

# Dr. Imran Aslam

# Care Dental

## Inspection Report

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### Overall summary

We carried out an announced comprehensive inspection on 21 October 2016 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.

#### **Background**

Care Dental is located in The London Borough of Tower Hamlets and provides private and NHS dental services. The opening hours for the practice were Monday to Friday 10.00 to 18.00.

The premises consist of one treatment room, a decontamination room and a waiting and reception area for patients.

The practice comprises of two principal dentists, two nurses and one receptionist.

One of the principal dentists is registered with the Care Quality Commission (CQC) as an individual registered person. 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.

During the inspection we asked patients to complete CQC comment cards. We received five completed comment cards. The patients who provided feedback were positive about the care and treatment they received at the practice. They told us they were involved in all aspects of their care and found the staff to be caring, friendly and helpful and they were treated with care, dignity and respect.

#### **Our key findings were:**

- There were effective processes in place to reduce and minimise the risk and spread of infection.

# Summary of findings

- Patients' needs were assessed and care was planned in line with current guidance such as from the National Institute for Health and Care Excellence (NICE) Patients were involved in their care and treatment planning.
- There was appropriate equipment for staff to undertake their duties and equipment was well maintained.
- Staff were trained in and there was appropriate equipment for them to respond to medical emergencies.
- Patients told us that staff were caring and treated them with dignity and respect.
- Patients indicated that they felt they were listened to and that they received good care from a helpful and caring practice team.
- There were processes in place for patients to give their comments and feedback about the service including making complaints and compliments.
- Improvements were required to ensure recruitment checks were undertaken suitably before employing staff.

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

Review staff training to ensure that all of the staff had undergone relevant training, to an appropriate level, in the safeguarding of children and vulnerable adults.

- Review the practice's infection control procedures and protocols taking into account 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 staff awareness of the requirements of the Mental Capacity Act (MCA) 2005 and ensure all staff are aware of their responsibilities under the Act as it relates to their role.
- Review the practice's protocols for completion of the patients' dental care records taking into account guidance provided by the Faculty of General Dental Practice regarding clinical examinations and record keeping.
- Review the protocol for completing accurate, complete and detailed records relating to employment of staff. This includes ensuring recruitment checks are suitably obtained and recorded.

# 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.

There were systems in place to help ensure the safety of staff and patients. These included policies for safeguarding children from abuse, maintaining the required standards of infection prevention and control and maintenance of equipment used at the practice.

The practice assessed risks to patients and managed these well. We found that staff were trained and there was appropriate equipment to respond to medical emergencies. In the event of an incident or accident occurring, the practice had a system in place to document, investigate and learn from it.

The practice had some policies for the safe recruitment of staff. Improvements were required to ensure that relevant staff had appropriate and current registration with the professional regulator and to ensure that all staff had the appropriate immunisations.

No action



### Are services effective?

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

The practice followed guidance, such as that issued by National Institute for Health and Care Excellence (NICE). Patients were given appropriate information to support them to make decisions about the treatment they received. The practice kept detailed dental care records of treatments carried out and monitored any changes in the patient's medical and oral health. Patients were given health promotion advice appropriate to their individual oral health needs such as smoking cessation advice where appropriate.

Staff were supported by the practice in maintaining their continuing professional development (CPD) 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.

The patient feedback we received was very positive about the service provided by the practice. We observed that staff treated patients with dignity and respect. We found that dental care records were stored securely, and patient confidentiality was well maintained.

No action



### Are services responsive to people's needs?

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

Patients had good access to routine and emergency appointments at the practice. There was sufficient well maintained equipment to meet the dental needs of their patient population. There was a complaints policy. Patients were given the opportunity to give feedback through the practice's own feedback forms.

No action



# Summary of findings

## Are services well-led?

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

There was a vision for the practice that was shared with the staff. Staff told us they felt supported and were clear about their areas of responsibility.

The principal dentist told us regular meetings were held to discuss issues in the practice and update on things affecting the practice.

The quality audits undertaken at the practice included infection control, radiography audits and record keeping audits.

No action



# Care Dental

## 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.

We carried out an announced comprehensive inspection on 21 October 2016. The inspection was led by a CQC inspector. They were accompanied by a dental specialist advisor.

During the inspection we asked patients to complete CQC comment cards. We received five comment cards. We also spoke with three members of staff. We reviewed the policies, toured the premises and examined the cleaning and decontamination of dental equipment.

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?

These questions therefore formed the framework for the areas we looked at during the inspection.

# Are services safe?

## Our findings

### Reporting, learning and improvement from incidents

The practice had suitable processes around reporting and discussion of incidents. We saw there was a system in place for learning from incidents. Staff told us this would mainly be through team meetings if an incident ever occurred. Staff were able to describe the type of incidents that would be recorded and the incident logging process. There had been no adverse incidents over the past 12 months.

Staff we spoke with understood the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR). Staff were able to describe the type of incidents that would need to be recorded under these requirements. There had been no RIDDOR incidents over the past 12 months.

Staff understood the importance of the Duty of Candour and the need to inform the patients affected of any relevant incidents [Duty of candour is a requirement under The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 on a registered person who must act in an open and transparent way with relevant persons in relation to care and treatment provided to service users in carrying on a regulated activity].

### Reliable safety systems and processes (including safeguarding)

One of the principal dentists was the safeguarding lead and staff knew who they should go to if they had a safeguarding concern. There was a safeguarding policy that had last been reviewed in 2016. The practice had details of what should be considered abuse and the practice was aware of the relevant people to contact in the local safeguarding team if they had any safeguarding concerns. Staff were aware of who to report safeguarding concerns to and had a basic understanding of safeguarding issues. However not all staff had completed safeguarding training. There had been no safeguarding incident that needed to be referred to the local safeguarding teams. After the inspection the provider assured us arrangements would be made for all staff to undertake safeguarding training.

The practice had a system in place for receiving and responding to patient safety alerts issued from the

Medicines and Healthcare products Regulatory Agency (MHRA). One of the principal dentists told us relevant information would be emailed to dentists and discussed at meetings with staff and logged in a folder.

The practice had safety systems in place to help ensure the safety of staff and patients. This included for example having a COSHH (Control of Substances Hazardous to Health, 2002 Regulations) file, infection control protocols and risk assessments.

Risk assessments had been undertaken for issues affecting the health and safety of staff and patients using the service. This included for example risks associated with fire and Legionella [Legionella is a bacterium found in the environment which can contaminate water systems in buildings].

During our visit we found that the dental care and treatment of patients was planned and delivered in a way that ensured patients' safety and welfare. During the course of our inspection we checked dental care records to confirm the findings. Dental care records contained patient's medical history that was obtained when patients first registered with the practice and was updated when they returned. The dental care records we saw were well structured and contained sufficient detail enabling another dentist to know how to safely treat a patient.

The practice used rubber dam for root canal treatments in line with current guidance. [A rubber dam is a thin, rectangular sheet, usually latex rubber, used in dentistry to isolate the operative site from the rest of the mouth and protect the airway. Rubber dams should be used when endodontic treatment is being provided. On the rare occasions when it is not possible to use rubber dam the reasons should be recorded in the patient's dental care records giving details as to how the patient's safety was assured].

### Medical emergencies

There were arrangements in place to deal with on-site medical emergencies. Staff had received basic life support training which included cardiopulmonary resuscitation (CPR) training. The practice had a medical emergency kit which included emergency medicines and equipment in line with Resuscitation Council (UK) and British National Formulary guidance. The kit contained the recommended medicines. We checked the medicines that were in the kit and we found that all the medicines were within their

# Are services safe?

expiry date. The emergency equipment included oxygen and an automated external defibrillator (AED), in line with Resuscitation Council UK guidance. (An AED 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 recruitment

The practice had a policy for the safe recruitment of staff and the policy had last been reviewed 2016. All the staff had been working at the practice for a number of years. The practice had carried out some checks on staff. This included Disclosure and Barring Service (DBS) checks and immunisation for some staff. However, we found that suitable processes had not been followed for ensuring that all relevant staff had appropriate and current registration with the professional regulator.

We found that one of the nurses was not registered with the General Dental Council (GDC). DBS checks had not been carried out on the nurses who worked at the practice. There were no records of immunisation checks for the nurses. We pointed these deficiencies out to the provider and we were told that an application had recently been made to the regulator to register the nurse. We were shown evidence of this application.

The provider told us the nurses had been immunised but the nurses held the records of this themselves. (People who are likely to come into contact with blood products, or are at increased risk of needle-stick injuries should receive these vaccinations to minimise risks of blood borne infections.)

Following the inspection the provider sent us evidence that the nurses had completed the necessary immunisation checks. The provider also confirmed that DBS applications had been made for all staff at the practice.

## Monitoring health & safety and responding to risks

The practice had arrangements in place to deal with foreseeable emergencies. A Health and Safety Policy was in place. The practice had a risk management process which was updated and reviewed to ensure the safety of patients and staff members. We saw risk assessments for fire, legionella and dangerous substances. The assessments included the controls and actions to manage risks. However we found that the range of risk assessments could not be improved. For example there were no risk

assessments related to the premises, sharps or use of equipment (autoclave, radiographic equipment etc). We point this out to the provider and they told us they would make arrangements for a broader range of risk assessments to be carried out.

## Infection control

The practice had an infection control policy that outlined the procedure for issues relating to minimising the risk and spread of infections. This included procedures for clinical waste management and use of personal protective equipment. 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. One of the nurses was the infection control lead. There was a flow from dirty to clean areas to minimise the risks of cross contamination.

Staff gave a demonstration of the decontamination process which was in line with HTM 01-05 published guidance. This included carrying used instruments in a lidded box from the surgery, manually cleaned and using an illuminated magnifying glass to visually check for any remaining contamination (and re-washed if required); placing in the autoclave, pouching and then date stamping.

Staff told us about the daily, weekly and monthly checks that were carried out on equipment used in the practice including the autoclave, to ensure they were working effectively. We saw records that confirmed these checks were carried out.

We saw evidence that the dentists had been vaccinated against Hepatitis B to protect patients and themselves from the risks of contracting the infection. One of the principal dentist told us that the nurses had been vaccinated

There was a contract in place for the safe disposal of clinical waste which was collected fortnightly.

A Legionella risk assessment had been completed by an external organisation in May 2013 and the results were negative for bacterium.

Staff told us cleaning was undertaken by the practice staff. There were two mops and buckets and the practice staff were unable to explain how different areas were suitably

# Are services safe?

cleaned using the equipment provided by the practice. The principal dentist assured us that the appropriate colour coded equipment would be purchased to clean practice.

## Equipment and medicines

We found the equipment used in the practice was maintained in accordance with the manufacturer's instructions. This included X-ray equipment and the equipment used to clean and sterilise the instruments which was serviced in October 2016. Portable appliance testing (PAT) had been carried out. (PAT is the name of a process where electrical appliances are routinely checked for safety).

The practice had clear guidance regarding the prescribing, recording and stock control of the medicines used in the practice. There were no medicines stored at the practice outside of those found in the medical emergencies kit.

## Radiography (X-rays)

One of the principal dentists was the Radiation Protection Supervisor (RPS). An external organisation covered the role of Radiation Protection Adviser (RPA). The practice kept a radiation protection file in relation to the use and maintenance of X-ray equipment. There were suitable arrangements in place to ensure the safety of the equipment. The local rules relating to the equipment were held in the file. Evidence was seen of radiation training for staff undertaking X-rays. A comprehensive radiography audit had been undertaken in August 2016.



# Are services effective?

(for example, treatment is effective)

## Our findings

### Monitoring and improving outcomes for patients

Patients' needs were assessed and care and treatment was delivered in line with current guidance. This included following the National Institute for Health and Care Excellence (NICE) guidance, for example in regards to recalls.

During the course of our inspection we spoke with a dentist and checked dental care records to confirm the findings. We saw evidence of comprehensive, detailed assessments that were individualised. This included having an up to date medical history, details of the reason for visit, medical alerts, details of examinations undertaken and treatment plans.

Information about the cost of treatment and some information of treatment options available were in the waiting area on posters and leaflets. However, improvements could be made in regards to the recording of some checks that were carried out. For example some of the records did not include details of soft tissue checks carried out. The dentist told us these checks were carried out but may sometimes not have been recorded.

### Health promotion & prevention

Patients' medical histories were updated regularly which included questions about smoking and diet. Appropriate advice was provided by staff to patients based on their medical histories. We saw they provided preventive advice on oral health.

### Staffing

Staff told us they had received appropriate professional development and training and the records we saw reflected this. The practice maintained a programme of professional development to ensure that staff were up to date with the latest practices.

### Working with other services

The practice worked, where appropriate with other professionals in delivering care of their patients. This included for example referrals for orthodontic surgery or minor oral surgery. Dental care records we looked at contained details of the referrals made and information that was shared between the practice and the referring organisations. The records showed the practice worked well with other services.

### Consent to care and treatment

Patients who used the service were given appropriate information and support regarding their dental care and treatment. Options which were discussed in an easy to understand language by practice staff. Patients understood and consented to treatment. Some staff were aware of how they would support a patient who lacked the capacity to consent to dental treatment. They explained how they would involve the patient and carers to ensure that the best interests of the patient were met and showed a general understanding of the Mental Capacity Act (MCA) 2005. (MCA 2005 provides a legal framework for health and care professionals to act and make decisions on behalf of adults who lack the capacity to make particular decisions for themselves). However, other staff we spoke with did not have a good understanding of capacity issues. None of the staff at the practice had received formal training in the requirements of the Mental Capacity Act.

# Are services caring?

## Our findings

### **Respect, dignity, compassion & empathy**

The feedback we received from patients was positive. Staff were described as caring and helpful. Patients said staff treated them with dignity and respect during consultations. We observed staff interaction with patients and saw that staff interacted well with patients, speaking to them in a respectful and considerate manner.

### **Involvement in decisions about care and treatment**

The practice displayed information in the waiting area that gave details of fees. We spoke a dentists, a nurse and a receptionist on the day of our visit. There was a culture of promoting patient involvement in treatment planning which meant that all staff ensured patients were given clear explanations about treatment. Staff told us that treatments, costs, risks and benefits were discussed with each patient to ensure that patients understood what treatment was available so they were able to make an informed choice.

# Are services responsive to people's needs?

(for example, to feedback?)

## Our findings

### Responding to and meeting patients' needs

The practice had a system in place to schedule enough time to assess and meet patients' needs. Staff told us there was enough time to treat patients, and that patients could generally book an appointment in good time to see a dentist. There were arrangements in place for out of hours appointments. These arrangements were advertised on the practice telephone answering machine.

### Tackling inequity and promoting equality

The practice had recognised the needs of different groups in the planning of its services. A significant number of the patients at the practice's first language was not English. Staff at the practice spoke a number of different languages. They told us that patients who could not speak English were usually accompanied by family members who could speak English. If necessary they would contact an interpretation service.

The practice was not accessible to patients with restricted mobility, including those using wheelchairs. The practice referred patients with mobility issues to a nearby accessible surgery.

### Access to the service

The opening hours for the practice were Monday to Friday 10.00 to 18.00. We saw there were arrangements for emergency appointments. There were out of hours arrangements in place to deal with emergencies that took place when the practice was closed; these were advertised on the practice telephone answer machine.

### Concerns & complaints

The practice had effective arrangements in place for handling complaints and concerns. There was a complaints policy, and information for patients about how to complain was available in the reception area. The policy had last been reviewed in 2016. There had been four complaints logged in the last year and they had been dealt with appropriately. . The policy included contact details of external organisations that patients could contact if they were not happy with the practice's response to a complaint. This included the General Dental Council and the Dental Complaints Council.

# Are services well-led?

## Our findings

### **Governance arrangements**

The provider had governance arrangements in place for the effective management of the service. There were procedures in place including health and safety, and infection control. There was a clear management structure in place with identified staff leading on specific roles such as on infection control and safeguarding. Staff told us they felt supported and were clear about their areas of responsibility.

The principal dentist told us regular meetings were held to discuss issues in the practice and update on things affecting the practice. Staff we spoke with confirmed that meetings took place and we saw notes of these meetings. For example we saw that Emergency training was discussed during an October 2016 meeting.

The quality audits undertaken at the practice included infection control, radiography audits and record keeping audits.

### **Leadership, openness and transparency**

Staff we spoke with said they felt the owner of the practice was open and transparent. Staff told us they were comfortable about raising concerns with the owner. They felt they were listened to and responded to when they did so. They described the culture encouraged candour, openness and honesty.

### **Learning and improvement**

Staff told us they had access to training. There was a system in place to monitor staff training to ensure essential training was completed each year. Staff working at the practice were supported to maintain their continuing professional development (CPD) as required by the General Dental Council (GDC).

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

The practice had gathered feedback from patients through the NHS Friends and Family Test and a suggestion box. We saw that the practice had acted upon suggestions that had been received. For example we saw that the practice had recently been renovated following suggestions from patients.