



Optometry Wales Guidance Document for the NHS Wales Quality For Optometry Template for 2025-26 submission (V4 December 2025).

With thanks to colleagues at FODO and AOP for working with Optometry Wales to create the guidance and for Quality in Optometry (England) for providing content and templates.

The NHS Wales Quality For Optometry Template Submission document is an excel document, which has a number of tabs at the bottom. Please ensure that you complete ALL tabs, before completing the declaration.

Example policy templates have been provided. Contractors may opt to review, amend with their practice details (highlighted in red text within the templates) and adopt these templates if they choose. Whilst you will not need to provide evidence of compliance when completing the NHS Wales Quality For Optometry Template submission (unless indicated), please be aware that you will need to provide this upon request by NHS Wales.

To access some of the links to documents, you will need to register to access the members-only section of the Optometry Wales website [here](#)

For any queries around this document, please contact administrator@optometrywales.com

Template Section: PRACTICE DETAILS	
Template Question	Optometry Wales Guidance
Practice Details	<p>Submission of the Quality For Optometry template to the Local Health Board is mandatory for every individual practice providing WGOS. For mobile-only practices, a submission is required for each Health Board where you provide WGOS. Practices submitting multiple submissions may find that some of the information submitted is the same for each individual submission.</p> <p>If the Contractor identifies any areas of non-compliance following completion of this toolkit, they must complete an action plan with timescales for improvement and implementation to be shared with the Health Board by 31st March 2026. Please see Declaration section on the final page of this document for further guidance.</p>

Template Section: SAFE	
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Template Question	Optometry Wales Guidance
Infection, Prevention & Control	
I confirm the premises, equipment and arrangements for infection control and decontamination meet the minimum national standards.	<p>Infection control information from Public Health Wales can be found here Guidance - Public Health Wales and here Infection Prevention & Control - Public Health Wales</p> <p>The College of Optometrists have advice on Infection Control: http://guidance.college-optometrists.org/guidance-contents/safety-and-quality-domain/infection-control/</p> <p>To achieve compliance</p> <p>A key to infection control is effective hand washing and drying procedures. Where frequent hand washing is impractical or undesirable, for example in a domiciliary setting, alcohol-based disinfectant hand gel is an acceptable alternative. Alcohol gel may not be required if there are adequate handwashing facilities, including antibacterial liquid soap, available.</p> <p>A running hot water supply for hand washing, liquid antibacterial soap and hand drying facilities, should be easily accessible to staff and patients in the practice. When new premises are under consideration NHS Wales are likely to insist that all consulting rooms contain wash basins and when re-fitting existing consulting rooms, those without wash basins should have them installed where it is reasonable to do so.</p> <p>Liquid soap available, paper towels in a wall-mounted dispenser available, alcohol gel or alternative anti-bacterial hand rub available, staff aware of good handwashing practice and advice on good handwashing practice is displayed near washbasins, suitable procedures in place for decontamination of hard surfaces, suitable procedures for decontamination of reusable equipment, appropriate storage, use and arrangements for disposal of disposable and single use items. No reuse of minims.</p> <p>A sample Infection Control Policy is available here: https://www.optometrywales.org.uk/wp-content/uploads/2024/12/1.-Infection-Control-Policy_HCAI-Reduction-Plan-.docx</p> <p> 1. Infection Control Policy_HCAI Reductio</p> <p>The Code of Practice for the Prevention and Control of HealthCare Associated Infections is found here https://www.gov.wales/sites/default/files/publications/2019-06/code-of-practice-for-the-prevention-and-control-of-healthcare-associated-infections.pdf</p> <p>A Public Health Wales poster around hand washing can be found here publichealthwales.nhs.wales/services-and-teams/healthy-working-wales/workplace-guidance/healthy-work-environments/infection-prevention-and-control/guidance-and-resources/handwashing-poster/</p> <p>HSE advice is found here: http://www.hse.gov.uk/legionnaires/</p>

Health and Safety including Fire Prevention

I confirm the practice meets the statutory requirements of the Health & Safety at Work Act and complies with the current Approved Code of Practice in Management of Health and Safety at Work Regulations.

Statutory requirements exist, making risk assessments in health and safety and COSHH, mandatory on all businesses. Practices should undertake risk assessments and manage perceived risks from this process. If you employ 5 or more people, then your risk assessment must be recorded in writing.

A risk management policy promotes clinical leadership and assures the quality of safety of clinical services for patients/service users. Any such policy should include all processes involved in identifying, assessing and judging risks, assigning ownership, taking actions to reduce risk occurring in the future, and monitoring and reviewing processes, with a named lead.

To achieve compliance

Undertake a risk assessment for your practice. For guidance on risk assessment see:

<http://www.hse.gov.uk/pubns/indg163.pdf>

For more information on statutory obligations on businesses go to the HSE website, where there are also links to interactive risk assessment tools:

<http://www.hse.gov.uk/risk/index.htm>

Contractors should have a policy on Health and Safety.

A sample is available here: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/2.-Health-and-Safety-Policy-.docx>



2. Health and Safety Policy .docx

(Reporting Injuries Diseases and Dangerous Occurrences Act 1995):

Under the Reporting Injuries Diseases and Dangerous Occurrences Act 1995, employers, the self-employed and those in control of premises must record and report specified workplace incidents. It is good practice to maintain an accident book for this purpose.

To achieve compliance

Guidance on RIDDOR is available on the HSE website:

<http://www.hse.gov.uk/riddor/>

(First Aid Regulations 1981)

The Health and Safety (First Aid) Regulations 1981 require you to provide adequate and appropriate equipment, facilities and personnel to enable first aid to be given to your employees if they are injured or become ill at work.

(Social Security (Claims and Payments) Regulations 1979) (required if 10 or more employees, best practice for smaller organisations)

The Health and Safety (First Aid) Regulations 1981 require you to provide adequate and appropriate equipment, facilities and personnel to enable first aid to be given to your employees if they are injured or become ill at work. What is adequate and appropriate will depend on the circumstances in your workplace and you should assess what your first aid needs are.

To achieve compliance

The minimum first-aid provision on any work site is a clearly signposted (including as part of inductions) a suitably stocked first-aid box and an appointed person to take charge of first-aid arrangements.

HSE guidance suggests that for an enterprise like an office or shop (or by analogy an optical practice) with low hazard levels and fewer than 25 employees only an appointed person rather than a trained first aider is required.

A guidance leaflet on health and safety at work is available from the HSE website:

<http://www.hse.gov.uk/pubns/indg214.pdf>

Additional guidance is available in the first aid section of the HSE website:

<http://www.hse.gov.uk/firstaid/>

(Electricity at Work Regulations 1989)

The law requires employers to assess risks and take appropriate action. This includes portable and fixed electrical appliances.

To achieve compliance

HSE's advice is that for most office electrical equipment, visual checks for obvious signs of damage and perhaps simple tests by a competent member of staff are sufficient:

[Maintaining portable electrical equipment in low-risk environments \(INDG236\(rev2\)\)](#) and

[Maintaining electrical equipment safety - Electrical safety](#)

Portable appliance testing (PAT) is one means of demonstrating compliance:

<http://www.hse.gov.uk/pubns/indg236.pdf>

Fixed electrical installations (lighting, air conditioning, electric ovens etc) should be tested often enough that there is little chance of deterioration leading to danger. Any part of an installation that has become obviously defective between tests should be de-energised until the fault can be fixed. You should have your electrical installation inspected and tested by a person who has the competence to do so. i.e. an electrician.

<http://www.hse.gov.uk/electricity/faq.htm#a8>

(Electricity at Work regulations 1989)

The law requires employers to assess risks and take appropriate action. This includes portable and fixed electrical appliances.

To achieve compliance

HSE's advice is that for most office electrical equipment, visual checks for obvious signs of damage and perhaps simple tests by a competent member of staff are quite sufficient:

[Maintaining portable electrical equipment in low-risk environments \(INDG236\(rev2\)\)](#) and
[Maintaining electrical equipment safety - Electrical safety](#)

Portable appliance testing (PAT) is one means of demonstrating compliance:

<http://www.hse.gov.uk/pubns/indg236.pdf>

Fixed electrical installations (lighting, air conditioning, electric ovens etc) should be tested often enough that there is little chance of deterioration leading to danger. Any part of an installation that has become obviously defective between tests should be de-energised until the fault can be fixed. You should have your electrical installation inspected and tested by a person who has the competence to do so. i.e. an electrician.

<http://www.hse.gov.uk/electricity/faq.htm#a8>

To achieve compliance

If you have staff who work alone, or who are ever alone in the practice or are isolated in a part of the practice, you should have procedures in place for their safety and security including a written lone working policy of which all staff are aware.

You may wish to install an alarm in any vulnerable places and keep records of any incidents (a bit like an accident book) to identify any areas of risk for lone working.

For more information on lone working and the safety of employees who work alone visit the Health and Safety Executive website:

[Lone working - HSE](#)

Lone worker guidance aimed primarily at domiciliary providers is available here: [DOMICILIARY EYE CARE - fodo.com](#)

ABDO, AOP and FODO (previously the Optical Confederation) have joint Domiciliary Lone Working guidance here:

<https://www.optometrywales.org.uk/wp-content/uploads/2024/12/3.-TEMPLATE-Lone-Worker-Policy.docx>



3. TEMPLATE Lone
Worker Policy.docx

Does the
Practice have
a lone working
policy that staff
are aware of
and is in use?

Does the
Practice have
a Chaperone
policy that staff
are aware of
and is in use?

Practices have safeguarding duties towards staff as well as patients, including against false allegation which is why it is important to have a clear written chaperone policy known to all staff. NHS Wales may have sent optical practices details of chaperone policies for dealing with vulnerable patients, including children. Alternatively, you may prefer to adopt one of the policies developed for optometry by the profession.

A sample is available here: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/4-TEMPLATE-Chaperone-Policy.docx>



4 TEMPLATE -
Chaperone Policy.doc

To achieve compliance

Contractors should ensure that their written chaperone policy is available to all staff in the practice.

The ABDO, AOP and FODO (previously Optical Confederation) model policy for the profession can be downloaded here:
<https://www.optometrywales.org.uk/wp-content/uploads/2024/12/4-TEMPLATE-Chaperone-Policy.docx>



4 TEMPLATE -
Chaperone Policy.doc

For this site
does the
practice have
policies/proced
ures in place in
respect of fire
safety
management?
Including
records of risk
assessments,
fire alarm
drills, staff
training,
emergency
lighting,
firefighting
equipment,
action plans,
fire safety
maintenance
records etc?
And is it up to
date?
(Records are

To achieve compliance

Advice regarding what you need to do to meet your legal duties is found here [Fire Safety guidance for businesses and workplaces | GOV.WALES](#)

The guidance includes a [Fire Risk Assessment Checklist](#) for completion.

required by enforcing authorities when carrying out a fire safety audit)	
Has a Fire Risk Assessment been completed for these premises?	<p>To achieve compliance</p> <p>Advice regarding what you need to do to meet your legal duties is found here Fire Safety guidance for businesses and workplaces GOV.WALES</p> <p>The guidance includes a Fire Risk Assessment Checklist for completion.</p>
If 'Yes' what date was the assessment completed?	
If 'Yes' please provide a copy of the assessment along with the QfO return	
If 'Yes' please provide a copy of the evacuation plans/procedures/staff training	
If 'Yes' please provide Details of fire alarm & detection system – including testing	<p>It is worth having the Fire Brigade or other competent fire safety authority complete a fire safety visit if you have not had one for some time. Fire alarms (and sprinkler systems where these are in place), and that fire extinguishers are charged and ready to use, should be checked regularly by a fire safety professional.</p>

records/maintenance records.	
If 'Yes' please provide Details of emergency lighting – including testing records/maintenance.	
Information Governance	
Date of completion of the Welsh Information Governance Toolkit	<p>As part of the contract negotiations for 2025/26 and in line with the requirements on other primary care contractors, all optometry practices are required to submit the Welsh Information Governance (IG) Toolkit by 31 March 2026</p> <p>Details of the toolkit and resources can be found: Welsh Information Governance Toolkit - Digital Health and Care Wales (Useful additional information)</p> <p>IG Toolkit queries email to WelshIGToolkit@wales.nhs.uk</p> <p>Welsh IG Toolkit Caforb Platform - IG Login - Caforb (nhs.wales)</p> <p>The Parent and Child Form</p> <p>The Welsh Information Governance Toolkit has the ability to create an action plan, within each section of the form at the bottom is the action plan section this opens so that individuals can record actions/notes against each quarter (screen shots below) - These sections are optional for use but once complete the organisation can produce an Information Governance action plan report which shows all actions.</p> <p>Information bitesize videos are available on the IG toolkit resources page: Welsh IG Toolkit Bitesize Videos - Digital Health and Care Wales</p>

Welsh Information Governance Toolkit Optometry Parent (Demo)



✓ Form ready.

Close Form

Submit...

Alerts

Current Progress Report

Action Plan Report...

Dashboard

Accountability

Leadership and Oversight

Policies and Procedures

Training and Awareness

Individuals Rights

Records of Processing and Lawful Basis

Contracts and Information Sharing

Risks and Data Protection Impact Assessments (DPIAs)

Breach Response and Monitoring

Freedom of Information (FOI) and Environmental Information (EIR)

Leadership and Oversight

Why is this important?

"A fundamental building block of accountability is strong leadership and oversight. This includes making sure that staff have clear responsibilities for data protection-related activities at a strategic and operational level. Some organisations legally require a DPO; but everyone must allocate sufficient resources and make sure that data protection is a shared responsibility, rather than solely the task of someone working directly in a data protection role. You make senior management and the board accountable, and they must lead by example to promote the organised, proactive and positive approach to data protection that underpins everything else."

Minimum Expectations

0%

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Expectations Exceeded

0%

Minimum Expectations not met

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

IG Action Plan

Inserting your priorities will enable you to generate your IG Action Plan.

*

I confirm that all answers provided and evidence uploaded is accurate and up to date

← Previous Next →

IG Action Plan

Inserting your priorities will enable you to generate your IG Action Plan.

Quarter 1	Quarter 2	Quarter 3	Quarter 4
Priority One (Q1)	Priority One (Q2)	Priority One (Q3)	Priority One (Q4)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Priority Two (Q1)	Priority Two (Q2)	Priority Two (Q3)	Priority Two (Q4)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Priority Three (Q1)	Priority Three (Q2)	Priority Three (Q3)	Priority Three (Q4)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Notepad			
<input type="text"/>			

DPO SERVICE

Under the UK GDPR, there is a duty for organisations who process special categories of data to appoint a Data Protection Officer. See the [ICO Guide to Data Protection Officers](#).

Digital Health and Care Wales Information Governance Team now offer a subscription-based Information Governance (IG) Data Protection Officer (DPO) Support Service for General Medical Practitioners (GMPs), Community Pharmacies (CPs) and Optometry Practices throughout Wales.

The aim of the service is to support GMPs, CPs and Optometry Practices across Wales in discharging their Information Governance and Data Protection responsibilities, in compliance with legislation and national standards, whilst establishing an All Wales approach.

	<p>To find out more, click here</p> <p>The DPO service (as detailed in the OW webinar on 22 October) will also provide significant support to practices to complete the IG toolkit. The details of payments and sign-up forms etc can all be found on the above link.</p>
<p>Employment Checks and Indemnity</p> <p>I confirm the practice ensures that all healthcare professionals providing primary eye care services on behalf of the practice are currently registered with the relevant professional body on the appropriate part(s) of its Register(s) and that any practitioner is a member of a recognised medical defence organisation and registered on the appropriate health boards ophthalmic or</p>	<p>To achieve compliance</p> <p>Practices should check registration details of all professional staff, including locums, at the start of their engagement and at regular intervals (e.g. annually) by checking registration details in April on the GOC website or on the GMC website for OMPs.</p> <p>Keep a printout of the webpage as evidence.</p> <p>Check details on the GOC website: http://www.optical.org/en/utilities/online-registers.cfm</p> <p>Check details of OMPs on the GMC website: http://www.gmc-uk.org/register/search/index.asp</p> <p>To achieve compliance</p> <p>Contractors can check the NHS Wales Performers' website to ensure Performers are on the list: Ophthalmic and Supplementary Ophthalmic List Search - NHS Wales Shared Services Partnership</p> <p>Contractors may wish to perform this check at the same time as checking registration. Contractors should be aware that NHS Wales might require a retest or reclaim monies paid for WGOS performed by an unlisted or unregistered practitioner.</p> <p>It is advisable to print the confirmation of listing from the website and file it.</p>

supplementary list.	
I confirm all professionals working in the practice are covered by appropriate indemnity insurance.	If the performer is not covered by the contractor's professional malpractice insurance, you should ask to see evidence of their own professional malpractice (indemnity) insurance and check this annually for employees or on engagement for locums. It is a legal requirement for performers to be covered by malpractice insurance and they are required to show evidence of this when renewing their registration with the GOC in March each year. Locums who specified a company insurance for GOC registration purposes may not be covered for work outside that company.
I confirm the practice complies with current legislation on employment rights and discrimination.	Information can be found here: Employment Act 2002 Workplace rights and responsibilities GOV.WALES Employment law advice for optometrists
I confirm all staff have written terms and conditions of employment conforming to or exceeding the statutory minimum.	Guidance can be obtained from your professional membership bodies e.g. FODO, AOP.
I confirm all staff have employment checks and references.	<p>It is good practice to have a written procedure/system and use a proforma for obtaining or verifying a reference for any employee or locum. This question requires a yes or no answer. If you are a small practice and/or rarely have changes of professional staff (or otherwise feel that this question doesn't apply to you) then ask yourself what you would do if the situation did arise at some point in the future; as a contractor you would then be under an obligation to check.</p> <p>On the basis of that determination answer either Yes or No.</p> <p>To achieve compliance</p> <p>Use a proforma to verify references for any employees or locums.</p> <p>A sample proforma is available here: https://www.optometrywales.org.uk/wp-content/uploads/2024/12/10.-Clinical-Reference-Proforma.doc</p>



An additional resource, not necessary for compliance, but with a wealth of information for employers, can be found here:
[Employing people - GOV.UK](https://www.gov.uk/government/collections/employing-people)

I confirm the practice has current Employers liability cover. (Employers Liability [Compulsory Insurance] Act 1969)	<p>(Employers Liability (Compulsory Insurance) Act 1969) By law employers, including optical practices, must have Employers Liability Insurance to insure themselves against liability for injury or disease sustained by employees in the course of employment. There is also a statutory requirement to display a valid certificate where it can be seen by employees.</p> <p>To achieve compliance You must hold insurance provided by an authorised insurance company and be insured for a minimum of £5 million per annum [in one occurrence or in aggregate] You are also required to display a copy of the certificate of insurance where your employees can easily read it. You may display the certificate electronically if you wish but you must ensure your employees know how and where to find it and have reasonable access to it. Contractors should have their insurance certificate available for inspection by NHS Wales</p>
I confirm the practice has current Public Liability cover.	<p>Public liability insurance covers claims made by members of the public in respect of injury or loss sustained (other than through professional negligence) because of visits to the premises. It would also cover claims arising from someone who was injured in the vicinity of your premises, for example, a roof tile falling on a passer-by.</p> <p>To achieve compliance Practices should ensure they have adequate insurance cover. Although not a statutory requirement (as with Employers Liability Insurance) it is important for a practice to have public liability insurance. Unlike Employers Liability Insurance there is no specific requirement to display a certificate, but contractors may need to have it available for inspection by NHS Wales.</p>
Statutory and Mandatory Training Compliance	
I confirm all staff up to date with their statutory and mandatory training.	<p>To achieve compliance: All practice staff members (including new starters) prior to providing/supporting WGOS must have completed the HEIW Optometry Improving Quality Together Foundations e-learning package as part of their mandatory WGOS training. https://www.nhs.wales/sa/eye-care-wales/eye-care-docs/eng-wgos-newsletter/wgos-newsletter-4-pdf/</p>

How is this documented?	Practice staff members can download and print off confirmation of e-learning completion through the HEIW website. Contractors can either store these certificates or can record the date of completion from the documents.
Compliance and National Safety Alerts	
I confirm the practice has a process in place to ensure that all national safety alerts are actioned appropriately.	<p>NHS Wales Shared Services Partnership (NWSSP) maintain a Safety Alert Broadcast System (SABS). NHS Wales Shared Services Partnership should ensure that optical practices are included in the appropriate circulation of relevant patient safety notices, alerts and related communications and that they are aware of how to acknowledge them. Practices should ensure that practice NHS email addresses are accessed regularly as this will be the means of communication from NWSSP to practices from 1st January 2025.</p> <p>To achieve compliance</p> <p>Contractors should ensure that any appropriate action has been taken in response to the SAB. To complete the information loop correctly it is helpful if each recipient sends an acknowledgement that the alert has been received and any appropriate action has been taken; it is also helpful if this could be done by a named individual within the practice. Contractors should ensure that staff opening mail, report these alerts to the contractor straight away. It would be helpful to have a documented process that involves the filing of MHRA and other safety alerts and details of action taken.</p> <p>Further information available from the MHRA Website:</p> <p>http://www.mhra.gov.uk/Publications/Safetywarnings/MedicalDeviceAlerts/index.htm</p>
Safeguarding	
I confirm the practice has a policy for consent to the treatment of children that conforms to the current Children's Act or equivalent legislation.	<p>Example Safeguarding Policy: https://www.optometrywales.org.uk/wp-content/uploads/2024/12/11.-Example-LOCSU-Safeguarding-Policy-2023.docx</p> <p> 6. Example LOCSU Safeguarding Policy 2</p> <p>Further information can be found here:</p> <p>Capacity to consent – children and young people - College of Optometrists Children and young people with the capacity to consent - College of Optometrists Children and young people who lack the capacity to consent - College of Optometrists Disclosing information about children or young people without their consent - College of Optometrists Children and young people - College of Optometrists Disclosing information about children - College of Optometrists</p>

For information on Gillick competency and data access in children see the College Guideline (C55-C60) <http://guidance.college-optometrists.org/guidance-contents/communication-partnership-and-teamwork-domain/consent/children-and-young-people-with-the-capacity-to-consent/>

and more generally on consent (C20-C60):

<http://guidance.college-optometrists.org/guidance-contents/communication-partnership-and-teamwork-domain/consent/>

Individual healthcare professionals should be able to demonstrate that they comply with the national safeguarding guidance, and should provide at least one critical event analysis regarding concerns about vulnerable person's welfare if appropriate.

Further information can be found here [Safeguarding guidance | GOV.WALES](#)

Example Safeguarding Policy can be found here: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/11.-Example-LOCSU-Safeguarding-Policy-2023.docx> If using the Example Safeguarding Policy, Contractors should update the document in line with their local safeguarding agency contacts. If you are unsure of your local safeguarding agency contacts, you should contact your local health board for further information.



6. Example LOCSU
Safeguarding Policy 2

I confirm all staff providing clinical services to patients have received an

Disclosure and Barring Service (DBS) checks (enhanced level disclosure) are required by NHS Wales for
(1) Optometrists when applying to join the Ophthalmic and
(2) Dispensing Opticians when applying to provide WGOS2 and/or WGOS3.

DBS checks for non-clinical staff is considered good practice but is not a mandatory requirement.

Enhanced Disclosure and Barring Service (DBS) check.	<p>There is no requirement under NHS Wales for non-clinical staff to have a DBS check and this is not currently funded by NHS Wales (unlike for clinical staff).</p>
Have all non-clinical staff received a Standard Disclosure and Barring Service (DBS) check?	<p>Disclosure and Barring Service (DBS) checks (enhanced level disclosure) are required by NHS Wales for</p> <ol style="list-style-type: none"> (1) Optometrists when applying to join the Ophthalmic List and (2) Dispensing Opticians when applying to provide WGOS2 and/or WGOS3. <p>Standard DBS checks would normally depend on provider's HR policy and role e.g. staff with significant financial responsibilities to check for convictions of fraud or embezzlement.</p> <p>DBS checks for non-clinical staff is considered good practice but is not a mandatory requirement.</p> <p>There is no requirement under NHS Wales for non-clinical staff to have a DBS check and this is not currently funded by NHS Wales (unlike for clinical staff). Contractors should consider all staff deemed as appropriate (e.g. will be in patient facing roles that could see them in a room alone with the patient) to have a Standard DBS check completed.</p>
I confirm all practice staff received an appropriate level* of Safeguarding Children and adults training. (*appropriate level)	<p>The WGOS1&2 clinical manual refresh states (page 35) nhs.wales/sa/eye-care-wales/eye-care-docs/wgos-manuals-changes-summary/wgos-1-and-2-service-manual/</p> <p><i>“W.16.1.1 Safeguarding</i></p> <p><i>Safeguarding children and adults at risk (also sometimes referred to as vulnerable adults) is a professional duty for registered optical practitioners and Practices, in the same way as it is for all other health and social care practitioners and providers. Contractors must have a process for staff to report any safeguarding concerns. Contractors should ensure that all staff are familiar with what to do if they suspect or observe signs or symptoms of suspected abuse, neglect or radicalisation. All WGOS performers must complete level two adult and child safeguarding training every 3 years. This will be captured as part of Quality for Optometry. It is considered good Practice to ensure that all other Practice staff have completed appropriate training on safeguarding”.</i></p> <p>Guidance from the Optical Confederation can be found here: oc-safeguarding-guidance-august-2019-update.docx</p> <p>ABDO, AOP and FODO (previously the Optical Confederation) guidance states:</p> <p>Safeguarding Training for Optometrists and Opticians</p> <p>All optometrists, contact lens and dispensing opticians should complete safeguarding training to Level 2 of the Intercollegiate Safeguarding Guidance for Adults (2018) and children (2019). They should then receive refresher training equivalent to a minimum of 3-4 hours at least every three years.</p> <p>Practices should incorporate these requirements into CPD planning and annual appraisal</p>

systems.

Safeguarding Training for Other Practice Staff

All non-registered practice staff should complete safeguarding training to Level 1 of the Intercollegiate Safeguarding Guidance for Adults (2018) and children (2019).

This can be achieved by all non-registered staff studying the ABDO, AOP and FODO (previously the Optical Confederation) guidance, discussing anything

they do not understand or any concerns they have with their manager, senior professional or designated staff member (see page 2, section 2) and signing to acknowledge they have read and understood the contents and know what steps to take should a situation arise with regard to safeguarding or Prevent. A template form for this is at Annex 6 [oc-safeguarding-guidance-august-2019-update.docx](#)

Practices should file and retain staff forms for reference purposes. Refresher training should be undertaken every three years.

Studying this guidance and discussing any points that are unclear with a manager is sufficient to meet level 1 requirements of the Intercollegiate Guidance for Adults (2018) and children (2019).

Optometrists can access free online safeguarding training from the College of Optometrists [docet : Search results](#) Dispensing Opticians can access free online safeguarding training from ABDO (for ABDO members) or from HEIW.

Template Section: TIMELY	
Template Question	Optometry Wales Guidance
Access to Services	<p>For fixed premises also providing mobile WGOS, you may wish to duplicate the section for Core Hours and indicate your fixed premises WGOS Core Hours and your mobile services WGOS Core Hours. For mobile-only Practices, a submission is required for each Health Board where you provide WGOS. Practices submitting multiple submissions may find that some of the information provided is the same for each individual submission.</p> <p>Opening Hours – these are the hours that you have notified to the local health board that your practice is open to the public (WGOS services may not be available throughout 100% of this time)</p> <p>Core Hours – these are the hours that you have provided to the local health board to state when you routinely provide WGOS 1 and 2 services. Do not use this spreadsheet to notify changes of core hours to the LHB.</p>

Template Section: EFFECTIVE	
Template Question	Optometry Wales Guidance
Quality Improvement Skills Training - Foundations in Improvement	
I confirm all practice managers and employees involved in the provision of NHS GOS Wales completed the Improving Quality Together bronze level (IQT bronze) e-learning package. This must include anyone who works at least one day in the practice.	<p>To achieve compliance: All practice staff members (including new starters) prior to providing/supporting WGOS must have completed the HEIW Optometry Improving Quality Together Foundations e-learning package as part of their mandatory WGOS training. More details can be found in the NWSSP newsletter https://www.nhs.wales/sa/eye-care-wales/eye-care-docs/eng-wgos-newsletter/wgos-newsletter-4-pdf/ Practice staff members can download/print off confirmation of e-learning completion through the HEIW website.</p>
Has anyone in the practice completed a Silver/ improvement in practice QI	<p>This is not mandatory, but this positive offer is available to Practices https://heiw.nhs.wales/support/quality-improvement-skills-training-qist/</p> <p>Further information can be obtained from HEIW on heiw.optometry@wales.nhs.uk</p>

<p>project? If yes, please state the date of the project completion, the title of the project and the names of the staff members involved in it.</p>	
<p>Would your practice like to do a funded Silver/ improvement in practice QI project?</p>	<p>This is not mandatory, but this positive offer is available to Practices https://heiw.nhs.wales/support/quality-improvement-skills-training-qist/ Further information can be obtained from HEIW on heiw.optometry@wales.nhs.uk</p>
<p>Record Keeping</p>	
<p>What types of records are held in the Practice e.g. paper/electronic /both?</p>	<p>Please indicate what type of patient records are held in the Practice</p>
<p>Please confirm the name of the practice management system that is in use.</p>	<p>Practice management systems = patient electronic record systems</p>
<p>If a mix of paper and electronic records, please confirm what is kept electronically.</p>	<p>For example, a Practice may use an electronic practice management system as a diary management system but use paper patient clinical records.</p>

Patient record cards should be always stored safely and inaccessible to anyone other than practice staff. Example Data Security and Protection Policy can be found here: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/6.-TEMPLATE-Data-Security-and-Protection-Policy.docx>



7. TEMPLATE Data
Security and Protection

How are the
paper/electronic
records stored
within the
practice?

To achieve compliance

Records should not be shown, copied or given to other parties, unless this is clearly in the patient's interest, or they give explicit consent. However, the patient may request copies of their record cards. Practices may make a small administration charge to cover the cost of copying only.

Patient record cards and filing cabinets in public areas of the practice should be capable of being secured or should not be left unmonitored during opening hours. The alternative is to store records in a non-public area of the practice. Out of hours they should be kept in a locked environment, e.g. locked practice premises.

Records that are stored electronically should be regularly backed up and it is sensible to keep a backup offsite. Online backup is increasingly popular, but you should ensure that the service you use encrypts the data securely (e.g. 128 bit SSL or better) before transmitting it from your PC.

The College has guidance on confidentiality <http://guidance.college-optometrists.org/guidance-contents/communication-partnership-and-teamwork-domain/confidentiality/>

I confirm patient
records are
securely stored.
If electronic, are
backups made
regularly and
kept separately
and securely?
(52)

Patient record cards should be stored safely and inaccessible to anyone other than practice staff at all times.

Example Data Security and Protection Policy can be found here: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/6.-TEMPLATE-Data-Security-and-Protection-Policy.docx>



7. TEMPLATE Data
Security and Protection

To achieve compliance

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Records that are stored electronically should be regularly backed up and it is sensible to keep a backup offsite. Online backup is increasingly popular, but you should ensure that the service you use encrypts the data securely (e.g. 128 bit SSL or better) before transmitting it from your PC.

	<p>The College has guidance on confidentiality http://guidance.college-optometrists.org/guidance-contents/communication-partnership-and-teamwork-domain/confidentiality/</p>
What processes does the practice have in place to provide an assurance that they are compliant with WGOS Regulations on the retention of records?	<p>GOS regulations require that records are retained for 7 years, however the professional bodies recommend a longer period. Example Data Policy can be found here: https://www.optometrywales.org.uk/wp-content/uploads/2024/12/12.-Information-Governance-Data-Management-Policy-May-2018.docx</p> <p> 8. Information Governance Data Management</p> <p>To achieve compliance</p> <p>Advice on the length of time to retain records can be found at:</p> <p>http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/patient-records/ (A32) and https://www.aop.org.uk/advice-and-support/legal/common-legal-questions</p> <p>Contractor is aware of professional recommendations to keep records for longer (i.e. adults and deceased patients for 10 years; children to 25th birthday)</p>
How does the practice securely dispose of confidential information?	<p>To achieve compliance</p> <p>Advice on the length of time to retain records can be found at:</p> <p>http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/patient-records/ (A32) and https://www.aop.org.uk/advice-and-support/legal/common-legal-questions</p> <p>When disposing of paper records they should be destroyed, e.g. by shredding. Practitioners are reminded that simply deleting files on a hard drive may not actually remove them. Redundant hard drives that may contain patient data should be securely erased or physically destroyed.</p>
Clinical Audit	
Please give the title of the last clinical audit undertaken along with the date of completion?	<p>Clinical governance is an umbrella term for activities that help to maintain and improve standards of patient care, ensuring increased quality and consistency of services to patients. Information can be found around the different elements of clinical governance https://www.college-optometrists.org/clinical-guidance/supplementary-guidance/clinical-governance-in-optometric-practice</p> <p>To achieve compliance:</p> <p>Completion of the NHS Wales Quality for Optometry Requirements is contractual. There are several mandatory elements: Contractors should check and confirm that:</p> <ol style="list-style-type: none"> 1. All practice managers and employees involved in the provision of NHS WGOS will have completed the Optometry Improving Quality Together Foundations e-learning package as part of their mandatory WGOS training. This includes all new starters. 2. Complete the Quality improvement and governance self – assessment toolkit.

3. The relevant staff members (as stipulated by NHS Wales) have completed the Service Insight/s that have been released.

Contractors should confirm that they have a nominated clinical governance lead (which may be the Contractor) who ensures embedding of clinical governance.

Keeping full, accurate and contemporaneous records is not only a requirement of WGOS and GOC standards but forms an essential part of good patient care and your legal defence.

The WGOS Clinical Manuals are found here [WGOS Manuals - NHS Wales](https://www.optometrywales.org.uk/wgos-manuals-nhs-wales)

To achieve compliance

NHS Wales will wish to satisfy itself that the Practice is keeping full, accurate and contemporaneous records. One way to provide evidence that this is being done is to show that the contractor is regularly auditing their performers' clinical records.

A sample proforma and guidance for auditing the list of items can be found here: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/7.-GOS-Record-Audit-Guidance.pdf>



9.-GOS-Record-Audit
-Guidance.pdf

The proforma is also available as a spreadsheet which you may find is an easier way of completing such audits:

For Excel 2007: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/8.-Record-Audit-for-2007.xlsx>



10. Record Audit for
2007.xlsx

For Excel 97-2003: <https://www.optometrywales.org.uk/wp-content/uploads/2024/12/9.-Record-Audit-for-97-2003.xls>



11. Record Audit for
97-2003.xls

(some browsers download this as a zip file. In this case simply change the file extension from .zip to .xlsx when you save the file)

This section requires evidence that an item is being recorded but is not about the clinical process itself. Similarly to Post Payment Verification, the question is whether something is recorded regarding a procedure, not how well and how thoroughly that procedure was carried out in the consulting room. Many contractors are not optometrists and so cannot be asked to make clinical judgements on the performance of their performers.

This is a basic list of items that can appear on records and is not intended to be an exhaustive list of items. Practitioners are reminded good records, rather than basic ones, are often vital to defence in cases of complaint.

Example template for a Practice WGOS3 audit is available here:



12. WGOS3 Record
Audit.xlsx

The College of Optometrists provide advice on record keeping:

[Patient records - College of Optometrists](#)

<http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/the-routine-eye-examination/>

Optometry Today has information on record keeping:

Staying out of trouble:

<https://www.aop.org.uk/ot/professional-support/clinical-and-regulatory/2015/11/10/staying-out-of-trouble>

The AOP sight test guide lists the procedures involved in a standard sight test:

<https://www.aop.org.uk/advice-and-support/regulation/england/sight-test-guide-in-england>

DOCET can be contacted for information on record keeping:

<https://docet.info/>

Ensure you meet your statutory obligations. Further information can be obtained from the AOP website:

<https://www.aop.org.uk/advice-and-support/business/business-regulations>

<https://www.aop.org.uk/advice-and-support/legal/patient-confidentiality>

or direct from the Information Commissioners office: <http://www.ico.org.uk/>

Equipment offer	
I confirm all equipment meets the minimum requirements as detailed in appropriate WGOS clinical manuals or other statutory requirements.	The WGOS clinical manuals can be found on the Eye Care Wales website WGOS Manuals - NHS Wales

Template Section: EFFICIENT	
Template Question	Optometry Wales Guidance
Referral & Notifications	
Please describe the process that you have in place for inter practice referrals for all WGOS pathways?	<p>When referring a patient through the appropriate care pathway an optometrist must adhere to the GOC rules relating to injury or disease of the eye. It is the duty of all optometrists to ensure that they understand and comply with the GOC rules.</p> <p>To achieve compliance</p> <p>Contractors should ensure that their performers and support staff are aware of the process for inter practice referrals (referrals from one practice to another) for all WGOS pathways which includes emergency routes for referral and local referral protocols in their health board areas. Contractors should describe how all staff (including locums) are made aware of how to make inter-practice referrals and state what are the processes for WGOS3, WGOS4 and WGOS5 inter-practice referrals when required. Whilst it may be that practices usually make intra-practice referrals (referrals within the same practice) to in-house WGOS3,4 and 5 services, practices should still state what is their contingency processes if staff members are absent and an inter practice referral is required. The national protocols for inter practice referrals for all WGOS pathways can be found in the WGOS clinical manuals here https://www.nhs.wales/sa/eye-care-wales/wgos/eye-health-professional/wgos-manuals/</p> <p>Practices should contact their local health board if they require further clarification around local referral guidelines.</p> <p>Unless there are locally agreed health board variations, for urgent inter-practice referrals, a phone call would be made to the receiving practice in order to confirm they can accept the referral. A referral would then be sent electronically using secure NHS email (as all practices have now been offered a practice NHS email address)</p> <p>Ensure that all practitioners working in the practice understand the regulatory requirements and their obligations in relation to the referral of patients. This could be evidenced by the contractor producing information on local referral protocols received</p>

from NHS Wales. Optometry Wales also host local referral protocols for all Health Boards on the members-only section of their website. Register here to access <https://www.optometrywales.org.uk/new-members-register/>

The College of Optometrists guidelines on emergency patient care should be used to inform the decision making process: <http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/examining-patients-who-present-as-an-emergency/>

The College also has guidance on the urgency of referrals:

[Annex 4 Urgency of referrals table - College of Optometrists](#)

The urgency of a referral must be indicated when the referral is made to a triage or referral centre.

There is specific guidance on dealing with flashes and floaters: <http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/examining-patients-who-present-with-flashes-and-floaters/>

and on measuring intra-ocular pressure in relation to NICE guidance on glaucoma: <http://www.college-optometrists.org/en/utilities/document-summary.cfm/docid/B7251E0C-2436-455A-B15F1E43B6594206>

There should be information at every practice to ensure that locums and other staff are aware of local contact details and procedures for referral of patients with ocular conditions requiring emergency care. This should be in a fixed and accessible location.

When referring a patient through the appropriate care pathway an optometrist must adhere to the GOC rules relating to injury or disease of the eye. It is the duty of all optometrists to ensure that they understand and comply with the GOC rules.

To achieve compliance

Contractors should ensure that their performers and support staff are aware of the local WGOS4 referral protocols in their health board areas. Where WGOS4 pathways are not yet live in the health board, Contractors may wish to state how they would relay the practice process to their performers and support staff once in receipt of the local WGOS4 pathway referral information from the local health board. Contractors should describe how all staff (including locums) are made aware of how to make WGOS4 inter-practice referrals and state what are the processes WGOS4 inter-practice referrals when required. Whilst it may be that practices usually make intra-practice referrals to in-house WGOS4 services, Practices should still state what is their contingency processes if staff members are absent and an inter practice referral is required. The national protocols for inter practice referrals for all WGOS pathways can be found in the WGOS clinical manuals here <https://www.nhs.wales/sa/eye-care-wales/wgos/eye-health-professional/wgos-manuals/>

Practices should contact their local health board if they require further clarification around local referral guidelines.

Unless there are locally agreed health board variations, for urgent inter-practice referrals, a phone call would be made to the receiving practice in order to confirm they can accept the referral. A referral would then be sent electronically using secure NHS email (as all practices have now been offered a practice NHS email address)

Ensure that all optometrists working in the practice understand the regulatory requirements and their obligations in relation to the referral of WGOS4 patients. This could be evidenced by the contractor producing information on local referral protocols

If under WGOS4 you refer to other Optometric practices, please describe the process that you use?

received from NHS Wales. Optometry Wales also host local referral protocols for all Health Boards on the members-only section of their website. Register here to access <https://www.optometrywales.org.uk/new-members-register/>
 The College of Optometrists guidelines on emergency patient care should be used to inform the decision making process: <http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/examining-patients-who-present-as-an-emergency/>

The College also has guidance on the urgency of referrals:

[Annex 4 Urgency of referrals table - College of Optometrists](#) The urgency of a referral must be indicated when the referral is made to a triage or referral centre.

There is specific guidance on dealing with flashes and floaters: <http://guidance.college-optometrists.org/guidance-contents/knowledge-skills-and-performance-domain/examining-patients-who-present-with-flashes-and-floaters/> and on measuring intra-ocular pressure in relation to NICE guidance on glaucoma: <http://www.college-optometrists.org/en/utilities/document-summary.cfm/docid/B7251E0C-2436-455A-B15F1E43B6594206>

There should be information at every practice to ensure that locums and other staff are aware of local contact details and procedures for referral of patients with ocular conditions requiring emergency care. This should be in a fixed and accessible location.

Post Payment Verification	
Please confirm the date of your last PPV visit?	If you are unsure of the last date, you can email the NHS Wales Shared Services Partnership team to request this information at nwssp-primarycareservices@wales.nhs.uk

Template Section: EQUITABLE	
Template Question	Optometry Wales Guidance
Welsh Language Duties	<p>You will see that Optometry Wales have inserted breaks between the following questions for clarity. You will see a statement in red text which sets out the mandatory requirement followed by the question. There are notes beside each question to provide guidance. The link to the Welsh language in primary care standards and duties is here: Welsh language in primary care GOV.WALES</p> <p>Since 30th May 2019, six Welsh language duties have been placed on independent primary care contractors.</p> <p>For any services provided under the contract providers must:</p> <ul style="list-style-type: none"> • notify the local health board if they provide services through the medium of Welsh • provide Welsh language versions of all documents or forms provided to it by the local health board • ensure that any new sign or notice provided is bilingual. Contractors can use local health boards translation services for this purpose.

	<ul style="list-style-type: none"> encourage staff to wear a badge or lanyard to show that they are able to speak or learning Welsh, if they provide services in Welsh establish and record the language preference of a patient encourage and assist staff to utilise information and/or attend training courses or events provided by the local health board
Do you provide services, or part of a service, through the medium of Welsh?	Whilst practices are not obliged to provide services through the medium of Welsh - if practices do provide services, or provide part of a service through the medium of Welsh, they must notify the local Health Board.
If you provide services, or part of a service, through the medium of Welsh, have you notified the Health Board that you do so?	Contractors may wish to answer N/A if the Practice does not provide services, or part of a service, through the medium of Welsh.
You must make available to patients and members of the public a Welsh language version of any document or form provided by the Health Board.	
I confirm we make available to patients and members of the public a Welsh language version of any document or form provided by the Health Board.	Contractors can use local health board translation services for this purpose.

<p>Where you display a new sign or notice, including temporary signs or notices, in connection with services or any part of a service provided under the contract, you must ensure that any new sign or notice provided is bilingual (you may use the translation service offered by the Health Board for this purpose).</p>	
<p>I confirm the practice displays bilingual versions of new signs or notices.</p>	<p>Contractors can use local Health Board translation services for this purpose.</p>
<p>Where you provide services, or any part of a service, under the contract through the medium of Welsh, you must encourage your staff to wear a badge to convey that they are able to speak Welsh.</p>	

<p>I confirm we encourage staff to wear a badge (or lanyard) to show that they are able to speak, or are learning, Welsh.</p>	<p>Contractors may wish to answer N/A if the Practice does not provide services, or part of a service, through the medium of Welsh.</p>
<p>I confirm I encourage and assist staff to utilise information and/or attend training courses or events provided by the Health Board, so that they can develop: (a) an awareness of the Welsh language (including awareness of its history and its role in Welsh culture); and (b) an understanding of how the Welsh language can be used when delivering services, or any part of a service, under the contract.</p>	<p>Contractors can contact their local Health Board translation services for further information.</p>
<p>When delivering services, or any part of a service, under the contract,</p>	

<p>you must encourage those delivering primary ophthalmic services to establish and record the Welsh or English language preference expressed by or on behalf of a patient.</p>	
<p>I confirm the practice establishes and records the language preference of a patient.</p>	<p>Since 30th May 2019, six Welsh language duties have been placed on independent primary care contractors. For any services provided under the contract, providers must:</p> <ul style="list-style-type: none"> • notify the local health board if they provide services through the medium of Welsh • provide Welsh language versions of all documents or forms provided to it by the local health board • ensure that any new sign or notice provided is bilingual. Contractors can use local health boards translation services for this purpose. • encourage staff to wear a badge or lanyard to show that they are able to speak or learning Welsh, if they provide services in Welsh • <u>establish and record the language preference of a patient</u> • encourage and assist staff to utilise information and/or attend training courses or events provided by the local health board <p>To achieve compliance Practices must establish and record the language preference of a patient.</p>
<p>Eligibility offer</p> <p>I confirm all eligible patients are offered fully funded NHS spectacles.</p>	<p>The WGOS1&2 Clinical Manual states:</p> <p><i>“Patients must have the option of a suitable pair of spectacles within their Voucher value, not just a grant towards the cost of more expensive spectacles. The suitable spectacles must be single vision, bifocal or multifocal as specified by the prescriber or otherwise single vision, bifocal or multifocal as per the patient’s choice. However, so long as the expectation of provision of a functional optical appliance without incurring cost is met, a patient may be offered the option to pay towards a different appliance.”</i></p>

<p>Template Section: PERSON CENTRED</p>	
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Template Question	Optometry Wales Guidance
Practice Posters and Leaflets	
Does the practice prominently display a notice and leaflets which is available to all patients.	<p>A notice showing eligibility for WGOS sight tests and vouchers should be displayed. An example is available here: https://www.optometrywales.org.uk/wp-content/uploads/2024/12/13.-Eye-care-services.docx</p> <p> 13. Eye care services.docx</p> <p>Useful resources for signposting patients are available here Other Useful Learning Resources - NHS Wales. Patient information leaflets can be ordered from sources including the College of Optometrists Patient leaflets and resources - College of Optometrists and the Royal College of Ophthalmologists Patient Information Booklets The Royal College of Ophthalmologists</p> <p>To achieve compliance Ensure that relevant information is displayed/provided as required.</p>
Do you supply your practice leaflet in other formats for use by patients with Sensory Loss?	<p>In the UK there is a legal requirement for NHS and social care organisations to ensure that information is accessible, and communications needs are met for patients with Sensory Loss.</p> <p>https://www.aop.org.uk/ot/home/advice-and-support/regulation/england/accessible-information-standard</p>
If yes, is this on request or do you keep a supply in the Practice for immediate distribution?	
Complaints & Incidents	
I confirm the practice has an agreed procedure in line with "Putting Things Right"	<p>The practice must have a formal written NHS-compliant complaints procedure. This is a requirement of NHS Wales. Complaints in this context are those related to the WGOS sight test and the issuing of prescriptions and vouchers, not those related to private services or spectacle dispensing.</p>

<p>'guidance for handling patients' complaints which complies with the NHS complaints procedure and is advertised to the patients. https://nwssp.nhs.wales/a-wp/pcir/</p>	<p>It is a contractual requirement for contractors to report the number of complaints received, normally on an annual basis. Regional Optical Committees may reach an agreement with local health boards that they write annually to contractors to request the information.</p> <p>To achieve compliance</p> <p>Practices should have a formal procedure/policy for dealing with complaints. The WGOS contract requires that this policy be in writing, that a complaints manager should be appointed and named (even if you are an independent practitioner working alone) and that the number of complaints received should be reported to NHS Wales. Details of the procedure must be made available to patients including the name of the complaints manager.</p> <p>The optical representative bodies have issued joint advice detailing the requirements of NHS complaints handling which includes model documentation for adaptation and use in the practice which has been adapted for Wales and can be found here: https://www.optometrywales.org.uk/wp-content/uploads/2024/12/14.-Template-Complaints-Policy.docx</p> <p> 14. Template Complaints Policy.doc</p> <p>The NHS complaints regulations are : National Health Service (Concerns, Complaints and Redress Arrangements) (Wales) Regulations 2011 The National Health Service (Concerns, Complaints and Redress Arrangements) (Wales) Regulations 2011 and the NHS Duty of Candour regulations The NHS Duty of Candour GOV.WALES https://www.qualityinoptometry.co.uk/policy/?policy=73</p>
<p>I confirm the practice is compliant with the Duty of Candour Act 2022.</p>	<p>In accordance with The Health and Social Care (Quality and Engagement) [Wales] Act 2020, providers of WGOS have a Duty of Candour to follow a process when a service user suffers or may suffer an adverse outcome which has or could result in unexpected or unintended harm that is moderate and above and the provision of healthcare was or may have been a factor. Contractors are required to notify the Health Board when the Duty of Candour has been triggered for an incident involving an NHS patient.</p> <p>To achieve compliance:</p> <p>Contractors can log incidents on the Datix portal https://nwssp.nhs.wales/a-wp/pcir/ This allows a report to be generated by NWSSP for the Contractor to meet the Service Agreement. Otherwise, a Contractor must provide a separate annual candour report to the Health Board with whom they have a Service Agreement with. More information can be found on the Optometry Wales website https://www.optometrywales.org.uk/?s=duty+of+candour&id=331 and within the WGOS1&2 clinical manual: https://www.nhs.wales/sa/eye-care-wales/eye-care-docs/wgos-manuals-changes-summary/wgos-1-2-clinical-manual/</p>
<p>How many times has Duty of Candour been triggered in the</p>	

previous 12 months?	
Primary Care Inclusion and Belonging Survey	
I confirm that all staff have undertaken the Primary Care Inclusion and Belonging Survey	NWSSP had circulated to Contractors (as an outcome from 2025-26 contract negotiations) the announcement that all practice staff were to complete the Primary Care Inclusion and Belonging survey in line with other Primary Care Contractors. This survey closed on the 31 October 2025. As this was an anonymous survey, there was no mechanism to provide written confirmation of completion. It's an important wider primary care annual survey and everybody should be encouraged to undertake the survey. At the national webinar held in October 2025 to explain the 2025/26 contractual changes to the profession, it was acknowledged that there was limited notice to practices of this requirement for 2025/26 and therefore it was accepted that it may not be possible for all staff to complete last year due to holiday/illness etc. but that practices were asked to encourage as many of their team as possible to do so.
Declaration	
I understand upon completion of this toolkit, I will reflect on the areas of non-compliance, to be detailed in an action plan with timescales for improvement and implementation, to be shared with the Health Board by 31st March 2026.	<p>If the Contractor identifies any areas of non-compliance following completion of this toolkit, they must complete an action plan with timescales for improvement and implementation to be shared with the Health Board by 31st March 2026. The Contractor can opt to complete their own action plan template document or use an example template action which can be found below:</p> <p> 15. QFO Action plan template_.docx</p>