

Orthodontic Practice Inspection (Announced)

**Aneurin Bevan University
Health Board, Caerphilly
Orthodontics**

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Copies of all reports, when published, will be available on our website or by contacting us:

In writing:

**Communications Manager
Healthcare Inspectorate Wales
Welsh Government
Rhydycar Business Park
Merthyr Tydfil
CF48 1UZ**

Or via

Phone: 0300 062 8163
Email: hiw@wales.gsi.gov.uk
Fax: 0300 062 8387
Website: www.hiw.org.uk

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1. Introduction

Healthcare Inspectorate Wales (HIW) is the independent inspectorate and regulator of all health care in Wales.

HIW's primary focus is on:

- Making a contribution to improving the safety and quality of healthcare services in Wales
- Improving citizens' experience of healthcare in Wales whether as a patient, service user, carer, relative or employee
- Strengthening the voice of patients and the public in the way health services are reviewed
- Ensuring that timely, useful, accessible and relevant information about the safety and quality of healthcare in Wales is made available to all.

HIW completed an inspection to Caerphilly Orthodontics at 5 Thomas Street, Abertridwr, Caerphilly, CF83 4AU on 18 January 2017.

HIW explored how Caerphilly Orthodontics met the standards of care set out in the Health and Care Standards (April 2015) and other relevant legislation and guidance.

Orthodontic inspections are announced and we consider and review the following areas:

- Quality of the Patient Experience - We speak to patients (adults and children), their relatives, representatives and/or advocates to ensure that the patients' perspective is at the centre of our approach to how we inspect.
- Delivery of Safe and Effective Care - We consider the extent to which services provide high quality, safe and reliable care centred on the person.
- Quality of Management and Leadership - We consider how services are managed and led and whether the culture is conducive to providing safe and effective care. We also consider how services review and monitor their own performance against relevant standards and guidance.

More details about our methodology can be found in section 6 of this report.

2. Context

Caerphilly Orthodontics operates one day per week from Abertridwr Dental Surgery and provides services to patients in the Abertridwr area of Caerphilly. The practice forms part of dental services provided within the area served by Aneurin Bevan University Health Board. It is a mixed practice providing both private and NHS orthodontic services.

The practice staff team includes two orthodontists, two dental nurses and one practice manager.

The orthodontists and supporting clinical staff at Caerphilly Orthodontics also work at Cathedral Orthodontics (80 Cathedral Road, Cardiff, CF11 9LN).

Both Cathedral Orthodontics and Abertridwr Dental Surgery were inspected by HIW during 2016. Reports of our findings are available on the HIW website (www.hiw.org.uk)

Prior to this inspection, we looked at the findings from our previous inspections of both practices. We used this information to focus the inspection on the patient experience and specific elements of both the delivery of safe and effective care and the management and leadership of the practice.

3. Summary

Overall, we found evidence that Caerphilly Orthodontics provided safe and effective care.

This is what we found the practice did well:

- Patients told us they were happy with the service provided
- Clinical facilities were well-equipped, visibly clean and tidy
- Dental instruments were cleaned and sterilised appropriately
- Staff told us they felt supported by senior practice staff.

This is what we recommend the practice could improve:

- Information for patients on how to make a complaint needs to be made more readily accessible
- A process for obtaining patient feedback on the services provided to them needs to be implemented.

4. Findings

Quality of the Patient Experience

We saw that patients visiting the practice were treated with dignity, respect and kindness by the practice team. Patients who provided comments indicated they were satisfied with the service they had received.

Prior to the inspection, we invited the practice to distribute HIW questionnaires to patients to obtain views on the orthodontic services provided. We received 21 completed questionnaires and these showed that the majority of patients were satisfied with the care they received. One patient added an additional comment about the practice stating:

‘Very professional, always happy staff no problem with appointments’

Dignified care

We observed that interaction between patients and staff were positive, friendly and professional.

Patients of Caerphilly Orthodontics told us they were made to feel welcome by the practice and that they received enough information about their treatment.

The practice provided both NHS and private orthodontic treatments. Information on private orthodontic treatments was displayed for patients to see, meaning that patients had access to information on how much their treatment might cost. Patients eligible for NHS orthodontic treatment were not expected to pay for their treatment.

A practice information leaflet was available in reception, providing general information about the practice for patients to take away and read.

Timely care

We found that the practice made efforts to ensure that patients were seen in a timely manner. The majority of patients who completed a questionnaire told us they had not experienced a significant delay in being seen by the orthodontist. Staff told us that patients would be advised verbally if there were any delays to appointment times.

An out of hours telephone number was available for patients should they require urgent treatment. The practice made this telephone number available

through the message on the answer phone and in their patient information leaflet.

Staying healthy

Health promotion information was available to patients within the practice, to help promote the need for them to take care of their own oral health and hygiene. We were told that the orthodontists dedicated time during appointments to demonstrate to patients how to maintain their oral health whilst in receipt of orthodontic treatments.

Individual care

Caerphilly Orthodontics is based in a surgery at Abertridwr Dental Surgery (the host practice) one day per week. The surgery used by Caerphilly Orthodontics is located on the ground floor of the practice. There was a ramp and handrails within the practice to assist patients with mobility difficulties to access the service.

Information for patients on how to raise a concern (complaint) was referenced within the practice information leaflet. The practice had a detailed complaints policy and was available to patients on request. Whilst the complaints process for the host practice was displayed in the reception area, the complaints process for Caerphilly Orthodontic patients was not. We recommended to the practice manager that they should display their own complaints procedure so Caerphilly Orthodontic patients have information readily available should they wish to raise a concern. The practice manager agreed to implement this.

Improvement needed

The complaints policy for Caerphilly Orthodontics should be prominently displayed at the practice so that patients are able to easily access the procedure

We were told that all complaints would be recorded and details of actions taken in respect of each complaint would be maintained. This allowed the practice to review complaints, take steps to resolve any issues and feedback to patients.

The practice did not have a means for patients to provide feedback on the orthodontic services provided. We recommended that the practice should introduce a system for obtaining regular patient feedback. The practice manager agreed to do this.

Improvement needed

The practice should implement a system for actively obtaining regular patient feedback about the service provided

Delivery of Safe and Effective Care

We found that Caerphilly Orthodontics provided patients with safe and effective care.

Safe care

We were told that the host practice was responsible for the day-to-day running of the practice, and we saw records to support this. This included the checks and maintenance of the decontamination equipment, radiographic equipment and facilities, checking the emergency drugs and equipment, waste management and general cleaning of the practice.

We saw that checks of the decontamination equipment were undertaken by the host practice staff, and records were maintained to show that the equipment was safe to use. We were told that Caerphilly Orthodontic staff assured themselves that the equipment remained safe to use by looking at the records maintained by the host practice at the start of the day. We recommended to the practice manager that staff undertaking the checks may wish to countersign the records to formalise the process. The practice manager agreed to do this.

A thorough decontamination process was described by staff and we were assured that they had attended training on decontamination (as certificates were seen previously during the inspection of Cathedral Orthodontics).

Caerphilly Orthodontics staff did not use the X-ray equipment at the host practice. We did not consider, therefore, the arrangements in place for the use of X-ray equipment on this occasion.

We saw that equipment and drugs were available for use in a patient emergency (collapse) and we assured that host practice had appropriate processes and procedures in place to ensure the equipment and drugs remained safe to use. We were told that Caerphilly Orthodontic staff assured themselves that the equipment remained safe to use by looking at the records maintained by the host practice at the start of the day. We recommended to the practice manager that staff undertaking the checks may wish to countersign the records to formalise the process. The practice manager agreed to do this.

We were assured that staff were up to date with cardiopulmonary resuscitation (CPR) training (as certificates were seen during the inspection of Cathedral Orthodontics).

We looked at the surgery used by Caerphilly Orthodontics staff. It was clean and tidy. Floors and surfaces within the surgery were easily cleanable to

reduce cross infection. Caerphilly Orthodontics provided its own orthodontic equipment and we saw that it was stored appropriately within the surgery.

Effective care

The clinical staff working at Caerphilly Orthodontics formed part of the team at Cathedral Orthodontics. Given that patient records were examined at the inspection of Cathedral Orthodontics in December 2016, we did not consider it necessary to look again at the quality of patient records at this inspection. We do expect, however, that action to address any improvement needed is applied across both Cathedral Orthodontics and Caerphilly Orthodontics.

Quality of Management and Leadership

Caerphilly Orthodontics was owned by one orthodontist and supported by a practice manager, an orthodontist and two nurses.

Management and leadership was considered as part of the inspection of Cathedral Orthodontics in December 2016. We saw during that inspection that a range of relevant policies were in place with the aim of ensuring the safety of staff and patients. We were told that the policies and procedures applied to staff working at both Caerphilly Orthodontics and Cathedral Orthodontics.

A practice manager was responsible for the management of Caerphilly Orthodontics and also provided administrative support to the orthodontists and nursing staff. We were told that there was a good working relationship between the practice owners of Caerphilly Orthodontics and the host practice.

The practice manager told us that there were arrangements in place to ensure information was shared between the two practices.

Conversations with staff working on the day of our inspection told us that they felt well supported by the whole practice team. Staff told us that communication was good between the whole staff team. We saw that team meetings were held at Cathedral Orthodontics, and any information relating specifically to Caerphilly Orthodontics would be highlighted as part of those meetings.

We were assured that staff had attended training relevant to their roles as we saw supporting certification during the inspection of Cathedral Orthodontics.

We did not consider the policies and procedures of Caerphilly Orthodontics as these were considered as part of the inspection process of Cathedral Orthodontics.

The orthodontists working at the practice provided private dental services. Their HIW registration certificates were prominently displayed as required by the regulations for private dentistry.

5. Next Steps

This inspection has resulted in the need for the orthodontic practice to complete an improvement plan (Appendix A) to address the key findings from the inspection.

The improvement plan should clearly state when and how the findings identified at Caerphilly Orthodontics will be addressed, including timescales.

The action(s) taken by the practice in response to the issues identified within the improvement plan need to be specific, measurable, achievable, realistic and timed. Overall, the plan should be detailed enough to provide HIW with sufficient assurance concerning the matters therein.

Where actions within the practice improvement plan remain outstanding and/or in progress, the practice should provide HIW with updates to confirm when these have been addressed.

The improvement plan, once agreed, will be published on HIW's website and will be evaluated as part of the ongoing dental inspection process.

6. Methodology

The new Health and Care Standards (see figure 1) are at the core of HIW's approach to inspections of the NHS in Wales. The seven themes are intended to work together. Collectively they describe how a service provides high quality, safe and reliable care centred on the person. The standards are key to the judgements that we make about the quality, safety and effectiveness of services provided to patients.

Figure 1: Health and Care Standards



Any dentist working at the practice who is registered with HIW to provide private dentistry will also be subject to the provisions of the Private Dentistry (Wales) Regulations 2008¹ and the Private Dentistry (Wales) (Amendment) Regulations 2011². Where appropriate we consider how the practice meets these regulations, as well as the Ionising Radiation Regulations 1999, the Ionising Radiation (Medical Exposure) Regulations 2000 and any other relevant

¹ <http://www.legislation.gov.uk/wsi/2008/1976/contents/made>

² <http://www.legislation.gov.uk/wsi/2011/2686/contents/made>

professional standards and guidance such as the GDC Standards for the Dental Team.

During the inspection we reviewed documentation and information from a number of sources including:

- Information held by HIW
- Interviews of staff including dentists and administrative staff
- Conversations with nursing staff
- Examination of a sample of patient dental records
- Examination of practice policies and procedures
- Examination of equipment and premises
- Information within the practice information leaflet and website (where applicable)
- HIW patient questionnaires.

At the end of each inspection, we provide an overview of our main findings to representatives of the dental practice to ensure that they receive appropriate feedback.

Any urgent concerns that may arise from dental inspections are notified to the dental practice and to the health board via an immediate action letter. Any such findings will be detailed, along with any other recommendations made, within Appendix A of the inspection report.

Dental inspections capture a snapshot of the application of standards at the practice visited on the day of the inspection.

Appendix A

Orthodontic Practice: Improvement Plan

Practice: Caerphilly Orthodontics

Date of Inspection: 18 January 2017

Page Number	Improvement Needed	Regulation / Standard	Practice Action	Responsible Officer	Timescale
Quality of the Patient Experience					
6	The complaints policy for Caerphilly Orthodontics should be prominently displayed at the practice so that patients are able to easily access the procedure	Health and Care Standards April 2015 Standard 6.3 The Private Dentistry (Wales) Regulations	This has been addressed and a notice is now on the waiting room notice board.	P Naish	completed

Page Number	Improvement Needed	Regulation / Standard	Practice Action	Responsible Officer	Timescale
		2008 (as amended) Regulation 15(2)			
7	The practice should implement a system for actively obtaining regular patient feedback about the service provided	Health and Care Standards (April 2015) Standard 6.3	A patient satisfaction survey form has been produced and will used on a regular basis from 01/04/17	P Naish	01/04/17
Delivery of Safe and Effective Care					
	No improvement plan required				
Quality of Management and Leadership					
	No improvement plan required				

Practice Representative:

Name (print):Philip Naish.....

Title: ...Dr Philip Naish.....

Date:21/03/2017.....