

# Wales Checklist

## Level 1: legal or mandatory requirements

### 2

Question	Yes	No	Don't Know	N/A
Does the practice offer patients equal access to services as required by the Disability Discrimination Act?				
Has the practice recently reviewed access?				
<i>(If no:)</i> Has it done so in the past?				
Is the practice DDA compliant?				
<i>(If no:)</i> Is there a system in place to ensure reasonableness of access?				

### 3

Question	Yes	No	Don't Know	N/A
Do optometrists and dispensing opticians in the practice understand and comply with the GOC rules on referral?				

### 4c

Question	Yes	No	Don't Know	N/A
Does the practice have policies on mandatory Health and Safety requirements?				
Does the practice comply with current fire safety regulations?				

### 6a

Question	Yes	No	Don't Know	N/A
Does the practice have information on GOS sight test entitlement?				
Does the practice have information on WECL entitlement?				
Does the practice have information on GOS voucher entitlement?				

### 6b

Question	Yes	No	Don't Know	N/A
Do you give all sight test patients, who are not being referred to their doctor, a written statement or a copy of their prescription at the end of the examination?				
<i>(If yes:)</i> Does it include the date of the sight test?				
Does it include the name and address of the patient?				
Does it include the name and address of the optometrist/practice?				
Does it include the date of birth of children under 16 years?				
Does the practice have a contact lens specification form?				
<i>(If yes:)</i> Does it include the expiry date, re-examination date and your GOC number?				

## 8b

Question	Yes	No	Don't Know	N/A
Does the practice operate equal opportunities and equal employment policies for staff?				

## 10

Question	Yes	No	Don't Know	N/A
Does the practice operate equal opportunities and access policies for people accessing healthcare?				

## 11b

Question	Yes	No	Don't Know	N/A
Is a supervising optometrist present in the practice at all times?				
<i>(If no:)</i> Are systems in place to ensure that delegated functions are not carried out without supervision?				

## 15b

Question	Yes	No	Don't Know	N/A
Does the practice have a formal complaints procedure?				
<i>(If yes:)</i> Is it available in writing for members of staff to access?				
Does the practice have patient information material describing the procedure?				

## 15c

Question	Yes	No	Don't Know	N/A
Does the practice complaints procedure give information about complaints advocacy support provided by Community Health Councils in Wales?				

## 15d

Question	Yes	No	Don't Know	N/A
Have you been informed of a policy for managing poor performance in your area?				
<i>(If yes:)</i> Has the practice been provided with a copy of the policy?				

## 18

Question	Yes	No	Don't Know	N/A
Does the practice have a computer system?				
<i>(If yes:)</i> Is a systematic backup policy in place?				
Is the policy available for staff to reference?				

## 19a

Question	Yes	No	Don't Know	N/A
Does the practice have glazing facilities?				
(If yes:) Has the practice completed an RG2 document and submitted it to the MHRA?				
Does the practice display a certificate of conformity?				
Is equipment decontaminated before inspection, service, repair or disposal?				

## 19d

Question	Yes	No	Don't Know	N/A
Do you dispose of POMs by incineration?				
Does your practice have a refuse collection contract with your landlord, local authority or other suitable service provider?				
Does your practice undertake any blood tests?				
(If yes:) Are sharps and contaminated products disposed of using a sharps and clinical waste collection service?				

## 26

Question	Yes	No	Don't Know	N/A
Does the practice have a data-management policy?				
Are patient records/data secured, e.g. by locks, passwords, access rights?				
Is the practice registered under the Data Protection and Freedom of Information Acts?				
Does the practice have a registered Freedom of Information publication scheme?				

## 27b

Question	Yes	No	Don't Know	N/A
Does the practice undertake POS checks?				

Question	Yes	No	Don't Know	N/A
Is a member of staff responsible for assessing risks and acting on any findings?				
Have risk assessments been undertaken?				
Does the risk management policy include the reporting of patient safety incidents?				

# Level 2: good clinical practice

## 2

Question	Yes	No	Don't Know	N/A
Does the practice provide domiciliary services?				
(If no:) Does the practice refer patients to a domiciliary provider?				

## 3

Question	Yes	No	Don't Know	N/A
Are optometrists in the practice conversant with emergency treatment pathways operating locally?				
Is written information on local emergency care arrangements available to locums working in the practice?				
Does the practice provide information for out of hours care of contact lens patients?				

## 4b

Question	Yes	No	Don't Know	N/A
Is there sufficient privacy for patients during dispensing, POS checks and any diagnostic tests that are performed outside the consulting room?				

## 5a

Question	Yes	No	Don't Know	N/A
Are the reception areas and consulting rooms clean?				

## 5c

Question	Yes	No	Don't Know	N/A
Are hand-washing facilities or alcohol-based gel available in the consulting room?				
Does the practice have hand-washing facilities and/or access to alcohol-based gel for staff and patients?				
Does the practice have disposable towels for hand drying?				

## 6b

Question	Yes	No	Don't Know	N/A
Does the practice have patient literature on a range of ocular conditions?				
Does the practice offer copy referral letters to the patient?				

## 6c

Question	Yes	No	Don't Know	N/A
Do you give patients opportunities to discuss and agree options relating to their care?				

## 7

Question	Yes	No	Don't Know	N/A
Does the practice participate in WECI or co-management schemes?				
(If yes:) Are patients encouraged to contribute to their care plans?				
Are patients provided with opportunities and resources to develop competence in self-care?				

## 8d

Question	Yes	No	Don't Know	N/A
Do members of staff have a confidentiality clause in their contracts of employment?				
Are the public prevented from accessing the record storage area?				

## 11c

Question	Yes	No	Don't Know	N/A
Does the practice record the CET and/or CPD achievements of optometrists and dispensing opticians?				

## 12b

Question	Yes	No	Don't Know	N/A
Are systems in place to ensure that professional notifications and guidance is disseminated to all optometrists working in the practice?				
Are practitioners aware of the reasons and the codes for "early" sight tests?				
Do all practice staff have access to sight test frequency information?				
Does your practice participate in local shared care or co-management systems?				
(If yes:) Are the relevant protocols available for reference in the practice?				
Are all staff to whom these are relevant aware of the location of these protocols?				
Is your practice aware of NICE guidelines relating to PDT and Refractive Surgery?				

## 12d

Question	Yes	No	Don't Know	N/A
Do you have a patient consent policy for issuing duplicate spectacle or contact lens prescriptions to colleagues?				

## 17

Question	Yes	No	Don't Know	N/A
Does the practice have a chaperone policy?				

## 19a

Question	Yes	No	Don't Know	N/A
Are instruments regularly wiped with disinfectant?				
Do you check all prescriptions before dispensing?				
Do you have your equipment regularly serviced and keep a log of equipment maintenance checks?				
Do you calibrate your equipment regularly?				

## 19b

Question	Yes	No	Don't Know	N/A
Does the practice use a contact tonometer or any other instrument which contacts the eye?				
<i>(If yes:)</i> Are College of Optometrists' guidelines for decontamination or disposability followed?				
Does the practice use any special diagnostic hard or RGP contact lenses?				
<i>(If yes:)</i> Are these decontaminated according to College of Optometrists'™ Guidelines?				

## 19c

Question	Yes	No	Don't Know	N/A
Are ophthalmic drugs stored safely and in accordance with the manufacturer's™ recommendations?				
Are all single-dose drugs (e.g. minims) used once and then discarded?				

## 21a

Question	Yes	No	Don't Know	N/A
Has the practice checked registration details of all professional staff, including locums?				

Question	Yes	No	Don't Know	N/A
Does the practice have professional guidance and codes of conduct available for reference by professional staff?				

# Level 3: aspirational standards

## 2

Question	Yes	No	Don't Know	N/A
Does the practice have wheelchair access?				

## 3

Question	Yes	No	Don't Know	N/A
Does the practice have access to local waiting times for ophthalmology appointments?				

## 4b

Question	Yes	No	Don't Know	N/A
Does the practice have procedures in place to ensure confidentiality?				
Does the practice have a named individual responsible for patient confidentiality issues?				

## 4c

Question	Yes	No	Don't Know	N/A
Can staff store their possessions safely while working?				
Does your practice have members of staff who work alone?				
<i>(If yes:)</i> Does the practice have a lone working policy?				

## 5c

Question	Yes	No	Don't Know	N/A
Does the practice have guidance on hand-washing?				

## 6c

Question	Yes	No	Don't Know	N/A
Do you provide patients with a choice of provider when you refer them?				
<i>(If yes:)</i> Does the LHB keep you up to date with their preferred providers?				

## 8a

Question	Yes	No	Don't Know	N/A
Do staff members have the required skills to treat all patients with respect and empathise with their needs?				
Are staff members able to deal sympathetically with all patients without allowing any deeply-held beliefs or convictions to affect their judgement?				

## 8d

Question	Yes	No	Don't Know	N/A
Do you have protocols in place to ensure security of patient records at all times?				
Has your LHB supplied you with leaflets or posters to explain to patients how their information may be used?				

## 11a

Question	Yes	No	Don't Know	N/A
Does the practice encourage optometrists and dispensing opticians to base clinical decisions on evidence based practice?				
<i>(If yes:)</i> Is this through provision of peer-review?				
Is this through provision of access to journals and up-to-date reference sources?				
Is this through allowing attendance at conferences?				
Is this through provision of CET?				

## 11b

Question	Yes	No	Don't Know	N/A
Is there written guidance in the practice on which staff are able to undertake delegated functions?				
Does the practice have information on the completion of NHS forms and record card entries for all staff?				

## 15a

Question	Yes	No	Don't Know	N/A
Does the practice have a feedback procedure?				
<i>(If yes:)</i> Is it available in writing for members of staff to access?				
Does the practice have patient information material describing the procedure?				

## 15d

Question	Yes	No	Don't Know	N/A
Does your LHB have an optometry adviser?				
<i>(If yes:)</i> Do you know how to contact him/her?				

## 16a

Question	Yes	No	Don't Know	N/A
Does the practice record adverse incidents?				
<i>(If yes:)</i> Does the practice feed back to the staff?				
Does the practice assess risks from this process?				

## 16b

Question	Yes	No	Don't Know	N/A
Does the LHB include the practice in adverse incident reporting procedures?				
Does the practice report adverse incidents to the NPSA and LHB in line with existing guidance?				

## 16c

Question	Yes	No	Don't Know	N/A
Does the LHB include the practice in the circulation of patient safety notices, alerts and related communications?				
(If yes:) Does the practice acknowledge their receipt?				
Does the practice have a system in place or named person to deal with such notices, alerts and communications?				

## 17

Question	Yes	No	Don't Know	N/A
Has the LHB notified your practice of procedures for reporting concerns about children and vulnerable adults?				

## 19a

Question	Yes	No	Don't Know	N/A
Do practice staff have easy access to instructions on the use of equipment?				

## 22a

Question	Yes	No	Don't Know	N/A
Does the practice carry out CRB checks on professional staff?				

## 23b

Question	Yes	No	Don't Know	N/A
Do all members of staff have personal development programmes?				

## 27a

Question	Yes	No	Don't Know	N/A
Does the practice have a named clinical governance lead?				

## 27c

Question	Yes	No	Don't Know	N/A
Are staff encouraged to share near misses and solutions?				
Does the practice hold regular staff meetings or do members of staff have regular one-to-one meetings with their manager?				

Question	Yes	No	Don't Know	N/A
Does your practice receive information on new policies and knowledge regarding public health from the LHB, e.g. the Annual Report of the Public Health Director?				

# Level 4: aspirational standards

## 2

Question	Yes	No	Don't Know	N/A
Does the practice survey patients for feedback on the services it provides?				
<i>(If yes:)</i> Are the views expressed used to determine practice policy and service delivery?				
Does the practice have a hearing aid loop?				

## 11b

Question	Yes	No	Don't Know	N/A
Does the practice have a formal training programme for optical assistants or others carrying out delegated functions?				
<i>(If yes:)</i> Is the programme reviewed regularly?				

## 11d

Question	Yes	No	Don't Know	N/A
Does the practice undertake or plan to undertake clinical audit?				
Do you periodically review your record keeping and the information recorded taking into account the patient's lifestyle (eg. driving status)?				
Can the practice demonstrate an audit framework exists?				
Are results of any specific audits available?				

## 18

Question	Yes	No	Don't Know	N/A
Does the practice have an emergency recovery plan?				

## 19d

Question	Yes	No	Don't Know	N/A
Do you segregate healthcare and general waste?				
Has your LHB offered you a clinical waste collection service for your practice?				

## 23a

Question	Yes	No	Don't Know	N/A
Does the practice have a whistle-blowing policy?				

## 23b

Question	Yes	No	Don't Know	N/A
Does the practice have an appraisal system for all staff?				
Does the practice have an organisational development programme?				
Does the practice have a designated member of staff responsible for training and appraisal?				

## 27d

Question	Yes	No	Don't Know	N/A
Is there a procedure in the practice for raising concerns about staff performance?				
<i>(If yes:)</i> Are all staff aware of this and encouraged to use it?				

## 29a

Question	Yes	No	Don't Know	N/A
Does the practice encourage staff to adopt healthier lifestyles and encourage health improvement?				

Question	Yes	No	Don't Know	N/A
Has your LHB asked the practice to participate in local disease prevention and/or health promotion projects?				
Do you have information in your practice to give to patients, e.g. on smoking cessation?				