

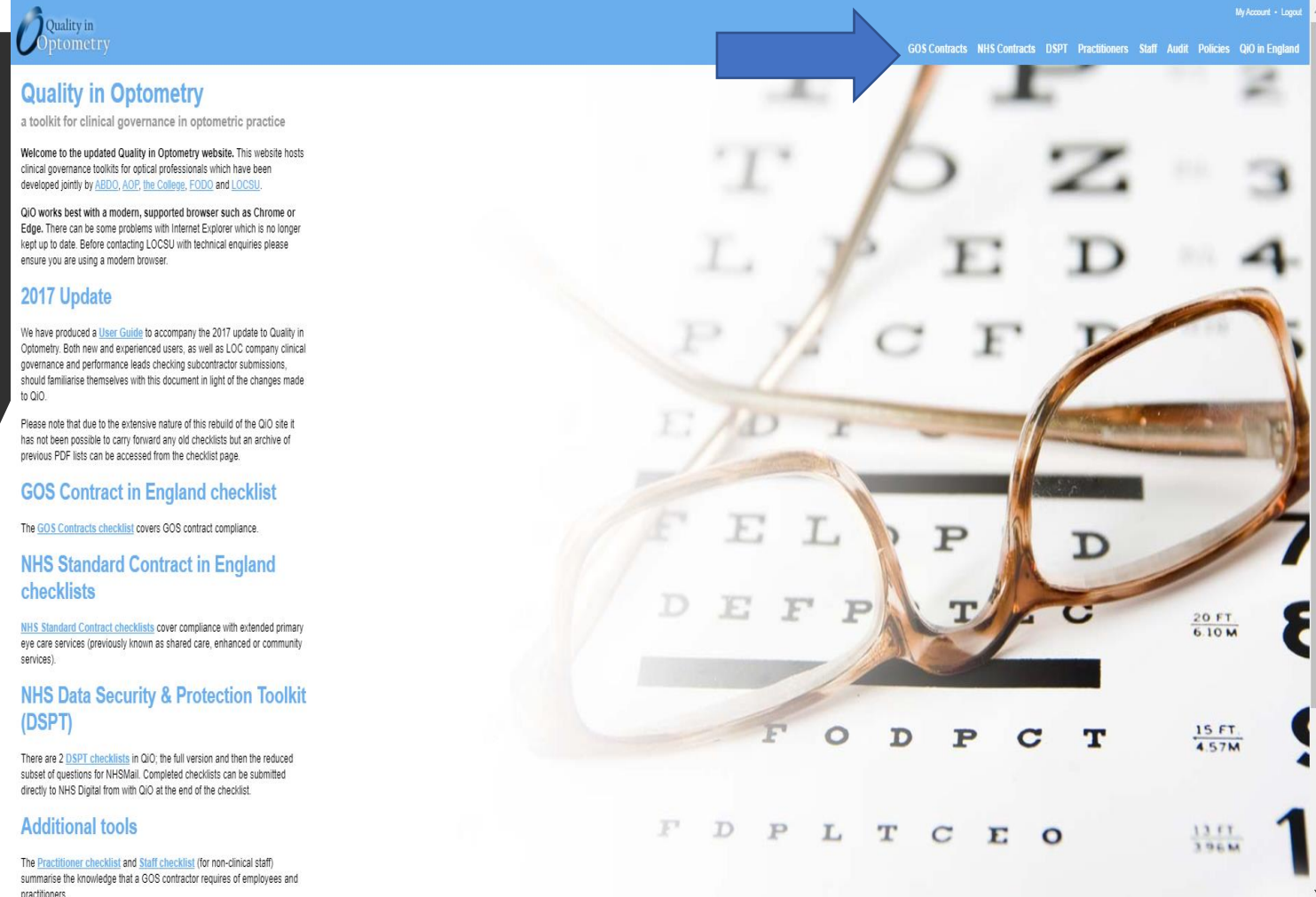
# Primary Eyecare

## PRACTICE QiO GUIDANCE

Outline of the QiO  
Compliance required to  
deliver services.

Login in  
<https://www.qualityinoptometry.co.uk/>

- You will see this page – click on GOS Contracts Tab.



The screenshot shows the Quality in Optometry website interface. At the top, there is a blue navigation bar with the Quality in Optometry logo on the left and a menu on the right. The menu items are: GOS Contracts, NHS Contracts, DSPT, Practitioners, Staff, Audit, Policies, and QIO in England. A large blue arrow points from the left towards the 'GOS Contracts' tab. Below the navigation bar, the main content area has a heading 'Quality in Optometry' followed by a sub-heading 'a toolkit for clinical governance in optometric practice'. The main text welcomes users to the updated website and lists the organizations that developed the tools: ARDO, AOP, the College, FODO, and LOCSU. It also provides browser compatibility information. Below this, there is a '2017 Update' section with a 'User Guide' link. Further down, there are three sections: 'GOS Contract in England checklist', 'NHS Standard Contract in England checklists', and 'NHS Data Security & Protection Toolkit (DSPT)'. Each section has a brief description of its content. At the bottom, there is an 'Additional tools' section with links to 'Practitioner checklist' and 'Staff checklist'. The background of the website is a blurred image of a pair of glasses on a vision chart.

Quality in Optometry

My Account - Logout

GOS Contracts NHS Contracts DSPT Practitioners Staff Audit Policies QIO in England

## Quality in Optometry

a toolkit for clinical governance in optometric practice

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Please note that due to the extensive nature of this rebuild of the QIO site it has not been possible to carry forward any old checklists but an archive of previous PDF lists can be accessed from the checklist page.

### GOS Contract in England checklist

The [GOS Contracts checklist](#) covers GOS contract compliance.

### NHS Standard Contract in England checklists

[NHS Standard Contract checklists](#) cover compliance with extended primary eye care services (previously known as shared care, enhanced or community services).

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There are 2 [DSPT checklists](#) in QIO; the full version and then the reduced subset of questions for NHSMail. Completed checklists can be submitted directly to NHS Digital from with QIO at the end of the checklist.

### Additional tools

The [Practitioner checklist](#) and [Staff checklist](#) (for non-clinical staff) summarise the knowledge that a GOS contractor requires of employees and practitioners.

GOS Contract  
My Checklists

My checklists

<a href="#">LOC</a> GOS Contract (England) • updated 22/02/2017
<a href="#">LOC</a> GOS Contract (England) • updated 02/02/2018

See the [Submissions](#) page for a record of GOS Contract checklists you have submitted to the NHS or your PECS through Quality in Optometry.

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Create new checklist

Checklist type  
GOS Contract (England) ▼

Contractor \*  
LOC

Contractor address \*

CCG (NHS clinical commissioning group) \*  
Heywood, Middleton & Rochdale CCG ▼

LOC (local optometric committee) \*  
Greater Manchester East LOC ▼

NHS regional team \*

Create checklist

Introduction

Welcome to the GOS contract compliance checklist.

The GOS Contracts checklist is designed to demonstrate contractor compliance with the GOS contract. Under NHS England's checking and monitoring function, contractors will be asked to complete and submit their GOS report once every three years, together with an action plan for rectifying any non-compliant issues. Practices that flag as outliers on this and other criteria, together with a small random selection of others, can expect to receive compliance visits.

Please note: The GOS checklist is no longer split into levels. What were previously levels 2 and 3 are now covered by the [NHS Standard Contract checklists](#)

Please note: QIO for Wales is no longer available, as Optometry Wales is currently developing new QIO content. If you are a practitioner in Wales and have questions regarding this please contact Optometry Wales: <http://www.optometrywales.org.uk>

Using the checklist

- 1. Create a checklist**  
To begin, enter a name for your checklist, and complete the fields. Select **create checklist**.
- 2: Start a section**  
There are four sections to the GOS contract: A, B, C and D. Click **Start checklist** to begin a section. Answer each question in turn selecting and entering appropriate responses. Don't worry about making mistakes as you may change your answers at any time. When you have saved your responses, return to the summary and you will be shown how compliant you are with the standards.
- 3. Complete an action plan:**  
Click the **Action plan** button to complete an action plan for all sections with non-compliant responses. NHS England require an action plan to be completed for all non-compliant points.
- 4: Submit to NHS:**  
When you have completed all checklist sections, and an action plan for all non-compliant responses, you may submit your checklist directly to NHS England. Click the **Continue...** button at the bottom of your checklist to continue.

Note: you cannot save or print your completed checklist until you have uploaded it as above. Also note that once checklists have been submitted they cannot be edited so make sure you are happy with your checklist before submitting.

In some cases you will need to enter explanatory text in the notes field under each question.

GOS Contracts Tab - You will see this page

Please ensure that you complete Each Section.

(you may already have a previous one saved please ensure it has been completed within a 3yr period)

then [click on create checklist](#)

Checklist created — please start your first checklist below

GOS Contract

## GOS Contract (England)

[← Back to checklists](#) [Checklist settings](#)

### Section A: All contracts

Start this section and complete all required questions

Start section

### Section B: Mandatory contracts (fixed premises)

Start this section and complete all required questions

Start section

[Mark section as not applicable](#)

### Section C: Additional contracts (domiciliary)

Start this section and complete all required questions

Start section

[Mark section as not applicable](#)

### Section D: Declaration

Start this section and complete all required questions

Start section

## GOS Contracts

You will then go through to this screen

Complete ALL questions in every Section that applies to you. Section B (fixed sites)  
Section C (domiciliary)

Submit and save as PDF report to your computer ready to upload on to the OPERA platform where it requests

**GOS Contract  
GOS Contract (England)**

Contractor: Test Practice  
 Contractor address: Test Practice Address  
 CCG (NHS clinical commissioning group): Company covering multiple CCGs  
 LOG (local optometric committee): Company covering multiple LOGs  
 NHS regional team: Cheshire and Merseyside  
 Report date: 15/10/2020

**Section A: All contracts**

Compliance: 100% (47/47 questions)

A	1	Practice details	Practice name: Name Contractor name: Name Practice/Correspondence address: address Practice manager (not required): name Telephone: telephone Fax: fax Website (not required): optional Email: email
A	3.1	Business type	Limited company
A	3.5	Business details	Owner or Chief Executive's name: name Partners or Directors names: name Registered address (if different): address Company secretary name (body corporate only): name Companies House registration number (body corporate only): number
A	3.8	Is the contractor using a protected title and if so is it being used correctly	yes
A	4	Contracts applied for/held	Mandatory
A	5	Hours of practice opening (including lunchtime closure)	hours
A	6	Performers in regular attendance	Optometrist/GMP name: Optometrist GOC number: GOC Number Professional indemnity provider (e.g. AOP/POD): AOP/POD NHS England region responsible for Performer management: NHS Region
A	7.1	How does the contractor ensure that all clinical staff have up to date professional registration	Yes
A	7.2	Does the contractor check the references of all registered clinical staff (including locums)	Yes
A	7.3	How does the contractor check that all performers are covered by up to date professional indemnity insurance (where applicable)	Confirm

**Section C: Additional contracts (domiciliary)**

Compliance: 100% (10/10 questions)

C	24.1	Is there a Suitable GOS patient list	Yes
C	24.2	Is contractor aware of domiciliary code of practice	Yes
C	24.3	How does contractor comply with notification requirements for domiciliary visits	response
C	24.4	Has the practice got a suitable lone worker policy and is this regularly reviewed	Yes
C	25	Mobile equipment requirements	Distance test chart (manually illuminated or computer): Yes Distance test chart suitable for children / non-English speaking capability: Yes Measuring Ocular: Yes Trial lenses and accessories: Yes Trial frame: Yes Refractor: Yes Ophthalmoscope: Yes Distance/ocular vision test: Yes Near vision test: Yes Magnification for anterior eye examination: Yes Tonimeter: Yes Amsler grid: Yes Means of assessing visual field: Yes Footplate: Yes Frame rule or similar: Yes
C	25.1	All equipment is in working order and is fit for purpose	Yes
C	25.1	Optalmic drugs (25.1-25.6) Essential to provision of GOS. Check optional dependent on practice and instrumentation	Mydriatic (e.g. tropicamide) available and in use: Yes Staining Agents (e.g. fluorescein/Benget) available and in use: Yes Cycloplegic (e.g. cyclopentolate) available and in use: Yes Anesthetics (e.g. chlorbutol) and in use: Yes Topical anaesthetics (e.g. proparacaine/ tetracaine): Yes
C	25	Optalmic drugs are available (essential to provision of GOS)	Mydriatic (e.g. tropicamide): Yes Staining Agents (e.g. fluorescein): Yes
C	25	Optalmic drugs are available (optional dependent on practice and instrumentation)	Cycloplegic (e.g. cyclopentolate): Yes Anti-inflammes (e.g. chloramphenicol): Yes Topical anaesthetics (e.g. proparacaine): Yes

**Section D: Declaration**

Compliance: 0% (0/1 questions)

D	100	I certify that the information provided to the best of my knowledge and belief, represents the Practice Contractor's provision of services under its current GOS	
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**Section B: Mandatory contracts (fixed premises)**

Compliance: 100% (40/40 questions)

B	16.1	Current notice of eligibility for NHS eye examination, 1616, 1617 and 1618. Complete as displayed and provided as appropriate	Yes
B	16.2	Details of business ownership and registered office are displayed in an accessible location	Yes
B	16.3	Most recent version of Health and Safety poster (a copy) or copies applied to individual staff	Yes
B	16.4	No smoking sign is displayed	Yes
B	16.6	Has the practice got a suitable shopfront sign, regularly reviewed, and is notice displayed in a prominent place	Yes
B	17.1	Health and safety risk assessment done (must be documented) if 6 or more employees or if contractor contract to provide services in the organisation	Yes
B	17.2	Does the Contractor have a health and safety policy	Yes
B	17.3	Has the practice got a suitable lone worker policy and is this regularly reviewed	Yes
B	17.4	Can the Contractor explain their responsibilities under RIDDOR	Yes
B	17.5	A suitable first aid kit is available, the contents are up to date and location clearly identified	Yes
B	17.6	Contractor has an accident report book or other arrangements and this is compliant with Data Protection Act requirements	Yes
B	17.7	Portable appliances (PAT) testing and/or regular visual inspection of appliances is carried out	Yes
B	17.8	Fixed installation electrical testing has been undertaken	Yes
B	18.1	Has the fire risk assessment been completed	Yes
B	18.2	Fire extinguishers	Yes
B	18.3	Fire extinguishers serviced on a regular basis as per manufacturer's recommendations	Yes
B	18.4	Fire exit signs	Yes
B	18.5	Fire exit clear	Yes

• GOS Contracts

• This is what your PDF Report download will look like.

• Please Note : we require this form to show 100% compliant for All sections otherwise it will be rejected

- Go Back to the Main page – click on NHS Contracts Tab.



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NHS Contracts Tab - You will see this page

Please ensure that you complete Each Section.

Create checklist select Subcontractor Practice (Primary Eyecare Services Limited)

then click on create checklist

### My checklists

- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 22/02/2017
- [LOC](#)  
LOC company subcontractor (short form) • updated 22/02/2017
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 02/02/2018
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 09/11/2018
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 23/01/2019
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 07/09/2020
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 10/09/2020
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 10/09/2020
- [LOC](#)  
Subcontractor Practice (subcontracting from a Primary Eyecare Company) • updated 08/10/2020
- [LOC](#)  
Subcontractor Practice (Primary Eyecare Services Limited) • updated 13/10/2020

See the [Submission](#) page for a record of NHS Standard Contract checklists you have submitted to the NHS or your PECs through Quality in Optometry.

See the [Checklist Archive](#) to find checklists created prior to February 2017.

### Introduction: choosing the appropriate checklist

**NHS Standard Contract checklists** are designed to demonstrate compliance with extended primary eye care contracts (also known as shared care, enhanced or community services). This supersedes the previous GOS QIO Levels 2 and 3 which no longer exist.

There are four contracting scenarios. **You select one option: which one depends on your contracting scenario as below:**

**Contracting scenario 1: LOC companies**  
For **LOC company** directors/leads/business managers etc complete either this checklist. Note that contract compliance text is provided verbatim from the Standard Contract, which is addressed to all providers. In the LOC Company scenario, the LOC Company is the head provider, but does not itself deliver services to the public.

**Contracting scenario 2: subcontractors to an LOC company that is not Primary Eyecare Services (PEs)**  
For optical practices which are **subcontractors to an LOC company other than PEs**, complete this checklist.

**Contracting scenario 3: practices contracting directly with the commissioner**  
For **practices contracting directly with the commissioner**, complete this checklist.

**Contracting scenario 4: subcontractors to Primary Eyecare Services (PEs)**  
For optical practices which are **subcontractors to PEs**, complete this checklist.

Policies required for all contracting scenarios are found in the Policy Builder section of this website.

Whichever option you choose, the relevant NHS Standard Contract General Conditions and Service Conditions questions are displayed following the creation of your checklist. To find out to do this see below:

### Using the checklist

**1: Create a checklist**  
Select the checklist type as per your contracting scenario (above). Enter a name for your checklist and click **Create checklist**.

**2: Start the checklist**  
Click **Start checklist** and answer each question in turn. Don't worry about making mistakes as you may change your answers at any time. When you have saved your responses, return to the summary and you will be shown how compliant you are with the standards.

**3: Download report and/or submit to your PEC**  
When you have completed a checklist, you may generate a report based on your responses. If you are a PEC subcontractor, you will be given the option to submit your checklist directly to your Primary Eyecare Company through QIO.

Note: you cannot save or print your completed checklist until you have uploaded it as above.

Note: Information Governance checklists contain questions that are not part of the DSPT checklists, and so require completion for users to demonstrate full IG compliance.

Make sure that all boxes are selected on checklist creation. Multiple must follow the SOP on QIO completion and complete the Practice Details and Roles Statement.  
<https://www.qualityinoptometry.co.uk/policy/Policyv2/> and <https://www.qualityinoptometry.co.uk/policy/Policyv3/>

Also note that once checklists have been submitted they cannot be edited so make sure you are happy with your checklist before submitting.

### Create new checklist

Checklist type  
Subcontractor Practice (Primary Eyecare Services Limited)

Contractor \*  
LOC

Contractor address \*

LOC (local optometric committee)  
Greater Manchester East LOC

ODS number

Checklist created — please start your first checklist below

NHS Standard Contract

### Subcontractor Practice (Primary Eyecare Services Limited)

[← Back to checklists](#) [Checklist settings](#)

#### Declaration

Start this section and complete all required questions

Start section

#### Information governance

Start this section and complete all required questions

Start section

#### Download report

Download a report to submit to Primary Eyecare Services Limited:

Please answer all questions first

PDF report

Excel report

## NHS Contracts

You will then go through to this screen

Complete ALL questions in every Section

Submit and save as PDF report to your computer ready to upload on to the OPERA platform where it requests



Information governance

Compliance: 100% (28/28 questions)

11-115	Practice has an up to date information governance policy?	Yes
11-115	Information governance and data policies signed off by senior staff member?	Yes
11-115	Information governance and data policies have been shared with all staff members?	Yes
11-116	Do staff and practice owners have confidentiality clauses in their contracts of employment or as an additional undertaking?	Yes
11-116	If yes: Example confidentiality contract clause?	Yes
11-116	Audit of all staff with access to patient data and if they have a confidentiality clause?	yes
11-116	Date of last staff access audit review	dd/mm/yyyy; 01/01/2020
11-117	IG policies read and implemented by all staff	Yes
11-117	Date of last training audit (policies read and implemented)	dd/mm/yyyy; 01/01/2020
11-200	Is patient data retained in UK countries?	Yes
11-200	If no: If data is transferred outside the UK then are all transfers examined and mapped?	Yes
11-200	Date of last patient data country review	dd/mm/yyyy; 01/01/2020
11-212	Is there evidence of guidelines on seeking patient consent to use their information?	Yes
11-212	Name of staff member who approved the guidelines?	Staff member responsible: Name
11-212	Confirm that staff are aware of guidelines e.g. staff signature sheet	yes
11-212	Date of last patient consent guideline review	dd/mm/yyyy; 01/01/2020
11-214	Staff confidentiality code of conduct available?	Yes
11-214	Name of staff member who approved the confidentiality code of conduct	Staff member responsible: Name
11-214	Confirm that staff have been made aware of confidentiality code of conduct e.g. staff signature list	Yes
11-214	Date of last confidentiality code of conduct review	dd/mm/yyyy; 01/01/2020
11-318	Do you hold a record of staff use of mobile computing devices	Yes
11-318	Evidence of guidance provided to staff who use mobile computing devices	Yes
11-318	Evidence that staff are aware of the guidelines around the use of mobile computing devices	Yes
11-310	Has the practice conducted a business impact analysis?	Yes
11-320	Person for responsibility for information security	Staff member responsible: Name



NHS Contracts

This is what your PDF Report download will Look like.

**Please Note :** we require this form to show 100% compliant for both sections otherwise it will be rejected

NHS Standard Contract Subcontractor Practice (Primary Eyecare Services Limited)

Contractor: Test Practice  
 Contractor address: Test Practice Address  
 CCG (NHS clinical commissioning group): Company covering multiple CCGs  
 LOG (local optometric committee): Company covering multiple LOGs  
 PEGS (primary eyecare company): Primary Eyecare Services Limited  
 ODS number: TEST  
 Report date: 15/10/2020

Declaration

Compliance: 100% (11/11 questions)

		All practices delivering services as subcontractors to Primary Eyecare Services (PES) are required to abide by the PES policy pack as a condition of delivering the service. Subcontractor practices understand that the questions in this checklist are additional practice-specific questions which complement PES policies.	Yes
4.3.3	SC4	Health and Safety policy	Yes
5	GC5	HR policy incorporating the principles of good employment practices	Yes
5	GC5.4	Annual check to confirm that all performers are registered on the national performers list	Yes
5	GC5.4	The subcontractor practice, and all professional staff providing the service, have and maintain professional indemnity insurance	Yes
5	GC5.4	The subcontractor's staff who perform the clinical services have and maintain clinical negligence insurance	Yes
5	GC5.4	Equal opportunities policy in place	Yes
5	GC5.1	DBS checks have been carried out	Yes
21	GC21	Do you understand the requirements of Freedom of Information Act (FOIA), Data Protection Act (DPA), Environmental Information Regulations 2004 (EIR), Human Rights Act 1998 (HRA), and also understand the common law duty of confidentiality	Yes
21	GC21	Subcontractor has demonstrated satisfactory compliance as defined in NHS DCPIT as applicable to the Services	Yes
32.3	SC32	Subcontractors audit staff safeguarding requirements annually	Yes



- Go Back to the Main page click on DSPT Tab.



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### Additional tools

The [Practitioner checklist](#) and [Staff checklist](#) (for non-clinical staff) summarise the knowledge that a GOS contractor requires of employees and practitioners.



## Data Security and Protection Toolkit

### My Checklists

#### My checklists

- [LOC](#)  
Optical DSPT • updated 16/05/2019

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- [LOC](#)  
Optical DSPT • updated 04/11/2019

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- [LOC](#)  
Optical DSPT • updated 06/05/2020

See the [Submissions](#) page for a record of Data Security and Protection Toolkit checklists you have submitted to the NHS or your PECs through Quality in Optometry.

#### Create new checklist

Checklist type

Contractor \*

Contractor address \*

#### Guidance for Completion

The DSPT is the successor toolkit to the Information Governance Toolkit. QIO now has a DSPT functionality to simplify your IG compliance.

There are two checklists to choose from:

1) NHSmail checklist:  
Some contractors are required to complete the 15 critical items in order to obtain NHS mail addresses. If this applies to you, create an NHSmail checklist using the tool on the left, complete it and download the pdf and send it to the NHS body that requested you complete this. You should also select 'Submit to NHS Digital' so that NHS Digital can login to QIO itself to see who has completed the checklist.

2) Optical DST checklist:  
This is an expanded checklist which is based on the full optical DSPT. For contractors, subcontractors and PECs involved with extended primary eyecare services (such as MECs) this is what you should do. Create the checklist using the tool on the left and then complete it. NHS Digital will then login to QIO itself to see who has completed the checklist and reflect this on the DSPT site itself. This means that there is no need to complete the DSPT on NHS Digital's website itself - although you can do this instead if you prefer. You should also download a pdf of your submission and retain for your records.

Both checklists are in the familiar QIO format with the question/requirement, help, and templates where necessary. As with other checklists you will need to amend the templates - remember, you are responsible for ensuring your compliance record is correct and accurately reflects your practice.

For people who are required to do the DSPT this is an annual undertaking. The deadline is 31st March of each year.

DSPT Tab - You will see this page

Select Optical DSPT in checklist type.

then click on create checklist

## DSPT

You will then go through to this screen

Complete ALL questions in every Section

Submit and save as PDF report to your computer ready to upload on to the OPERA platform where it requests

The screenshot shows the 'Quality in Optometry' website interface. At the top, there is a blue navigation bar with the logo on the left and links for 'GOS Contracts', 'NHS Contracts', 'DSPT', 'Practitioners', 'Staff', 'Audit', 'Policies', and 'QIO in England' on the right. Below the navigation bar, a green banner displays the message 'Checklist created — please start your first checklist below'. The main content area is titled 'Data Security and Protection Toolkit' and 'Optical DSPT'. It includes two buttons: 'Back to checklists' and 'Checklist settings'. A large yellow banner with the text 'Start this section and complete all required questions' and a 'Start section' button is prominent. Below this, a 'Submit to NHS Digital' section contains a yellow banner saying 'Please answer all questions first', a 'Start process...' button, and a 'Download the report that will be included with your submission:' section with a 'PDF report' button. The footer features logos for the Department of Health, NHS Digital, FDOO, and LOCSU, along with the text 'Funded by LOCSU on behalf of the profession © 2017-2020 - Generalist - Primary'.

## Data Security and Protection Toolkit Optical DSPT

Contractor: Test Practice  
Contractor address: test  
Report date: 15/10/2020

### Optical DSPT

Compliance: 100% (71/71 questions)



1.1.1	Name of Senior Information Risk Owner:	Name
1.1.2	Senior Information Risk Officer Responsibility for data security has been assigned:	Yes
1.1.3	Name of Caldicott Guardian:	Name
1.1.4	Who are your staff with responsibility for data protection and/or security?	Name
1.1.6	Name of Appointed Data Protection Officer:	Rupesh Bagdal
1.2.1	There is a data security and protection policy or policies that follow relevant guidance:	Yes
1.2.2	When were the data security and protection policy or policies last updated?	2020-01-01
1.2.3	Policy has been approved by the person with overall responsibility for data security:	Yes
1.3.1	ICO Registration Number:	Number
1.3.2	Transparency information is published and available to the public:	Yes
1.3.3	How have individuals been informed about their rights and how to exercise them?	This requirement is met through your privacy policy and the patient information leaflet.
1.3.4	There is a staff procedure about how to provide information about processing and individuals' rights at the correct time:	Yes
1.3.5	There is an updated subject access process to meet shorter GDPR timescales:	Yes
1.3.6	Provide details of how access to information requests have been complied with during the last twelve months:	Test
1.4.1	A record (e.g. register or registers) that details each use or sharing of personal information including the legal basis for the processing:	Yes
1.4.2	Have information flows been approved by the person responsible for data security?	Yes
1.4.3	Date of when information flows were approved by the person with responsibility for data security:	2020-01-01
1.4.4	Provide a list of all systems/information assets holding or sharing personal information:	Test

3.3.1	Percentage of Staff Successfully Completing the latest Data Security Awareness Training:	Yes
3.4.1	Number of staff assessed as needing time specialist training:	yes
3.4.2	Number of staff completing advanced Data Security Training:	yes
3.5.1	SIPO and Caldicott Guardian have received appropriate training:	Yes
4.1.1	The organisation maintains a current record of staff and roles:	Yes
4.1.2	For each system holding personal and confidential data, the organisation understands who has access to the information:	Yes
4.2.1	Date last audit of user accounts held:	2020-01-01
4.2.2	Are system administrators have signed an agreement which holds them accountable to the highest standards of care:	Yes
4.2.3	Staff have provided access understanding that their activity of systems can be monitored:	Yes
5.1.1	Dates of process reviews held to identify and manage process processes which create security breaches:	Yes
5.1.2	A data security and protection breach reporting system is in place:	Yes
5.1.3	Last of data security breach reports in the last twelve months with action plans:	4
5.1.4	The person with overall responsibility for data security is notified of the action plan for all data security breaches:	Yes
5.1.5	Individuals affected by a breach are appropriately notified:	Yes
5.2	Number of breaches that have been reported to the Information Commissioner:	0
5.3.1	Name of antivirus product:	yes
5.3.2	Number of alerts recorded by the AV in the last three months:	yes
5.3.3	Number of spam emails blocked per month:	yes
7.1.1	There is an incident management and business continuity plan in place for data security and protection:	Yes
7.2.1	All emergency contacts are kept securely in hardcopy and are up-to-date:	Yes
7.2.2	Location of hardcopy of emergency contacts:	yes
7.2.3	Date emergency contact list updated:	2020-01-01
8.1.1	Other software do you use?:	yes
8.2.1	List of processing software processed according to business use, with retention plan agreed each year:	yes

8.2.3	The person with overall responsibility for data security confirms that the risks of using unsupported systems are being treated or tolerated:	Yes
8.3.1	Provide your strategy for security updates:	yes
8.3.2	How regularly do you apply security updates to desktop infrastructure:	yes
9.1.1	The person with overall responsibility for IT infrastructure confirms all networking components have had their default passwords changed:	Yes
10.1.1	The organisation has a list of its suppliers that handle personal information, the products and services they deliver, their contact details and the contract duration:	Yes
10.1.2	Contracts with all third parties that handle personal information are compliant with GDPR:	Yes
10.2.1	Basic due diligence has been undertaken against each supplier according to ICO guidance:	Yes

1.4.8	List of systems which do not support individual login with the user's account and what deauthorising measures are in place:	List
1.5.1	There is approved staff guidance on confidentiality and data protection levels:	Yes
1.5.2	Data Protection Compliance monitoring staff spot or check the regularly carried out to ensure guidance is being followed:	Yes
1.5.3	Results of staff spot checks and actions taken when data protection compliance is not followed:	Results
1.6.1	There is a procedure that sets out the requirements for data protection by design and by default, which includes data protection requirements:	Yes
1.6.1.1	All high risk data processing has a Data Protection Impact Assessment carried out before processing commences:	Yes
1.6.1.2	All Data Protection Impact Assessments with completed have been notified to the ICO:	Yes
1.6.2	Data Protection by design procedure has been signed:	Yes
1.6.3	There are technical controls that prevent information from being inappropriately added or disseminated:	Yes
1.6.4	There are physical controls that prevent unauthorised access to data:	Yes
1.6.7	There is a staff procedure on carrying out a Data Protection Impact Assessment that follows relevant ICO guidance:	Yes
1.7.1	There is policy and staff guidance on data quality:	Yes
1.8.1	There is guidance that sets out for staff the minimum retention periods for data and whether the return to be taken when records are to be securely destroyed or archived:	Yes
1.8.2	A records retention schedule has been produced:	Yes
1.8.3	Provide details of any personal data shared contracts were last reviewed/updated:	Yes
1.9.1	When was the last review of the list of all systems/information assets holding or sharing personal information:	2020-01-01
2.1.2	The list of all systems/information assets holding or sharing data that is processed in the organisation has been updated to reflect the current state of the organisation's overall responsibility for data security:	Yes
2.2.1	There is a data protection and security induction in place for all new entrants to the organisation:	Yes
2.3.1	All employment contracts contain data security requirements:	Yes
3.1.1	A data security and protection training needs analysis has been conducted:	Yes
3.1.2	Date of last data security and protection training needs analysis:	2020-01-01
3.1.3	Training needs analysis person with overall responsibility:	Yes

## • DSPT Contracts

• This is what your PDF Report download will look like.

• Please Note : we require this form to show 100% compliant for this section otherwise it will be rejected

## DSPT

We can Also accept this screenshot as evidence of competition of DSPT

The screenshot displays the NHS Digital Data Security and Protection Toolkit (DSPT) interface. At the top, the NHS Digital logo is visible on the left, and 'Account Logout' is on the right. Below the logo, the text 'Primary Eyecare Services Ltd. Change organisation' is present, along with 'Organisation search News Help'. A dark navigation bar contains 'Assessment Report an Incident Admin -'. Below this, a breadcrumb trail shows '← Publications'. The main content area features a large heading: '19/20 Standards Met Assessment - 16/03/2020 12:55'. Below the heading, it states 'Published by: rupesh bagdai' and 'Published as: Primary Eyecare Services Ltd. (AFW)'. A section titled 'Organisation Profile' follows, with a table of details:

Primary Sector	NHS Business Partner
Caldicott Guardian	Rupesh Bagdai Chief Governance Officer

- This is the end of the Guidance
- **Once you have completed all sections and have your GOS, NHS & DSPT checklists saved to your computer – Register on OPERA and upload**
- If you have any queries please contact PES on: [info@primaryeyecare.co.uk](mailto:info@primaryeyecare.co.uk)

The logo for Primary Eyecare features the word "Primary" in a light blue, sans-serif font. Below it, the word "Eyecare" is written in a dark blue, sans-serif font. The letter "E" in "Eyecare" is stylized with a white crossbar, resembling a plus sign. The logo is set against a white background that is partially enclosed by a thick, blue, hand-painted circular border on the right side of the slide.

Primary  
Eyecare