legal framework for health and care professionals to act and

Are services effective?

(for example, treatment is effective)

make decisions on behalf of adults who lack the capacity to make particular decisions for themselves. Staff demonstrated an understanding of the MCA and how this

applied in considering whether or not patients had the capacity to consent to dental treatment. This included assessing a patient's capacity to consent and when making decisions in a patient's best interests.

Are services caring?

Our findings

Respect, dignity, compassion & empathy

Staff explained how they ensured information about patients using the service was kept confidential. Patients' electronic dental care records were password protected and paper records were stored securely in locked cabinets. Staff members demonstrated their knowledge of data protection and how to maintain confidentiality. Staff told us patients were able to have confidential discussions about their care and treatment in the treatment room.

Patients told us they felt they received clear explanations of their treatment options from caring, friendly and professional staff. On the day of our inspection, we observed staff being polite, friendly and welcoming to patients.

Involvement in decisions about care and treatment

The dentist told us they used a number of different methods including tooth models, pictures and an intra oral camera to demonstrate what different treatment options involved so that patients fully understood. A treatment plan was developed following examination of and discussion with each patient.

Staff told us the dentist took time to explain care and treatment to individual patients clearly and were always happy to answer any questions. The practice also provided information on a range of available treatments and services on their website.

Are services responsive to people's needs?

(for example, to feedback?)

Our findings

Responding to and meeting people's needs

Staff reported (and we saw from the appointment book) the practice scheduled enough time to assess and undertake patients' care and treatment needs. Patient feedback we reviewed confirmed this. Staff told us they did not feel under pressure to complete procedures and always had enough time available to prepare for each patient.

There were effective systems in place to ensure the equipment and materials needed were in stock or received well in advance of the patient's appointment. This included checks for laboratory work such as crowns and dentures which ensured delays in treatment were avoided.

Tackling inequity and promoting equality

We asked staff to explain how they communicated with people who had different communication needs such as those who spoke another language. Staff told us they responded to patients' individual needs and welcomed patients from different backgrounds, cultures and religions. They would encourage a relative or friend to attend who could translate or if not they would contact a translator.

Access to the service

We asked staff how patients were able to access care in an emergency or outside of normal opening hours. They told us an answer phone message detailed how to access out of hours emergency treatment.

Concerns & complaints

There was a complaints policy which provided staff with information about handling formal and informal complaints from patients.

Information for patients about how to make a complaint was available in the practice waiting room. This included contact details of other agencies to contact if a patient was not satisfied with the outcome of the practice investigation into their complaint.

The practice had not received any complaints. However, we looked at the practice procedure for acknowledging, recording, investigating and responding to complaints, concerns and suggestions made by patients and found there was an effective system in place which should ensure a timely response. The practice team told us that should a complaint arise, they would view it as a learning opportunity in order to improve the quality of service provided.

Are services well-led?

Our findings

Governance arrangements

The principal dentist had responsibility for the day to day running of the practice and was fully supported by the practice team. There were clear lines of responsibility and accountability; staff knew who to report to if they had any issues or concerns.

We reviewed a set of practice policies and procedures although we observed these were not always regularly updated and reviewed by staff. We discussed this with the principal dentist who agreed to immediately review and update policies where appropriate.

Leadership, openness and transparency

Staff reported there was an open and transparent culture at the practice which encouraged candour and honesty. Staff felt confident they could raise issues or concerns at any time with the practice manager or the principal dentist without fear of recrimination.

Management lead through learning and improvement

The practice carried out regular audits every six months on infection prevention and control to ensure compliance with government HTM 01-05 standards for decontamination in dental practices. The most recent audit undertaken in September 2016 indicated the facilities and management of decontamination and infection control were managed well.

The practice had undertaken an X-ray audit in December 2016 to assess the quality of images taken. The audit demonstrated a full process where the results had been analysed and any improvement actions identified.

The practice undertook a retrospective audit of the success of 165 root canal treatments and found them to be 99% effective.

Practice seeks and acts on feedback from its patients, the public and staff

There was a system in place to act upon suggestions received from patients using the service.

The practice conducted regular staff meetings in conjunction with their sister practice. Staff told us they found these were a useful opportunity to share ideas and experiences which were listened to and acted upon.