

## Thames Valley Quality Surveillance Group

**PAPER REFERENCE:** 070114/Paper5  
**TITLE OF PAPER:** Primary Care Overview Report

### 5. Dental Practices

#### a) Introduction

NHS England commissions primary, community and secondary care dental services. In the Thames Valley there are 299 primary care contracts, 3 community and 4 secondary care providers located in the area. The contract currency for primary care contracts is Units of Dental Activity, which is based on delivery of an agreed volume of activity.

The NHS England Assurance Framework provides a process for assessment against a transparent and consistent suite of measures of quality for all Dental practices, supported by a centrally available set of pre-analysed data that can be used to assess variation in provision.

#### b) Dental Assurance Framework

The dental assurance framework (also includes Orthodontics) has recently been issued and the Primary Care Team are looking at how this is managed in terms of following up on key indicators. The plan is to establish a sub-committee of the Dental Commissioning Group to carry out more detailed analysis of contractual issues and to follow up on clinical and contractual concerns, escalating as appropriate. This will also include the Clinical Challenge process led by the Dental Services Division, so that the Area Team aligns the national work with how it is followed up locally.

#### c) Other Sources of Assurance

In addition to the Dental Assurance Framework, the Area Team has other processes to review the quality of services provided:

- Dental Practice Adviser Visits—the DPAs carry out a programme of practice visits to review standards underpinning delivery of services, devising action plans for practices and following up with them.

The DPAs visit each dental surgery within the practice to ensure that all the required equipment is in place and is of the required standards. They also review the systems in the practice in relation to infection control, safety relating to staff providing services, fire, electrical, use of controlled drugs, clinical waste and check whether practices are complying with relevant legislation such as the Disability Discrimination Act.

The practices receive a report on the visit with a RAG (Red, Amber, Green) action plan, which details timescales for actions to be completed.

The visits have not highlighted significant concerns with the conditions of any of the surgeries, but they have drawn attention to issues relating to systems and processes, such as those relating to appropriate, complete, up-to-date and displayed appropriately. The visits have also highlighted issues around recordkeeping in relation to staff.

When the practices receive the report from the DPA they are advised whether they must carry

some actions immediately, report within 1month or within 1- 3months. The DPAs then follow up to ensure the actions have been completed.

- Key Performance Indicators (KPIs) with payment linked to performance for the following contracts:
  - Orthodontics- introduced for all the new primary care Orthodontic contracts in 2013/14 and represent 20% of the Total Contract Value. They are designed to ensure that resources dedicated to treatment are optimised, with effective clinical outcomes and patient satisfaction. They are in shadow form in2013/14 and will go live in 2014/15.
  - Primary Dental Services (PDS)- PDS+ these provide incentives around patient through put and effective clinical outcomes and are reviewed at the end of each financial year. Practices are required to achieve identified standards to receive payment within one of three bands.
  - Berkshire CDS via aPDS contract- this is part of the Commissioning for Quality and Innovation (CQUIN) element of the contract. The KPIs cover service delivery, patient satisfaction and outcomes of treatment. They are reviewed at contract meetings between the Area Team and the provider with agreed actions to address any short falls in delivery.
- Complaints – the Primary Care Team works closely with the Complaints team to follow up on specific concerns raised by patients.
- Clinical Networks (to become sub-groups of the Local Dental Network) – networks have been established for Restorative Dentistry and Orthodontics. The groups review carepathways and quality indicators in contracts.

#### d) Dental Performers List

The following table provides detail of the nature of concerns broken down by independent contractor area and geographical locality.

Locality	Area of concern	General Dental Council(GDC)status	Status
BerksEast	Quality of care	Referred to investigating committee	
BerksEast	Quality of care	Referred to investigating committee	
BerksEast	Quality of care	Referred to investigating committee	
BerksEast	Quality of care	Fitness to practice investigation	
BerksWest	Quality of care	Fitness to practice investigation	
BerksWest	Quality of care	Referred to investigating committee	
BerksWest	Quality of care	Conditions	
Oxford	Quality of care	Referred to Investigating Committee	Voluntary Undertakings
Oxford	Quality of care	Referred to Investigating Committee	
Oxford	Quality of care	Complaint made to GDC	
Oxford	Quality of care	Complaint made to GDC	
	Conduct	Referred to investigating committee	

## e) Patient Experience

### Complaints

The following table is a summary of subjects of complaints received by the Area Team about GP Practices in Thames Valley

Subject of Complaint	Number of Complaints received by Area Team	
	Nov-13	Dec-13
Delayed extraction	1	
Overall care and treatment	1	2
Scale and polish issues	1	

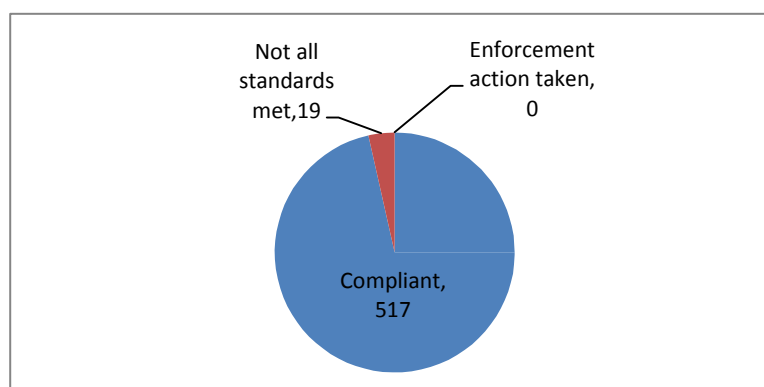
See the table in section(i)for further details of practices.

**f) Care Quality Commission (CQC)**

Dental Practices Registered with the CQC in Thames Valley(as at 23<sup>rd</sup> December 2013)

**Note that not all of the practices registered with the CQC provide NHS funded care.**

Status	Number of Practice Locations
Compliant( <i>note that this number includes practices that have been inspected and found compliant against the standards reviewed and those not yet inspected</i> )	514
Not all standards met	25
Enforcement action taken	0



The table below shows the areas of non-compliance and the CQC assessment of the impact the non-compliance has (for practices providing NHS-funded services only)

Location		7 Safeguarding	8 Cleanliness and infection control	12 Requirements relating to workers	16 Assessing and monitoring the quality of service provision	17 Complaints	21 Records
Bracknell	Berks		Minor				
Amersham	Bucks				Minor	Minor	
Aylesbury	Bucks		Minor				
Aylesbury	Bucks	Minor					
High Wycombe	Bucks			Minor			
Princes Risborough	Bucks			Minor			
Abingdon	Oxon		Moderate		Minor		
Banbury	Oxon		Minor				
Banbury	Oxon		Minor				
Carterton	Oxon		Minor		Minor		
Didcot	Oxon						Minor
Botley	Oxon						Minor
Wheatley	Oxon		Moderate				
Wantage	Oxon		Minor				
Watlington	Oxon		Minor				

**See the table in section (i) for further details of practices.**

The following is a summary of the issues that led to the assessment of non-compliance:

Safeguarding	One practice's staff were not clear about how to respond to concerns of abuse and Were not aware of any documentation to guide them. In another, not all staff had received up to date training in child protection, safeguarding vulnerable adults or mental capacity act2005.
Cleanliness and Infection control	<p>One practice did not have a copyHealthTechnicalMemorandum01-05: Decontamination in primary care dental practices available.</p> <p>Threepracticesdidnothavewidespreadsystemstomaintainstandardsogeneral cleanliness and hygiene, including cleaning procedures and auditing of cleaning.</p> <p>In one practice, the inspectors found the clinical waste bin where sealed bags of waste were stored, was not locked. This was in a public car park.</p> <p>In one practice, a member of staff was not wearing gloves when bagging sterilized instruments. In another a member of staff did not use an apron when carrying out rinsing and preparation of instruments.</p> <p>In two practices, areas were seen where floors and furnishings were in need of proper maintenance in line with guidance.</p> <p>Legionella assessments had not been done within appropriate timescales in several practices.</p> <p>Severalversionsofaninfectioncontrolpolicywereavailableinonepractice.</p> <p>Insufficient audits of infection control were noted in one practice</p> <p>One practice did not have a clearly appointed infection controlled.</p> <p>Two practices had instrument packs without clear sterilization dates.</p>
Requirements Relating to workers	A practice's recruitment and selection processes did not include the full range of Required checks asperSchedule3 of the Health and Social Care Act 2008(Regulated Activities) Regulations 2010.Another had shortfalls in relation to gaining a full employment history and seeking criminal disclosure and barring checks before staff started work.
Assessing and Monitoring the quality of service provision	<p>In two practices, there were no mechanisms in place to gain patient feedback</p> <p>Other issues were related to lack of sufficient audits.</p>
Complaints	The practice did not bring the complaints procedure to the attention of patients.
Records	<p>Issues included records that could not be located promptly when needed.</p> <p>One practice's records were not all up to date, for instance the public liability notice displayed was out of date</p> <p>In one practice, patient records were held on open shelving behind the reception desk which was not lockable. Another practice kept records in an unlocked cabinet.</p>

### g) SeriousIncidents

There have been no serious incidents reported to the Area Team by dental practices in Thames Valley between April and November2013.

## h) Non-Serious Incidents

Only one incident has been reported to the Area Team since April 2013. This involved a mirror being inadvertently used on a patient that had been used for a previous patient. The practice sought advice from Public Health England. A consultant in Dental Public Health advised that no further action was required as the situation was low risk.

## i) Summary of concerns by practice

### Berkshire

Dental Practice	CQC Areas of non-compliance	Non-Serious Incidents Reported to Area Team Apr–Nov 13	Complaints received by NHS England Nov-Dec 13
Dental Centre Limited- Parkhouse, Bracknell	1 minor		
Shinfield Dental Practice, Reading			1 clinical
Thatcham Village Dental, Thatcham			1 clinical
Windsor Road Dental Practice, Slough			2 clinical

### Buckinghamshire

Dental Practice	CQC Areas of non-compliance	Non-Serious Incidents reported to Area Team Apr–Nov 13	Complaints received by NHSEngland Nov-Dec 13
Amersham Hill Dental Clinic, High Wycombe	1 minor		
Bourbon Street Dental Care, Aylesbury	1 minor		
Facial Aesthetics Dental Care Limited, Princes Risborough	1 minor		
HMP Grendon Dental Services, Aylesbury	1 minor		
Lindfield Dental Surgery, Amersham	2 minor		

### Oxfordshire

Dental Practice	CQC Areas of non-compliance	Non-Serious Incidents Reported to Area Team Apr–Nov 13	Complaints received by NHS England Nov-Dec 13
Banbury Dental Surgery, Banbury	1 minor		
Botley Dental Practice, Oxford	1 minor		
Ladygrove Dental Practice, Didcot	1 minor		
Oasis Dental Care Southern, Wantage	1 minor		
Orthoworld 2000, Banbury	1 minor		
Peachcroft Dental Practice, Abingdon	1 moderate 1 minor		
Studental, Oxford Brookes, Oxford			1 clinical
Tower Dental, Carterton	2 minor		
Watlington Dental Centre, Watlington	1 minor		
Westbridge Dental Practice, Oxford		1	
Wheatley Dental Practice, Wheatley	1 moderate		