**Supplementary/Ophthalmic List**

**Guidance to the Completion of a Notification of a Change of Status/**

**Personal Details Form**

This form should be completed by an Optometrist/Ophthalmic Medical Practitioner/Body Corporate who is already included on the Supplementary or Ophthalmic List of a Health Board in Wales and you wish to notify that Health Board of changes to a premise/mobile practice status or your personal details.

**Section A - Open New Premise/Mobile Practice/Relocate Existing Premise (Contractors and Bodies Corporate already included on the Health Board Ophthalmic List)**

Complete Section A if you or the Body Corporate is currently on the Health Board Ophthalmic List and you are opening additional premises in the Health Board area or you are relocating an existing premise within the Health Board area, giving the Health Board 3 months’ notice.

If you or the Body Corporate are not included on Ophthalmic List of the Health Board, you should apply to join, as per regulation 7 and Schedule 1A of the NHS (General Ophthalmic Services) Regulations. You can apply to join the list by downloading the application form from our website at [Apply for Inclusion in the Ophthalmic List (Corporate Opticians) - NHS Wales Shared Services Partnership](https://nwssp.nhs.wales/ourservices/primary-care-services/our-services/gwasanaethau-offthalmig/apply-for-inclusion-in-the-ophthalmic-list-corporate-opticians/). You should apply approximately 3 months before you wish to provide services.

You should also complete a Practice Inspection Self-Assessment Declaration form, which is available to download at (put link in to form on website).

You will also need to complete the following forms, which will be forwarded to you once you have submitted your completed Change of Status Form or Ophthalmic List application form:

* Bank Mandate.
* Nominated Authorised Signatory Form.

*Please note: Until all the checks have been satisfactorily completed and formal approval has been granted by the Health Board, you will not be eligible to provide GOS from the new premises.*

**Section B – Change Status from Supplementary List (SOL) to Ophthalmic List (OL) to Open a New Premise or Become the Contractor of an Existing Premise**

Complete Section B if you are currently on a Health Board Supplementary List but wish to become a Contractor (sole trader, partner, Mobile Service Provider) on the same Health Board’s Ophthalmic List, as you are buying a premise/mobile practice. Under Regulation 7(1A) you are required to notify the Health Board of your intension to “change status” from the Supplementary Ophthalmic List to the Ophthalmic List, giving 3 months’ notice.

If you are not included on the Supplementary Ophthalmic List of the Health Board, you should apply to join the Ophthalmic List of the Health Board, as per regulation 7 and Schedule 1A of NHS (General Ophthalmic Services) Regulations. You can apply to join the list by downloading the application form from our website at [Apply for Inclusion in the Ophthalmic & Supplementary Ophthalmic Lists - NHS Wales Shared Services Partnership](https://nwssp.nhs.wales/ourservices/primary-care-services/our-services/gwasanaethau-offthalmig/apply-for-inclusion-in-the-ophthalmic-supplementary-ophthalmic-lists/). You should apply approximately 3 months before you wish to provide services.

If your name was included in the Ophthalmic List prior to or on 1 February 2006, you will need to provide names and addresses of two referees who are willing to provide CLINICAL references relating to two recent posts (which may include any current post) as an optician/OMP which lasted at least three months without a significant break in the past two years. The referees should normally be representatives (Ophthalmic Optician or Consultants) of your last two clinical posts, where that employment lasted for a continuous period of at least three months. If this is not possible a full explanation must be given below. Referees must not be related to you. It is your responsibility to make sure that your referees are expecting to be contacted and are in a position to provide you with a reference.

You should also complete a Practice Inspection Self-Assessment Declaration form, which is available to download at (put link in to form on website).

You will also need to complete the following forms, which will be forwarded to you once you have submitted your completed Change of Status Form or Ophthalmic List application form:

* Bank Mandate.
* Nominated Authorised Signatory Form.

*Please be aware that until all the checks have been satisfactorily completed and formal approval by the Health Board has been granted, you will not be eligible to provide GOS from the new premises/provide mobile services.*

*If the premise is already included on the Ophthalmic list, but the status is changing to a Body Corporate (CO), please completed Section A. If the Body Corporate (CO) is not included on the Health Board Ophthalmic List, an application to apply as a Body Corporate will need to be completed by the Directors. The application form is available at:* [Apply for Inclusion in the Ophthalmic List (Corporate Opticians) - NHS Wales Shared Services Partnership](https://nwssp.nhs.wales/ourservices/primary-care-services/our-services/gwasanaethau-offthalmig/apply-for-inclusion-in-the-ophthalmic-list-corporate-opticians/)

**SECTION C – Selling or Closing a Premise/Mobile Practice**

Complete Section C if you are:

* selling;
* temporary closing;
* permanently closing a premise/mobile practice;
* you are currently on the Health Board Ophthalmic List as a Contractor but wish to become an assistant/locum on the same Health Board’s Supplementary List;
* you or the Body Corporate wish to voluntarily withdraw from the Health Board Ophthalmic List.

Please note that as a Contractor you have contractual obligation to notify the Primary Care Team at the Health Board if you ever intend on selling your premise/mobile practice, wish to temporarily close your premise/mobile practice or permanently close your premise/mobile practice, in line with the NHS (General Ophthalmic Services) Regulations.

**Permanent Closure of Premise/Mobile Practice**

Under paragraph 8 – “Withdrawal from Ophthalmic List”, of the NHS (General Ophthalmic Services) Regulations, if you intend on closing a premise/mobile practice permanently you should give notice to the Health Board that you wish to withdraw from the Ophthalmic List with 3 months notice, or a shorter period as the Health Board may agree. You should do this by completing this section of the Change of Status form (Section C).

Please note you will also be required to inform the Health Board of where your patients records will be kept, and give notice to your patients of this, as detailed below\*.

**Change of Ownership of a Premise/Mobile Practice**

If you are selling your premise/mobile practice, under paragraph 8 – “Withdrawal from Ophthalmic List”, of the NHS (General Ophthalmic Services) Regulations, you should give notice to the Health Board that you wish to withdraw from the Ophthalmic List with 3 months notice, or a shorter period as the Local Health Board may agree. You should do this by completing this section of the Change of Status form (Section C).

Please be aware that if you withdraw from the Ophthalmic List of the Health Board and are not included on the Ophthalmic List of another Health Board area or you are not included on the Supplementary Ophthalmic List of a Health Board area in Wales, you will be unable to provide GOS in Wales.

**Temporary Closure of Premise/Mobile Practice**

If you are temporarily closing your premise for refurbishment, you should notify the Health Board with 3 months’ notice, by completing Section C of the Change of Status form. As there will be change to your premises, you will also be required to complete a self assessment practice inspection document, which will be emailed to you on receipt of your change of status form. A practice inspection of the premises and equipment may also be required before approval is given to continue to provide services.

If you have any change or additional information that would affect your entry on the Ophthalmic List, such as opening hours, you should notify the Health Board within 14 days of any change, as per paragraph 7(2), of the NHS (General Ophthalmic Services) Regulations. You can do this by emailing nwssp-primarycareservices@wales.nhs.uk.

**Section D – Changing the Ownership Status of a Premise/Mobile Practice**

Complete Section D if you wish to change the registration status of a premise/mobile practice (i.e. sole trader to partnership/partnership to sole trader).

*Please be aware that until all the relevant checks have been satisfactorily completed, and you have been notified by NWSSP, your registration status on the Ophthalmic List will remain unchanged.*

*If the premise/mobile practice is changing to a Body Corporate which is already listed with the Health Board, please complete Section A. If the premise/mobile practice is changing to a Body Corporate which is not listed with the Health Board, an application to apply as a Body Corporate will need to be completed by the Directors. The application form is available at:* [Apply for Inclusion in the Ophthalmic List (Corporate Opticians) - NHS Wales Shared Services Partnership](https://nwssp.nhs.wales/ourservices/primary-care-services/our-services/gwasanaethau-offthalmig/apply-for-inclusion-in-the-ophthalmic-list-corporate-opticians/)

**Section E – Change of Personal Details**

Complete Section E if you wish to notify the Health Board of a change in your personal details.

*If you are notifying us that you have changed your name, please supply a copy of the relevant supporting documentation to verify the change. Please note that if you are changing your name, your GOC Registration details must be changed to reflect your new name before our records can be amended.*

**\*Responsibility for Patient Records and Notifying Patients**

Under paragraph 6, of Schedule 1, of the NHS (General Ophthalmic Services) Regulations, you should retain patient records (paper and electronic) for a period of 7 years and during that time should produce them when required to do so by the Health Board or Welsh Assembly Government, within 14 days of any request.

If you have closed or sold your premise(s)/mobile practice, it is legally enforceable that a proper record is still kept in respect of each patient to whom you provided services for a period of 7 years. You should therefore satisfy the Health Board that you have arrangements in place for these records to be accessed at all reasonable times, as per paragraph 6ZA (2) of Schedule 1, of the NHS (General Ophthalmic Services) Regulations, after you have closed or sold your premise(s)/mobile practice.

In the NHS Wales Records Management Code of Practice 2021, staff who are registered to a professional body, such as the General Optical Council (GOC), are required to adhere to record keeping standards defined by their registrant body. This is designed to guard against professional misconduct and to provide high quality care in line with the requirements of professional bodies.

Guidance from the College of Optometrists on record retention and disposal ([Patient records - College of Optometrists [college-optometrists.org]](https://www.college-optometrists.org/clinical-guidance/guidance/knowledge%2C-skills-and-performance/patient-records#Ownershipofpatientrecords)) should also be taken into consideration when closing or selling a premise/mobile practice. Their suggested length of time for retaining records are:

* Adult patients – 10 years after they were last seen, even if the patient has subsequently died.

Children and young people – 10 years after they were last seen or until the patient’s 25th birthday, if later. If the child or young person has died, keep the records for 10 years after they were last seen.

It should also be considered what should happen to electronic patient records that are stored with a third-party company. There should be arrangements in place for these to be accessible and for secure storage to continue until they are no longer required to be retained.

You can inform the Primary Care Team at the Health Board of who and how your records will be retained by providing the relevant details in Section C on the Change of Status form.

Please note that the patient is entitled to a copy of their records, however the original record must be kept securely as per the arrangements you have in place, as notified by you to the Health Board.

Further guidance on this may be available from your professional indemnity insurers eg ABDO, AOP, FODO.

If you have any queries in relation to completing this form, please contact the Contracts Management Department at NWSSP via nwssp-primarycareservices@wales.nhs.uk.