

England Checklist

Level 1: GOS contract compliance

Section A - All contracts

1. Practice details

Question	Yes	No	Don't Know	N/A
1.1 Practice name?				
1.2 Contractor name? (if different)				
1.3 Practice/correspondance address? (S1 pt2)				
1.4 Practice manager? (not required)				
1.5 Telephone? (S1 pt2)				
1.6 Fax? (S1 pt2)				
1.7 Website? (not required)				
1.8 Email? (S1 pt2)				

2. Visit details

Question	Yes	No	Don't Know	N/A
2.1 Date of visit?				
2.2 Purpose of visit? (new application / review existing practice / other)				
2.3 Visited by? (Name, Job Title, Representing)				

3. Business type

Question	Yes	No	Don't Know	N/A
3.1 Business type? (individual / partnership / Body Corporate)				
3.2 Owner or Chief Executive's name?				
3.3 Partners' or Directors' names?				
3.4 Registered address? (if different)				
3.5 Company secretary name? (BC only)				
3.6 Company number? (BC only)				
3.7 Are the business details held by the PCT accurate and up-to-date?				

4. Contracts applied for / held

Question	Yes	No	Don't Know	N/A
4. Contracts applied for/held? (mandatory / additional / both)				

5. Hours of practice opening (66.3)

Question	Yes	No	Don't Know	N/A
5. Hours of practice opening? (including lunchtime closure)				

6. Hours GOS normally provided (29, 66.3)

Question	Yes	No	Don't Know	N/A
6. Hours GOS normally provided?				

7. Performers in regular attendance (46, 66.4)

Question	Yes	No	Don't Know	N/A
7.1 Optometrist / OMP name?				
7.2 DoB or first registration date?				
7.3 Ophthalmic Performers List (OPL) number?				
7.4 Professional indemnity insurance by? (specify AOP, FODO, etc)				
7.5 Included in which PCT's Ophthalmic Performers List (OPL)?				

8. Other clinical staff in attendance (51)

Question	Yes	No	Don't Know	N/A
8.1 Name?				
8.2 Position and tasks undertaken?				
8.3 DoB or first registration date? (if applicable)				
8.4 Professional registration number? (if applicable)				
8.5 Licensing body? (if applicable)				
8.6 Qualifications for post? (if unregistered, e.g. trained in house)				

9. Staffing procedures (51)

Question	Yes	No	Don't Know	N/A
9.1 Does the contractor ensure that all clinical staff have up to date professional registration?				
9.2 Does the contractor check the references of all registered clinical staff (including locums)?				
9.3 Does the contractor check that all performers are covered by up to date professional indemnity insurance (where applicable)?				
9.4 Has the contractor produced evidence that all employed optometrists and OMPs are included in a PCT's ophthalmic performers list?				
9.5 Does the contractor ensure that staff assisting in the provision of GOS are appropriately trained, and supervised for the tasks that they undertake?				
9.6 Does the contractor ensure that clinical procedures are appropriate, especially at times when a supervising practitioner is not on the premises, eg. repeat fields and pressures or child or blind or partially sighted dispensing?				

10. Insurances and registrations

Question	Yes	No	Don't Know	N/A
10.1 Contractor has up to date arrangements for cover in cases of clinical negligence? (89)				
10.2 Current Employers liability cover? (Employers Liability [Compulsory Insurance] Act 1969) (100)				
10.3 Current Public Liability cover? (90)				
10.4 Medicines and Healthcare products Regulatory Agency (MHRA registration)? (assemblers/manufacturers only) (28)				
10.5 MHRA declaration of conformity? (assemblers/manufacturers only) (28)				

11. GOS sight test application procedures

Question	Yes	No	Don't Know	N/A
11.1 Practice staff routinely undertake Point of Service checks? (37)				
11.2 Practice staff are familiar with recommended GOS sight test intervals as set out in the Memorandum of Understanding and reproduced in Vouchers at a Glance? (37.4.1)				
11.3 Contractor records reasons when sight tests are refused to patients except in cases where a sight test is not necessary or the patient is not eligible? (40)				

12. Information access and protection

Question	Yes	No	Don't Know	N/A
12.1 Contractor has an up to date freedom of Information act statement and this is available to patients? (100) (Freedom of Information Act 2005)				
12.2 Registered with Information Commissioner for Data protection (all patient records)? (100) (Data Protection Act 1998)				
12.3 Name and title of person responsible for practices and procedures relating to confidentiality? (56)				
12.4 The practice policy on handling patient data is available to patients? (100) (Data Protection Act 1998, Freedom of Information Act 2000)				
12.5 Staff are aware how to handle patient data correctly? (100) (Data Protection Act 1998)				
12.6 Has the practice received from the PCT (or have you obtained for yourself) details of local child protection arrangements? (100)				
<i>(If yes:)</i> Has the practice had regard to these?				
12.7 Has the practice received from the PCT (or have you obtained for yourself) details of a recommended lone worker policy for optometry? (100)				
<i>(If yes:)</i> Has the practice had regard to this?				
12.8 Has the practice received from the PCT (or have you obtained for yourself) details of a recommended chaperone policy for optometry? (100)				
<i>(If yes:)</i> Has the practice had regard to this?				

13. Record keeping (52)

Question	Yes	No	Don't Know	N/A
13.1 If gifts >£100 have been received does the contractor maintain a gifts register? (92)				
13.2 Patient records are securely stored? (52)				
13.3 GOS records are retained for 7 years in either paper or electronic form? (54)				
13.4 Contractor is aware of professional recommendations to keep records for longer? (i.e. adults and deceased patients for 10 years; children to 25th birthday)				
13.5 The practice maintains full and accurate contemporaneous records for all GOS patients? (52)				
13.6 Each clinical record contains items from the following list as appropriate to the individual patient: symptoms/reason for visit, ocular history, general health, medications, family ocular history, unaided vision/visual acuity, BV, etc, etc.				
13.7 Record is legible?				

14. Referral and notification procedures

Question	Yes	No	Don't Know	N/A
14.1 Contractor is aware of any local protocols for referral to GPs / ophthalmology department? (31)				
14.2 Clinical Staff refer in accordance with GOC rules and relevant local referral procedures? (31)				
14.3 Is the patient informed in writing of the details of their referral? (Sight Testing [Examination and Prescription] [No. 2] Regulations 1989) (100)				
14.4 Clinical staff notify the GP when a patient with diabetes / glaucoma has been seen? (31)				
14.5 Contractors ensure that patients are handed their prescription or statement? (33)				

15. Complaints and incidents

Question	Yes	No	Don't Know	N/A
15.1 Contractor has a written NHS compliant complaints procedure? (101)				
15.2 The complaints procedure is available to patients and staff? (101)				
15.3 Name of person responsible for dealing with complaints? (108)				
15.4 Contractor maintains a separate record of all complaints and associated paperwork for 2 years? (112)				
15.5 Contractor is aware of the obligation to report adverse incidents potentially affecting the performance of the contract? (66)				
15.6 The contractor receives Safety Alerts from the PCT within an appropriate timescale?				
15.7 Contractor adheres to the requirements or recommendations of MHRA medical device alerts (MDAs) and safety alert broadcasts (SABs)? (28)				

Section B - Mandatory contracts only

16. Premises

Question	Yes	No	Don't Know	N/A
16.1 Type of premises? (purpose built / converted / commercial / health centre / other)				
16.2 Practice is on? (ground floor / first floor / other)				
16.3 Car parking? (own parking / on-street parking / nearby public car park / difficult)				

17. Signage and documentation

Question	Yes	No	Don't Know	N/A
17.1 Current Notice of eligibility for NHS eye examination is displayed (description of services)? (57)				
17.2 Current Notice of eligibility for NHS voucher towards the cost of spectacles is displayed (including voucher values)? (57)				
17.3 A complaints notice including the name of responsible person and contact details is displayed? (57)				
17.4 Valid Certificate of Employers Liability is displayed? (Employers Liability [Compulsory Insurance] Act 1969) (100)				
17.5 Details of business ownership/registered office are displayed? (Business Names Act 1985) (100)				
17.6 Health and Safety Poster is displayed (or copies supplied to individual employees)? (25)				
17.7 No smoking sign is displayed? (Health Act 2006) (100)				

18. General health and safety (28)

Question	Yes	No	Don't Know	N/A
18.1 Health and safety risk assessment done? (must be documented if >5 people working there)				
18.2 Date of last HSE inspection (if any)?				
18.3 Contractor has Health and Safety Policy?				
18.4 Contractor is aware of reporting responsibilities under RIDDOR? (100) (Reporting Injuries Diseases and Dangerous Occurrences Act 1995)				
18.5 A suitable first aid kit is available and location clearly identified? (100) (First Aid Regulations 1981)				
18.6 Contractor has an identified person who is responsible for first aid arrangements? (100) (First Aid Regulations 1981)				
18.7 Contractor has an accident record book? (100) (First Aid Regulations 1981)				
18.8 Portable appliance (PAT) and fixed installation electrical testing done? (100) (Electricity at Work Regulations 1989)				

19. Fire precautions (25, 100)

Question	Yes	No	Don't Know	N/A
19.1 Fire Risk Assessment completed?				
19.2 Fire extinguishers?				
19.3 Fire extinguishers serviced?				
19.4 Fire exit signs?				
19.5 Fire exit clear?				

20. Risk assessment: non clinical areas (25)

Question	Yes	No	Don't Know	N/A
20.1 Non clinical areas (stairs, passageways etc) clean and tidy?				
20.2 Adequate lighting in non clinical areas?				
20.3 No trip hazards in non clinical areas?				
20.4 Traffic routes are not obstructed in non clinical areas?				
20.5 Reasonable patient access in non clinical areas? (100) (Disability Discrimination Acts 1995 & 2005)				

21. Risk assessment: reception and waiting areas (25)

Question	Yes	No	Don't Know	N/A
21.1 Reception and waiting areas clean and tidy?				
21.2 Adequate lighting in reception and waiting areas?				
21.3 No trip hazards in reception and waiting areas?				
21.4 Traffic routes are not obstructed in reception and waiting areas?				
21.5 Reasonable patient access in reception and waiting areas? (100) (Disability Discrimination Acts 1995 & 2005)				
21.6 Suitable and sufficient seating in reception and waiting areas?				
21.7 Layout of reception and waiting areas respect the need for patient confidentiality?				

22. Risk assessment: dispensing area (25)

Question	Yes	No	Don't Know	N/A
22.1 Dispensing area clean and tidy?				
22.2 Adequate lighting in dispensing area?				
22.3 Suitable and sufficient seating in dispensing area?				
22.4 No trip hazards in dispensing area?				
22.5 Traffic routes are not obstructed in dispensing area?				
22.6 Reasonable patient access in dispensing area? (100) (Disability Discrimination Acts 1995 & 2005)				
22.7 Layout of dispensing area respects the need for patient confidentiality?				

23. Risk assessment: consulting area (25)

Question	Yes	No	Don't Know	N/A
23.1 Consulting room is clean and tidy?				
23.2 Adequate lighting in consulting room?				
23.3 No trip hazards in consulting room?				
23.4 Traffic routes are not obstructed in consulting room?				
23.5 Reasonable patient access in consulting room? (100) (Disability Discrimination Acts 1995 & 2005)				
23.6 What arrangements are in place for the decontamination of equipment? NB Use of single use items where appropriate (28)				
23.7 Suitable and sufficient seating in consulting room? (25)				
23.8 Constructed to be suitable for confidential consultations? (25)				
23.9 Suitable hand washing facilities in accordance with College of Optometrist and ABDO guidelines? (28)				
23.10 Suitable equipment decontamination procedures? (28)				
23.11 Adequate testing distance? (25)				

24. Clinical testing equipment (25)

Question	Yes	No	Don't Know	N/A
24.1 Focimeter?				
24.2 Frame ruler or similar?				
24.3 Visual field test?				
24.4 Tonometer?				
24.5 Distance test chart for adults?				
24.6 Distance test chart for children/non-English?				
24.7 Trial lenses and accessories?				
24.8 Trial frame?				
24.9 Retinoscope?				
24.10 Ophthalmoscope?				
24.11 Distance binocular vision test?				
24.12 Near binocular vision test?				
24.13 Slit lamp?				
24.14 Indirect ophthalmoscope or Volk lens				
24.15 Near reading chart?				
24.16 Amsler grid?				
24.17 Colour vision test?				
24.18 Stereopsis test?				

25. Ophthalmic drugs (25)

Question	Yes	No	Don't Know	N/A
25.1 Mydriatic drugs available and in date? (e.g. tropicamide)				
25.2 Cycloplegic drugs available and in date? (e.g. cyclopentolate)				
25.3 Staining agents available and in date? (e.g. fluorescein/rose Bengal)				
25.4 Anti-infective drugs available and in date? (e.g. chloramphenicol) (not required)				
25.5 Topical anaesthetics available and in date? (e.g. proxymetacaine/oxybuprocaine) (not required)				
25.6 Drugs are stored appropriately and securely? (e.g. proxymetacaine and chloramphenicol in a fridge)				
25.7 Single dose drugs (eg. Minims) are used once and then discarded?				
25.8 Drugs are disposed of appropriately?				

Section C - Additional contracts only

26. Procedures and documentation

Question	Yes	No	Don't Know	N/A
26.1 Suitable patient leaflet available? (57)				
26.2 Suitable equipment decontamination procedures used? (28)				
26.3 Suitable hand hygiene practices used? (28)				
26.4 Is contractor aware of domiciliary code of practice?				
26.5 Is contractor aware of notification requirements for domiciliary visits? (24)				
26.7 Has the practice received from the PCT details of a recommended chaperone policy for optometry? (100)				
(If yes:) Has the practice had regard to this?				

27. Mobile equipment requirements (25)

Question	Yes	No	Don't Know	N/A
27.1 Appropriate distance test chart (preferably internally illuminated)?				
27.2 Measuring device?				
27.3 Trial lenses and accessories?				
27.4 Trial frame?				
27.5 Retinoscope?				
27.6 Ophthalmoscope?				
27.7 Magnification for anterior eye examination?				
27.8 Near vision type test?				
27.9 Tonometer?				
27.10 Appropriate ophthalmic drugs?				
27.11 Amsler grid?				
27.12 Means of assessing visual field?				
27.13 Focimeter?				
27.14 Frame ruler or similar?				

28. Ophthalmic drugs (25)

Question	Yes	No	Don't Know	N/A
28.1 Mydriatic drugs available and in date? (e.g. tropicamide)				
28.2 Staining agents available and in date? (e.g. fluorescein/rose Bengal)				
28.3 Cycloplegic drugs available and in date? (e.g. cyclopentolate) (not required)				
28.4 Anti-infective drugs available and in date? (e.g. chloramphenicol) (not required)				
28.5 Topical anaesthetics available and in date? (e.g. proxymetacaine/oxybuprocaine) (not required)				
28.6 Drugs are stored appropriately and securely? (e.g. proxymetacaine and chloramphenicol in a fridge)				
28.7 Single dose drugs (eg. Minims) are used once and then discarded?				
28.8 Drugs are disposed of appropriately?				