

General Dental Practice Inspection (Announced)

Advance Dental Care/Cardiff and
Vale University Health Board

Inspection date: 13 January 2020

Publication date: 14 April 2020

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Healthcare Inspectorate Wales (HIW) is the independent inspectorate and regulator of healthcare in Wales

Our purpose

To check that people in Wales receive good quality healthcare

Our values

We place patients at the heart of what we do. We are:

- **Independent**
- **Objective**
- **Caring**
- **Collaborative**
- **Authoritative**

Our priorities

Through our work we aim to:

Provide assurance:

Provide an independent view on the quality of care

Promote improvement:

Encourage improvement through reporting and sharing of good practice

Influence policy and standards:

Use what we find to influence policy, standards and practice

1. What we did

Healthcare Inspectorate Wales (HIW) completed an announced inspection of Advance Dental Care at Lakin Drive, Highlight Park, Barry, CF62 8AS, within Cardiff and Vale University Health Board on the 13 January 2020.

Our team, for the inspection comprised of a HIW inspector and a dental peer reviewer.

HIW explored how the service met the Private Dentistry (Wales) Regulations 2017, the Health and Care Standards (2015) and other relevant legislation and guidance.

Further details about how we conduct dental inspections can be found in Section 5 and on our website.

2. Summary of our inspection

Overall, we found evidence that Advance Dental Care provided safe and effective patient centred care.

Feedback received from HIW questionnaires confirmed that all patients rated the service provided at the practice as excellent or very good.

This is what we found the service did well:

- Staff were polite and professional to patients and visitors
- Patient records were being maintained to a high standard
- The practice was well equipped and maintained to a high standard
- Comprehensive risk assessments were in place to ensure premises and clinical practices were fit for purpose
- Patients could provide feedback about their experiences of the care and treatment they received
- Daily staff huddles were held as well as a weekly staff meetings
- The practice was committed to continuously improving patient care outcomes.

This is what we recommend the service could improve:

- There were no recommendations made at this inspection.

There were no areas of non-compliance identified at this inspection that required immediate corrective action.

3. What we found

Background of the service

Advance Dental Care provides services to patients in the Barry area. The practice forms part of dental services provided within the area served by Cardiff and Vale University Health Board.

The practice has a staff team which includes three dentists, five dental nurse, two receptionists and a practice manager.

The practice provides a range of NHS and private general dental services.

Quality of patient experience

We spoke with patients, their relatives, representatives and/or advocates (where appropriate) to ensure that the patients' perspective is at the centre of our approach to inspection.

Overall, Advance Dental Practice had suitable processes in place to ensure patients received a positive experience.

The practice was situated on the ground floor and was accessible to everyone including those with mobility difficulties.

All areas of the practice ensured that patients' dignity and privacy was protected during treatments.

Patients told us that they were able to get an appointment when they needed it.

Prior to our inspection we distributed HIW questionnaires to patients to obtain their views on the service provided at the practice. In total, we received 43 completed questionnaires. The majority of the completed questionnaires were from patients who had been a patient at the practice more than two years.

Overall, patient feedback was positive; all of the patients who completed a questionnaire said that they would rate the service provided by the practice as 'excellent' or 'very good'. Patient comments included:

"I have a fear of dentists and this is always taken into account when I am seen, they put me at ease and always stop if they need to"

"Just that the treatment I have received here has been fabulous and what they promise they deliver! Thank you"

"I'm always treated very professionally by the members of staff at this dental practice"

Patients were asked on the questionnaires how the dental practice could improve the service it provides. Patients were very happy with the service provided; one patient commented:

"Perhaps extend opening hours. Take more NHS patients"

Staying healthy

Health promotion protection and improvement

Each patient who completed a questionnaire told us that the dental team had spoken to them about how to keep their mouth and teeth healthy. There was a large amount of written health promotion information available in the reception and waiting area. This included information about private treatments, smoking cessation and oral hygiene advice for adults and children.

Dignified care

We observed staff speaking to patients in a friendly but respectful and professional manner. Every patient who completed a questionnaire felt that they had been treated with dignity and respect by staff when visiting the practice.

We saw that doors to the dental surgeries remained closed during treatments. A confidentiality policy was in place was in place to make staff aware of their responsibilities for protecting patients' privacy.

The reception desk was high and computer screens were not visible to visitors and patients. We noted that the reception desk and waiting areas were close together. Staff told us that private conversations could be held in an empty surgery or in the staff room behind reception.

The General Dental Council (GDC) nine principles¹ were on display within the waiting area to ensure patients were aware of the standards of care they should receive from dental professionals.

Patient information

All of the patients who completed a questionnaire told us that they felt involved as much as they wanted to be in any decisions made about their treatment and they had received clear information about available treatment options. Where

¹ The GDC Nine principles set out the standards of conduct, performance and ethics that govern dental professionals in the United Kingdom.

applicable, all but one of the patients who completed a questionnaire also said the cost was always made clear to them before they received any treatment.

The practice had patient information leaflets available in the waiting area which we found contained the information specified by the Regulations. The patient information folder contained a copy of the statement of purpose², which we found was also fully compliant with the regulations. Copies of the statement of purpose and patient information leaflet were available for patients to take away.

Communicating effectively

The practice was able to offer a bi-lingual service as they had a Welsh speaking dental nurse. We saw that patient information was available in English and Welsh, including information on the eligibility criteria for patients to receive free NHS dental treatment.

Staff told us that appropriate care and time would be provided to patients whose first language wasn't English to understand their needs. All of the patients who completed a questionnaire told us that they were 'always' able to speak to staff in their preferred language.

In the patient records we reviewed we saw evidence of written treatment plans that included notes of the costs and of treatment options discussed during appointments. This was in line with best practice and meant that patients were provided with information to make informed choices about their treatment.

Timely care

Just under a third of the patients who completed a questionnaire said they would not know how to access the out of hours dental service if they had an urgent dental problem. An emergency number for out of hours was available should patients require urgent out of hours dental treatment. The telephone number was displayed outside the practice and patient information leaflet.

² Every service provider is required by law to have a Statement of Purpose and it should include specific details about the service, what treatments are provided, to who (age), by whom and any equipment used.

The majority of patients who completed a questionnaire felt that it was 'very easy' or 'fairly easy' to get an appointment when they needed it.

Individual care

Planning care to promote independence

We viewed a sample of patient records and found that they were of a high standard and supported the practice to deliver quality patient care.

Where applicable, each patient who completed a questionnaire confirmed that the dentist enquires about their medical history before undertaking any treatment. We saw evidence to confirm that these were being recorded appropriately in patient records as required by professional guidelines.

The treatments and services offered by the practice were in accordance with their statement of purpose.

People's rights

The practice had a large car park that was shared with a GP practice. The practice was accessible from the street for people with mobility difficulties. The reception, waiting area, toilets and dental surgery were all based on the ground floor and accessible to all.

We noted that the practice had an equality policy in place, which demonstrates a commitment to ensure that everyone has access to the same opportunities and to the same fair treatment.

The practice offers a mix of NHS and private treatments and we saw a policy on the practice arrangements for acceptance of new patients.

Listening and learning from feedback

We saw that paper feedback forms were available in the waiting area for patients to provide positive comments about their experience or to make suggestions on how the practice could improve the service it provides. We were told that patient comments are monitored and discussed in the team meetings. One member of the nursing team takes responsibility for this.

Information on the procedure for patients to raise a complaint or concern was contained within the patient information leaflet and also displayed for patients in the waiting area. The complaints procedure was outlined for staff in a complaints

policy and we found it was compliant with Putting Things Right³ guidance and the Private Dentistry (Wales) Regulations 2017.

³ Putting Things Right is the process for managing patient concerns about care and treatment in NHS Wales.

Delivery of safe and effective care

We considered the extent to which services provide high quality, safe and reliable care centred on individual patients.

Overall, we found evidence that patients were being provided with safe and effective dental care.

Clinical facilities were in excellent condition, well equipped, and arrangements were in place for the safe use of X-ray and laser equipment.

Patients received focussed individualised care that was documented in accurate and comprehensive patient records.

The emergency drugs and resuscitation equipment was kept in line with the guidelines.

Safe care

Managing risk and promoting health and safety

The practice is situated in a purpose built health centre which is shared with a GP surgery. The building is modern and well maintained both internally and externally. The practice is on street level and all surgeries and reception/waiting areas are on the ground floor.

There were no concerns given by patients over the cleanliness of the dental practice; every patient who completed a questionnaire felt that, in their opinion, the dental practice was 'very clean'.

Overall, we found arrangements were in place to protect the safety and wellbeing of staff and visitors to the practice. The practice had various policies, procedures and risk assessments in place to ensure the premises were safe and fit for purpose.

The reception and waiting areas were bright and welcoming and we saw that all areas of the practice were clean, tidy and free from obvious hazards. The practice was newly decorated to a high standard.

We saw that appropriate fire extinguishers were available at various locations around the building and noted that servicing had been carried out within the last

twelve months to ensure that the equipment worked properly. A comprehensive fire risk assessment had recently been undertaken. We saw that logs of fire drills and fire alarm testing were kept. We saw evidence that all staff had undertaken on line training in fire safety.

Emergency exits were signposted and a no smoking sign was displayed both inside and outside the building which reminds staff and patients of the smoke free premises legislation⁴. A Health and Safety poster telling staff what they need to do to ensure their health and safety in the workplace was displayed within the staff room.

Staff could change in the staff toilets which had a lockable door to protect their privacy and dignity. Facilities were also available for staff to securely store their personal possessions as required by the regulations.

We saw that a number of Control of Substances Hazardous to Health⁵ (COSHH) assessments had been undertaken but we advise that the relevant hazardous active ingredient should be clearly stated and that safety sheets are attached to each assessment.

A comprehensive business continuity policy and disaster recovery strategy was in place which included the emergency contact details of all staff and essential business contractors.

Infection prevention and control

Overall, we found evidence that suitable infection prevention and control measures were in place which were documented in an appropriate infection control policy. The practice had dedicated facilities for the cleaning and

⁴ The Smoke-free Premises etc. (Wales) (Amendment) 2015 - Legislation to ban smoking in enclosed public places was introduced in 2007 to protect the public from second-hand smoke.

⁵ COSHH Regulations provide a framework to protect people at work against health risks that may arise from work activities that expose them to hazardous substances.

sterilisation (decontamination) of dental instruments as recommended by the Welsh Health Technical Memorandum (WHTM) 01-05⁶.

The decontamination room was visibly clean and tidy and staff had access to and used personal protective equipment (PPE) when working in the decontamination areas to help minimise the possibility of exposure to infections.

We saw hazardous (clinical) waste was being stored securely and saw evidence that a contract was in place for the safe transfer and disposal of such hazardous waste.

We looked at records evidencing acceptable Hepatitis B immunisation status for all clinical staff working in the practice. This meant that appropriate measures were being taken to ensure that patients and staff were protected from this blood borne virus.

Medicines management

The practice had emergency drugs and emergency resuscitation equipment available that were in line with the Resuscitation Council (UK) standards⁷. All items were situated in the office near the dental surgeries and easily accessible to staff in an emergency situation such as a patient collapse.

We saw evidence that regular documented checks were being undertaken on the drugs and equipment to ensure they remained in date and safe to use. We saw evidence that all staff had received up to date emergency cardiopulmonary resuscitation (CPR) training.

The practice had a policy in place for resuscitation and managing medical emergencies. Two members of staff had been trained in first aid to ensure that any persons at the practice that require first aid can be treated appropriately.

Staff were aware of the need to report any adverse reactions with medicines or medical devices experienced by patients to the Medicines and Healthcare

⁶ The Welsh Health Technical Memorandum (WHTM 01-05) (Revision 1) document provides professionals with guidance on decontamination in primary care practices and community dental practices.

⁷ <https://www.resus.org.uk/quality-standards/primary-care-equipment-and-drug-lists/>

products Regulatory Agency (MHRA) via the Yellow Card Scheme⁸ to help ensure healthcare products are acceptably safe for patients and those that use them.

We also noted that prescription pads were kept securely to reduce the risk of unlawful obtaining and misuse of prescription drugs.

Safeguarding children and adults at risk

The practice had a safeguarding policy in place for the protection of children and vulnerable adults which contained procedures for staff to follow in the event of any safeguarding concerns. The policy included contact details for staff to appropriately report any concerns to the relevant local safeguarding agencies.

Staff told us that they would initially discuss any safeguarding concerns with the nominated safeguarding lead at the practice. All staff were trained to level 2 in the Safeguarding of Children and Vulnerable Adults.

Staff were aware of the All Wales Child Protection Procedures 2008, which sets out the national guidelines for safeguarding children and promoting their welfare across Wales. We were told that staff have access to the current guidelines through the application and online.

Staff told us about the pre-employment checks that would be undertaken for any new members of staff before they joined the practice. This included obtaining references from previous employers and undertaking Disclosure and Barring Service (DBS)⁹ checks to ensure the person is fit to work in a dental practice in accordance with the regulations.

⁸ <https://yellowcard.mhra.gov.uk/the-yellow-card-scheme/>

⁹ The Disclosure and Barring Service (DBS) helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including children. It replaces the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA).

Medical devices, equipment and diagnostic systems

We inspected the clinical facilities at the practice and found that the dental equipment in both dental surgeries had been well maintained and was in good condition.

We looked at the arrangements in place for the safe use of radiographic (X-ray) equipment and were assured that the practice was meeting guidance set out by the General Dental Council and Ionising Radiation (Medical Exposure) Regulations (IR(ME)R) 2017. This is because:

- the dental team had received up to date ionising radiation training
- a comprehensive radiation policy was in place and local rules¹⁰ were displayed by the X-ray equipment to set out the working procedures to ensure that radiation exposure to staff is restricted
- the X-ray equipment had been regularly serviced
- a radiation protection file was in place that contained all the relevant information relating to the safe use and upkeep of the X-ray equipment.

A class 4 laser was used at the practice and was seen to have met all the specific guidelines of the regulations. This is because:

- the laser had been serviced and calibrated annually
- the local rules including medical protocols were in place and had been reviewed annually by the laser protection advisor
- the laser operator were able to demonstrate the correct use of the machine including the precautions to be taken before and during use
- a comprehensive treatment register was maintained and up to date

¹⁰ Local rules are a set of rules and protocols for the practice which help staff follow the regulations in dentistry.

- we saw evidence that the laser operator was fully trained in the use of the machine including Core of Knowledge¹¹ .

Effective care

Safe and clinically effective care

The registered manager had a schedule of regular audits that were introduced to analyse the quality of dental care and service provided. We noted that an audit on compliance with the Welsh Health Technical Memorandum (WHTM) 01-05 decontamination best practice guidelines had taken place. Other planned audits included but are not limited to hand hygiene, antimicrobial delivery, record keeping and infection control.

We saw that the arrangements for clinical audit activities were described in a policy as required by the regulations.

Information governance and communications technology

The practice had a General Data Protection Policy (GDPR) in place that set out procedures to protect patient information and safely manage patient records. We saw that all staff members had undertaken training in the protection of information. There were also information leaflets available in the waiting area outlining how the practice uses patients' personal information.

Patient records were electronic and stored on a cloud based system which we were told was regularly backed up off site to protect patient records if something should happen to the practice or system and staff could no longer access them.

We saw that old paper patient records were being kept in line with relevant retention guidelines and securely stored to prevent unauthorised access.

¹¹ Core of Knowledge Training Core of Knowledge is the official and essential training for professional users of Laser and Light treatments in the medical and aesthetics industry.

Record keeping

The sample of patient records we reviewed were of a high standard and supported the practice to deliver quality patient care. This is because the patient records we reviewed:

- were clear, legible and documented discussions held with patients about the costs, risks and benefits associated with available treatment options
- contained evidence that consent to treatment was obtained from each patient
- contained comprehensive radiography documentation that followed Ionising Radiation (Medical Exposure) Regulations (IR(ME)R) guidelines
- contained clearly documented justification for the reasons why X-rays were or were not being taken.

Quality of management and leadership

We considered how services are managed and led and whether the workplace and organisational culture supports the provision of safe and effective care. We also considered how services review and monitor their own performance against the Health and Care Standards.

We found that the registered manager was committed to continually improving the care provided to patients at the practice.

We saw good working relationships amongst staff and clear management structures were in place.

A wide range of policies and procedures were in place to ensure the safety of staff and patients and all policies had been reviewed within the last year.

Governance, leadership and accountability

Advance Dental Care is owned by the principle dentist who is both the responsible individual¹² and registered manager¹³. They are supported by a wider team of clinical and non-clinical staff.

We found the practice to have good leadership and clear lines of accountability. We observed staff working well together, evidenced by their interaction with

¹² A responsible individual means an individual who is the director, manager, secretary or other officer of the organisation and is responsible for supervising the management of a private dental practice (Private Dentistry (Wales) Regulations 2017).

¹³ A registered manager means a person who is registered under the Private Dentistry (Wales) Regulations 2017 as the manager of a private dental practice.

patients and their co-operation and demeanour throughout the inspection process.

The practice manager told us that they have recently made arrangements to introduce the Health Education and Improvement Wales Maturity Matrix Dentistry¹⁴ practice development tool which encourages the dental practice team to work together to identify key areas for improvement based on professional guidelines and on legislative requirements.

We found a wide range of policies and procedures were in place to ensure the safety of both staff and patients. We saw that policies had been regularly reviewed in line with the regulations and that staff had to sign to evidence that they had read and understood each policy.

The principal dentist confirmed that they were aware of their duties as registered manager regarding notifications that must be sent to HIW under the regulations such as in the event of serious injury to patients.

All clinical staff were registered to practice with the General Dental Council and had appropriate indemnity insurance cover in place. The practice had a current public liability insurance certificate on display as well as certificates showing the practice is registered with HIW to provide private dental services.

We reviewed the statement of purpose and saw that it contains all the required information set out in the regulations. The statement of purpose has been reviewed within the last twelve months.

Staff and resources

Workforce

We found suitable governance arrangements in place at the practice. Staff had a contract of employment and a job description setting out their roles and responsibilities and these were retained on staff files. New members of staff are given an induction training programme that was outlined in a recruitment and induction policy.

¹⁴ <https://dental.walesdeanery.org/improving-practice-quality/maturity-matrix-dentistry>

All staff had access to training opportunities and we saw certificates for staff that evidenced they had attended training on a range of topics relevant to their roles to help meet their continuing professional development (CPD) requirements.

We saw evidence that appraisals with all members of staff were taking place annually. Therefore giving the employer the opportunity to provide feedback to staff about their performance and to review any CPD opportunities.

Staff huddles are undertaken at the start of each day to discuss any issues and develop a plan for the day ahead. Practice meetings are held weekly to discuss training, patient feedback and give staff an opportunity to raise any issues they may have. Minutes of each meeting are taken and signed by all staff to ensure any absent members of staff are aware of what was discussed.

The regulations require that at the time of registration, all dentists providing private dental services in Wales have a Disclosure and Barring Service (DBS) Certificate issued within the previous three years. We saw evidence that DBS clearance checks had been carried out for both clinical and non-clinical staff to help ensure the safety of patients and staff.

We were told that the practice manages to maintain an appropriate number of qualified staff working at the practice at all times without having to employ temporary locum dental nurses. A recruitment policy was in place that set out the process to follow to recruit potential new members of staff and included appropriate pre-employment checks the practice would undertake to ensure new staff are suitably qualified and protected to work with patients.

4. What next?

Where we have identified improvements and immediate non-compliance issues during our inspection which require the service to take action, these are detailed in the following ways within the appendices of this report (where these apply):

- Appendix A: Includes a summary of any concerns regarding patient safety which were escalated and resolved during the inspection
- Appendix B: Includes any immediate concerns regarding patient safety where we issued a non-compliance notice asking the service to tell us about the urgent actions they are taking
- Appendix C: Includes any other improvements identified during the inspection where we require the service to complete an improvement plan telling us about the actions they are taking to address these areas

Where we identify any serious regulatory breaches and concerns about the safety and wellbeing of patients using the service, the registered provider of the service will be notified via a non-compliance notice. The issuing of a non-compliance notice is a serious matter and is the first step in a process which may lead to civil or criminal proceedings.

The improvement plans should:

- Clearly state when and how the findings identified will be addressed, including timescales
- Ensure actions taken in response to the issues identified are specific, measurable, achievable, realistic and timed
- Include enough detail to provide HIW and the public with assurance that the findings identified will be sufficiently addressed.

As a result of the findings from this inspection the service should:

- Ensure that findings are not systemic across other areas within the wider organisation
- Provide HIW with updates where actions remain outstanding and/or in progress, to confirm when these have been addressed.

The improvement plan, once agreed, will be published on HIW's website.

5. How we inspect dental practices

Dental practice inspections are usually announced. Dental practices receive up to twelve weeks' notice of an inspection. This is so that arrangements can be made to ensure that the practice is running as normal, and that the inspection causes as little disruption to patients as possible.

Feedback is made available to practice representatives at the end of the inspection, in a way which supports learning, development and improvement at both operational and strategic levels.

We check how dental practices are meeting the [Health and Care Standards 2015](#) and, where private dentistry is provided, the [Private Dentistry \(Wales\) Regulations 2017](#). Where appropriate we consider how the practice meets these regulations, as well as the [Ionising Radiations Regulations 2017](#), and any other relevant professional standards and guidance such as the [General Dental Council Standards for the Dental Team](#).

These inspections capture a snapshot of the standards of care within dental practices.

Further detail about how HIW inspects [dental practices](#) and the [NHS](#) can be found on our website.

Appendix A – Summary of concerns resolved during the inspection

The table below summaries the concerns identified and escalated during our inspection. Due to the impact/potential impact on patient care and treatment these concerns needed to be addressed straight away, during the inspection.

Immediate concerns identified	Impact/potential impact on patient care and treatment	How HIW escalated the concern	How the concern was resolved
There were no immediate concerns identified at this inspection.			

Appendix B – Immediate improvement plan

Service: Advance Dental Care

Date of inspection: 13 January 2020

The table below includes any immediate non-compliance concerns about patient safety identified during the inspection where we require the service to complete an immediate improvement plan telling us about the urgent actions they are taking.

Description of non compliance/ Action to be taken	Regulation	Service action	Responsible officer	Timescale
There were no immediate concerns identified at this inspection.				

The following section must be completed by a representative of the service who has overall responsibility and accountability for ensuring the improvement plan is actioned.

Service representative:

Name (print):

Job role:

Date:

Appendix C – Improvement plan

Service: Advance Dental Care

Date of inspection: 13 January 2020

The table below includes any other improvements identified during the inspection where we require the service to complete an improvement plan telling us about the actions they are taking to address these areas.

Improvement needed	Standard/ Regulation	Service action	Responsible officer	Timescale
Quality of the patient experience				
No improvements were needed in this section				
Delivery of safe and effective care				
No improvements were needed in this section				
Quality of management and leadership				
No improvements were needed in this section				

The following section must be completed by a representative of the service who has overall responsibility and accountability for ensuring the improvement plan is actioned.

Service representative

Name (print):

Job role:

Date: