

1 **Seeing new opportunities to help smokers quit: A UK national survey of optometrist**
2 **delivered smoking cessation behavioural support interventions.**

3
4
5 Fabiana Lorencatto,^{1,2} Shamina Asif.,³ Jill J. Francis,² Alice M. Harper,² & John G.
6 Lawrenson.⁴

7
8 **Author Affiliations:**

9
10 ¹ Centre for Behaviour Change, University College London, London, UK.

11 ²Centre for Health Services Research, School of Health Sciences, City, University of London,
12 London, UK.

13 ³ College of Optometrists, London, UK.

14 ⁴ Centre for Applied Vision Research, School of Health Sciences, City, University of London,
15 London, UK.

16
17 **Corresponding author:** Fabiana Lorencatto, Centre for Behaviour Change, University College
18 London, WC1E 7HB, London, UK. Tel: (+44) (0) 20 7679 1237; Email: F.lorencatto@uc;l.ac.uk

19
20 **Keywords:** Smoking cessation, national survey, behavioural support, optometrist, very brief
21 advice, training, current practice

22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51

1 **ABSTRACT**

2

3 **Background:** Smoking is a risk factor for various eye conditions. Brief smoking cessation
4 interventions have demonstrated effectiveness when delivered by a range of healthcare
5 professionals. Optometrists are well-placed in the community to advise otherwise healthy
6 smokers to quit, yet remain relatively neglected in smoking cessation research and policy. In
7 a national survey, this study investigated self-reported practices of UK optometrists for
8 delivering brief tobacco smoking cessation interventions to patients.

9

10 **Methods:** A randomly selected sample of 1,200 optometrists out of the 9000 optometrists
11 registered on the UK College of Optometrists database were invited to complete a 40-item,
12 web-based survey assessing: training related to smoking cessation; current practice [i.e. the
13 proportion of patients to which components of very brief advice (Ask, Advise, Assist) and
14 other evidence-based smoking cessation behaviour change techniques were delivered]; and
15 barriers/enablers to intervention delivery.

16 **Results:** In total, 408 (34%) responses were received. Most (83%) optometrists received no
17 training in practical skills for delivering smoking cessation support. A third (34%) routinely
18 assessed smoking status. Fewer self-reported advising smokers to quit (22%), offering
19 assistance (via referral to dedicated services) (3%), or advice on smoking cessation
20 medications (2%). Perceived barriers included insufficient knowledge/training (81%) and
21 time (65%). Optometrists were more likely to assess and advise on smoking cessation if they
22 practised in Scotland ($\chi^2(2)=32.95$, $p<0.001$), an independent optometry practice
23 ($\chi^2(1)=4.27$, $p=0.39$), or had received smoking cessation training ($\chi^2(1)=13.1$, $p<0.001$).

24

1 **Conclusions:** Substantial gaps exist in UK optometrists' current smoking cessation training
2 and practice. Evidence-based training resources are needed to support the implementation of
3 smoking cessation interventions into routine optometry practice.

4
5 **IMPLICATIONS**

6
7 Optometrists are well placed in the community to delivery brief advice interventions to a
8 large population of smokers. This survey provides a comprehensive description of current
9 UK optometry practice related to the provision of evidence-based brief tobacco smoking
10 cessation interventions to patients. Although optometrists perceive advising on smoking
11 cessation as part of their role, numerous substantial gaps in current practice and training
12 remain which need to be addressed through targeted interventions to increase
13 implementation.

14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40

1 INTRODUCTION

2

3 Behavioural support interventions for smoking cessation have been shown to be highly
4 effective and cost-effective (1). Such interventions aim to maximize smokers' motivation to
5 quit, promote effective use of pharmacological interventions, and facilitate relapse prevention
6 and coping (2-4). Behavioural interventions can be delivered at different intensities- from
7 very brief advice (VBA) (i.e. the 3A's: Ask about smoking status, Advice on smoking
8 cessation, Assist the smoker to quit), delivered once off, over a few minutes, with the primary
9 aim of promoting quit attempts (5); to more intensive cessation focused, multi-session
10 support delivered by specialist advisors in dedicated stop smoking services (1).

11

12 The UK National Institute of Health and Care Excellence (NICE) Smoking Cessation Quality
13 Standards (2013) (6) and equivalent guidelines internationally (7) recommend that all
14 healthcare professionals routinely assess smoking status in patients. Various healthcare
15 professionals have become involved in delivering VBA interventions, including: General
16 Practitioners (i.e. GPs/ family physicians), cardiologists, nurses, pharmacists, psychologists,
17 midwives, and dentists (8, 9). Smokers receiving VBA from such healthcare professionals are
18 more likely to make a quit attempt, and succeed, compared to those offered no advice or
19 support (5). However, to date, optometrists have remained a relatively neglected healthcare
20 professional group in smoking cessation policy, research and service provision; representing
21 an untapped resource with the potential to contribute to smoking cessation (10, 11).

22

23 This overlooked opportunity is surprising, given smoking is one of the leading modifiable
24 factors associated with age-related macular degeneration- the most common cause of
25 blindness in the UK (12), and other ocular conditions such as cataracts (13) and thyroid eye
26 disease (14). However, public awareness in the UK of links between smoking and ocular

1 health risks is low (15). Furthermore, it has been argued that optometrists are especially well
2 placed to deliver smoking cessation support to a wide range of smokers, who are otherwise
3 healthy and may not come into regular contact with healthcare professionals (16). The role of
4 optometrists in healthcare delivery has recently expanded to include broader health
5 promotion. Optometrists often advise on dietary lifestyle changes to patients at risk of, or
6 newly diagnosed with, age-related macular degeneration (17). It has therefore been suggested
7 that optometrists should also advise on smoking cessation; to the extent that in the UK, the
8 College of Optometrists has responded to the NICE Smoking Cessation Quality Standards
9 requesting the role of optometrists in delivering smoking cessation support be recognized
10 (18).

11 However, there is limited knowledge regarding the extent to which optometrists currently
12 deliver smoking cessation support to patients. The few studies conducted to date in the UK
13 and internationally (i.e. Canada, USA, Australia) report that, although most optometrists are
14 aware of the link between smoking and ocular conditions, and believe assessing smoking
15 status in patients is part of their role (11, 19-21), there is wide variation in the proportion of
16 optometrists (6% to 50%) that actually ask patients about smoking habits during a
17 consultation (11, 17, 21, 22). An even smaller proportion of optometrists assess patients'
18 motivation to quit (6%), or offer advice regarding possible strategies for quitting (2% to
19 13%)(23). Reported barriers to delivering smoking cessation interventions include lack of
20 financial incentives, training, knowledge, and time (11, 23).

21

22 However, these studies are arguably not representative of current practice in the UK. Existing
23 UK-based surveys have primarily been conducted over 10 years ago (21, 22). More recent
24 surveys have either been conducted in different countries and/or healthcare systems (11, 20,
25 23), or do not comprehensively assess the delivery of all components of evidence-based

1 smoking cessation VBA (i.e. enquire about ‘Ask’ component but not ‘Advise’ or ‘Assist’)
2 (17). There is thus a need to comprehensively assess and establish UK optometrists’ current
3 practice.

4
5 The aim of the current study was to conduct a national survey to determine current practice
6 amongst UK optometrists regarding the delivery of brief evidence-based interventions (i.e.
7 VBA) for tobacco smoking cessation. Secondary aims were to: i) investigate variation in
8 service provision according to optometrists’ characteristics (e.g. years of experience,
9 training), and ii) examine optometrists’ perceived barriers and enablers to delivering smoking
10 cessation interventions to patients.

11

12 **METHODS**

13 This study received ethical approval from the City University London School of Health
14 Sciences ethics committee (Ref: Opt/Proportionate Review/24).

15 **Design**

16 National web-based survey.

17 **Participants and Sampling**

18 Potentially eligible participants included currently practising optometrists registered on the
19 membership database of the UK College of Optometrists. This database currently has 9,000
20 registered members. A pragmatic approach to maximizing response rate was taken by
21 recruiting a randomly selected sub-sample of all registered members. This was deemed likely
22 to increase response rate as a smaller sample facilitates identification of bounce back emails,
23 regional selection, and personalization of invitation emails (24). Following the methods of
24 Dabasia et al. (2014), the required sample size was calculated using Cochran’s formula for
25 continuous and categorical data (24, 25). Using this formula, based on a 5% error margin and

1 alpha set at 0.05, for a population of approximately 9,000 potential participants, a sample size
2 of 370 responses was deemed necessary. Previous literature on optometrists' responses to
3 surveys estimates a 30% response rate (24). Therefore, to account for this, 1,200 optometrists
4 currently registered on the College of Optometrists database membership were randomly
5 sampled and invited to participate in the survey.

6

7 **Materials: questionnaire**

8 A 40-item questionnaire was developed, informed by: i) the content of previous surveys of
9 smoking cessation practice in optometrists (11, 17, 20, 22); and ii) a survey of UK specialist
10 stop smoking practitioners' self-reported practices, attitudes and levels of training (26), which
11 captures delivery of current, evidence-based guidelines for smoking cessation behavioural
12 support interventions (3).

13

14 The questionnaire was structured into four sections. *Section 1:* Respondent demographics
15 [e.g. years qualified, country, main place of work- i.e. independent practice vs multiple
16 practice (small groups/ optometry chains), educational qualifications, and current/past
17 smoking status]. *Section 2:* Respondent's training in smoking cessation [e.g. whether taught
18 to assess smoking status (Yes/No/Cannot remember); extent to which respondent felt they
19 have sufficient knowledge/training to deliver smoking cessation support (5 point Likert-scale
20 from 1- 'Strongly Disagree' to 5- 'Strongly agree')]. *Section 3:* Current practice and service
21 provision related to smoking cessation. Respondents were asked to estimate to what
22 proportion of patients (1- None to 5- All) they deliver components of VBA (i.e. Ask, Advise,
23 Assist), alongside other evidence-based smoking cessation behavior change techniques (27).
24 *Section 4:* Listed potential barriers and enablers to delivering smoking cessation interventions
25 (e.g. lack of knowledge/ skills, concern over intruding on patients' lifestyle choice), which

1 respondents were asked to tick all that apply. Respondents were asked to rate the extent to
2 which they considered supporting patients to quit part of their role on a five-point Likert-
3 scale from 1- 'Not at all' to 5- 'Main part of my role,' and what level of appropriate
4 funding/financial incentives would motivate them to offer smoking cessation services within
5 their practice.

6

7 Two optometrists with expertise in smoking cessation reviewed an initial draft of the
8 questionnaire for content validity. The final questionnaire is available as Supplementary File
9 1.

10

11 **Procedure**

12 The survey was conducted in June 2015. The questionnaire was uploaded and hosted online
13 using the tool 'SurveyMonkey' (a provider of web-based surveys; www.surveymonkey.com).

14 A personalized, explanatory letter of invitation to take part in the survey was sent via email
15 from the College of Optometrists to the sub-sample of randomly selected 1,200 optometrists.

16 Weekly reminders were sent to non-responders up to four weeks following the initial
17 invitation email. Consent to take part in the survey was implied by completion of the
18 questionnaire.

19 **Analysis**

20 After closure of the survey, all data were imported into SPSS 21.0, anonymised and cleaned
21 to remove any duplicate responses. Data were summarized using descriptive statistics [i.e.
22 percentages (*n*), or mean/ standard deviation] as appropriate.

23

24 In post-hoc analyses, the association between the delivery of VBA intervention components-
25 Ask, Advise, Assist, and key optometrists' demographic characteristics (i.e. years qualified,

1 training, country, place of work, and smoking status) was examined using Chi-squared
2 analyses. Some response options were collapsed to avoid small group sizes. Items in Section
3 3 of the survey regarding the proportion of patients to which optometrists report delivering
4 evidence-based components of VBA interventions to were collapsed into two categories for
5 analysis: ‘infrequent delivery’ (i.e. ‘None of them,’ ‘Few of them,’ and ‘Some of them’
6 responses) and ‘frequent delivery’ (i.e. ‘Most of them’ and ‘All of them’ responses).
7 Similarly, ‘years qualified’ was collapsed into three categories: ‘Less than 5 years,’ ‘6 to 25
8 years,’ and ‘25 years plus.’ Optometrists were categorized as either ‘having received formal
9 training’ or ‘not having received formal training’ in smoking cessation. Location of current
10 practice was collapsed according to country (i.e. England, Scotland, Wales, Northern
11 Ireland).

12

13 **RESULTS**

14 **Response rate**

15 In total, 408 responses were received (34% response rate). To maximize available data for
16 each survey item, we included all available responses to each item, including from
17 incomplete surveys. Rate of missing data varied between 0.4% and 30.4% for each
18 questionnaire item (mean 7.1%). No attempt was made to impute missing values. The
19 number of responses per item included in the analysis is presented in Tables 1-3.

20

21 **Section 1: Respondent demographic characteristics**

22 Respondent demographic characteristics are presented in Table 1. The greatest proportion of
23 respondents were female (61.2%, n=249), qualified for five to 15 years (26.3%, n=107), held
24 a highest educational qualification of a BSc or equivalent (46.4%, n=187), were currently
25 working full-time (60.9%, n=248), in England (47%, n= 191), as a multiple practice

1 employee (28.5%, n=115). Very few respondents reported being current smokers (2.4%,
2 n=10).

3

4

[TABLE 1 HERE]

5

6 **Section 2: Training related to smoking cessation**

7 Only one quarter of optometrists reported having been taught how to assess smoking status
8 during a routine eye examination (25.3%, n=98). Even fewer reported having received formal
9 training in how to support smokers to quit in practice (16.7%, n=56) (Table 2). Only a small
10 proportion of respondents had been formally assessed in their smoking cessation knowledge
11 and/or practical skills (4.2%, n=16) (Table 2).

12

13 The majority of respondents reported having sufficient knowledge on the relationship
14 between smoking and eye disease (73.8%, n=307) (Table 2), which is reflected in the fact
15 that ‘the relationship between smoking and eye disease’ was selected as the most frequently
16 covered topic in the curricula of smoking cessation training respondents reported receiving
17 (Supplementary File 2). In contrast, the least frequently covered topics in the curricula of
18 smoking cessation training included: ‘practical delivery of smoking cessation interventions in
19 clinical settings (e.g. observations in practice)’ (2.1%, n=5), and ‘smoking cessation
20 medications’ (3.2%, n=9) (Supplementary File 2). In turn, most (48.9%, n=190) respondents
21 felt inadequately trained to advise patients of smoking cessation in practice (Table 2).

22

23

[TABLE 2 HERE]

24

25

26 **Section 3: Current practice and service provision related to smoking cessation**

1 Most optometrists reported their practice did not have any patient educational materials,
2 leaflets or flyers related to smoking cessation (66.8%, n=249). Similarly, most optometrists
3 (83.3%, n=309) reported their practice did not have any guidance documents outlining
4 recommendations for delivering stop smoking support to patients (e.g. manuals/protocols).

5

6 The proportion of patients with whom optometrists reported delivering each evidence-based
7 component of very brief advice (3 A's) interventions is presented in Table 3 and summarized
8 below.

9

10 Ask about smoking status: Approximately one third of optometrists reported asking about
11 tobacco use/smoking status in 'most/all' new patients (35.2%, n=132). However, fewer
12 reported doing so for 'most/all' return or follow-up patients (28.3%, n=106). For patients
13 who smoke, just 10.4% (n=39) reported assessing patients' motivation to quit tobacco use
14 (Table 3).

15

16 Advice about smoking cessation: Although only 14.6% (n=56) of optometrists reported
17 advising 'most/all' patients who smoke about the general harmful effects of tobacco use, 45%
18 (n=167) reported providing optometry specific advice to 'most/all' smoking patients about
19 links between smoking and age-related macular degeneration (Table 3). Most optometrists
20 reported advising 'none/very few' patients who smoke to quit completely (54%, n=202),
21 and/or to cut down or gradually reduce tobacco use (52%, n=194). A minority reported
22 providing advice to 'most/all' patients who smoke on stop smoking medications (2.4%, n=9)
23 (Table 3). This typically involved: 'general advice not specific to a particular medication'
24 and/or 'recommending patients discuss medication options with another healthcare

- 1 professional' (i.e. GP) (52.4%, n=22). Advice on specific medications was most often for
- 2 single or combined nicotine replacement therapy products (38%, n=16).

3 [TABLE 3 HERE]

1 Assist smoker to quit: Only 3.2% (n=12) of optometrists reported providing in house
2 assistance to ‘most/all’ patients who smoke to quit. Even fewer (0.8%, n=3) reported
3 following up on whether or not the patient successfully quit (Table 3). If a patient
4 expressed an interest in quitting, most optometrists reported that they would respond
5 by advising the patient to see another healthcare professional (e.g. GP/ pharmacist)
6 (65.1%, n=245) (Supplementary Figure 1). Although 12.3% (n=48) of respondents
7 reported that they would refer a patient to a stop smoking service, a comparable
8 proportion (13.6%, n=51) reported being unaware of smoking cessation services
9 locally and thus were unsure how to refer patients (Supplementary Figure 1).

10

11 *Differences in current practice according to optometrist demographic characteristics*

12 No significant differences were observed in current practice according to the number
13 of years optometrists had been qualified, or their current/past smoking behaviour
14 (Table 4). However, optometrists were significantly more likely to assess smoking
15 status in new patients if they were currently practising in Scotland ($\chi^2(2)=32.95$, $p <$
16 0.001) compared to England or Wales. A significantly higher proportion of
17 optometrists who worked in an independent practice reported advising patients who
18 smoke to quit completely than those based in a multiple site practice ($\chi^2(1)=4.27$, $p=$
19 0.39). Optometrists who had received formal training in smoking cessation were also
20 significantly more likely to advise patients who smoke on the harms of smoking
21 ($\chi^2(1)=9.45$, $p= 0.002$), to quit completely ($\chi^2(1)=13.1$, $p < 0.001$), and/or cut down
22 ($\chi^2(1)=4.27$, $p= 0.39$), than those who had not received formal training (Table 4).

23

24

[TABLE 4 HERE]

1 **Section 4: Barriers and enablers to delivering smoking cessation interventions**

2 Although many respondents considered advising on smoking cessation to be a 'very
3 small part of their role' (47.1%, n=173), most believed optometrists are ideally placed
4 to discuss smoking cessation with patients within their practice (51.8%, n=188). The
5 most frequently reported barriers were concerns over 'intruding on patient lifestyle
6 choice' (71.4%, n=260), followed by 'lack of time' (64.6%, n=235), and 'lack of
7 knowledge on the subject' (n=53%, n=194) (Supplementary Figure 2). The most
8 frequently endorsed enablers were: 'Further knowledge' (74.2%, n=213) and
9 'practical skills training' (46.9%, n=134), as well as 'establishing a professional norm
10 that optometrists are expected to provide smoking cessation advice' (48.1%, n=138),
11 (Supplementary Figure 3). Although a third of respondents felt no financial incentives
12 were required to encourage assessment and recording of smoking status (34.1%,
13 n=104), approximately 20% (n=58) felt that £20 would be an appropriate financial
14 incentive for provision of advice on smoking cessation and also for referring patients
15 to local smoking cessation service (19.3%, n=60). However, a higher financial
16 incentive of £50 was deemed appropriate by the majority of respondents (17.6%,
17 n=51) for supporting patients to quit within their optometry practice.

18
19
20
21
22
23
24
25
26
27
28

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27

DISCUSSION

This survey investigated the self-reported practices of UK optometrists related to smoking cessation. The findings provide an up-to-date, nationwide description of the extent to which UK optometrists currently deliver evidence-based smoking cessation interventions to patients who smoke. Approximately a third of optometrists reported currently assessing patients' tobacco use. However, assessing and recording smoking status alone is insufficient. There is evidence that it is specifically advice to quit, and offering assistance to do so, that leads to more quit attempts (5). It is thus particularly concerning that the present survey identified that few UK optometrists go on to advise patients who smoke on the benefits of quitting and available options for support to do so, and that even fewer subsequently offer to assist the smoker to quit, either in house or via a referral to dedicated services.

The present findings are to an extent unsurprising. Although smoking cessation intervention options, service provision and policy in the UK have evolved significantly over the last decade (e.g. establishment/promotion of NHS Stop Smoking Services, indoor smoking ban, licensing of new pharmacological interventions, electronic cigarettes), the proportion of optometrists offering advice and support to quit has remained unchanged relative to findings from UK surveys conducted in 2006 (23) (i.e. 23% vs 22.7% , respectively advising patients who smoke to stop; 2% vs 3% offering assistance to quit via a referral to a local stop smoking service). Furthermore, the present findings are consistent with those of studies conducted more recently in other countries, such as Canada (11, 23, 28) and Australia (20); indicating that the gap in optometrists' current practice related to smoking cessation is a global and enduring issue.

1 The present survey also identified barriers and enablers to optometrists delivering
2 smoking cessation support in practice. The most frequently endorsed barriers were
3 lack of time and fear of intruding on a patient's lifestyle choice. These barriers have
4 previously been reported by optometrists internationally (11, 20), and by other
5 healthcare professional groups (e.g. GPs) (5, 29, 30). However, there is no evidence
6 to support the notion that asking about smoking or uninvited advice on cessation are
7 detrimental to provider-patient relationships (3, 31), including in the context of
8 optometry and smoking cessation (32).

9

10 Limited time is an enduring issue in healthcare service provision. VBA interventions
11 are not designed to be time consuming, and are deliverable over a few short minutes
12 (3). These are arguably minutes well spent, given the vast potential public health and
13 socio-economic benefits of generating more quit attempts. It has been suggested that
14 development of clinical tools to support optometrists to capture relevant information
15 related to smoking status may help address time constraints and embed smoking
16 cessation support within routine clinical practice (20). Yet, the present findings
17 demonstrate most optometry practices do not have any procedural guidance resources,
18 such as treatment manuals, to inform smoking cessation service provision. There is
19 evidence that stop smoking practitioners working for services that have treatment
20 manuals, who perceive manuals to be useful, and utilize manuals routinely in practice
21 have higher successful quit rates than those that do not (33).

22

23 Furthermore, adequate training in how to optimally deliver smoking cessation
24 interventions more efficiently in clinical practice could in part help optometrists
25 overcome time constraints and to deliver advice in a sensitive manner. Training could

1 also help raise awareness amongst optometrists of potential issues and challenges
2 related to advising on cessation and how to overcome these. For instance, although
3 asking about tobacco use is a vital first step, optometrists should be aware of potential
4 issues around smoking deception (i.e. under-reporting or failing to report tobacco
5 use); which has been identified as a more prevalent issue in smokers with age-related
6 macular degeneration than in the general population (34). However, the majority of
7 respondents in the present survey have not received any such smoking cessation
8 related training. Respondents endorsed further knowledge and skills training as a key
9 enabler to increasing provision of smoking cessation support. Optometrists' desire for
10 further training related to smoking cessation has been echoed in other studies
11 internationally (11), and was also identified in the 2006 UK survey (22). Yet a decade
12 later, this training gap remains. A recent national survey of the curricula of all
13 optometry undergraduate and pre-registration training programmes in the UK
14 identified that optometry schools typically dedicate limited time (i.e. < 1 hour) to
15 teaching on smoking cessation (35). This time is spent primarily teaching the negative
16 health consequences of smoking, rather than practical skills for delivering smoking
17 cessation interventions in practice (35). Similar gaps have been identified in surveys
18 of optometry training curricula in other countries (e.g. Canada) (36).

19

20 Thus, if optometrists are to deliver evidence-based smoking cessation interventions,
21 they must first be knowledgeable and adequately trained to do so. Indeed, the present
22 survey identified that optometrists who received formal training in smoking cessation
23 were significantly more likely to advise patients who smoke on cessation. A number
24 of smoking cessation training resources have been developed (37-40), which could be
25 used to address existing training gaps for optometrists. For instance, in the UK, a

1 national knowledge and skills accreditation programme has been developed to
2 provide training in the delivery of evidence-based, specialist smoking cessation
3 behavioural support interventions [National Centre for Smoking Cessation and
4 Training, www.ncsct.co.uk]. This training programme has been shown to significantly
5 increase knowledge and skills of specialist stop smoking advisors (26). The NCSCT
6 has also developed a VBA training module, which takes no longer than 30 minutes to
7 complete. It aims to equip trainees with the necessary skills to deliver evidence-based
8 brief advice over a few minutes. Internationally, countries such as New Zealand have
9 plans to implement national training to educate optometrists on advising patients
10 about nicotine replacement therapy (10).

11

12 Findings from the present survey also highlight as an enabler ‘establishing a
13 professional norm and expectation that optometrists should provide smoking cessation
14 advice.’ Whilst most optometrists in the present survey, and other surveys
15 internationally (23), acknowledge smoking cessation is part of their role, this notion
16 should be reinforced through relevant professional bodies and policy initiatives. For
17 example, optometrists in the present study were more likely to report assessing
18 smoking status in new patients if they were currently practising in Scotland, where it
19 is a healthcare service provision contractual requirement that optometrists record
20 smoking status. In the UK, the College of Optometrists Scheme for Registration
21 Trainee Handbook specifies the core competences that trainee optometrists are
22 expected to acquire and demonstrate as part of their pre-registration training and
23 assessment. However, a content analysis of the most recent edition of the competence
24 framework identified no competence indicators related to smoking cessation service
25 provision (35). There is scope to incorporate smoking cessation under existing

1 competence indicators in the framework, such as ‘assessing patient history related to
2 general health and lifestyle,’ and ‘making appropriate referrals’ (35). Doing so would
3 help reinforce smoking cessation as part of the optometrist role.

4

5 A limitation of the present study is the relatively low response rate (34%). However,
6 this is comparable with other survey studies in this professional group (17), and is
7 higher than other national surveys conducted of optometrists’ smoking cessation
8 practice (i.e. Australia: 6% response rate) (20). Furthermore, the responses are prone
9 to a number of biases. First, self-selection bias, whereby the optometrists with a
10 specialist interest in smoking cessation are those more likely to have completed the
11 survey. Second, self-report and social desirability biases, whereby optometrists are
12 likely to have overestimated and reported the extent to which they deliver smoking
13 cessation advice in clinical practice (41). However, this indicates that the present
14 findings represent a ‘best case scenario’ of the extent to which optometrists currently
15 deliver smoking cessation support to patients who smoke. The actual gap in current
16 practice is thus likely to be even greater, as is in turn the consequent need for further
17 training and initiatives to bridge this gap.

18 It is important to also acknowledge the limitations in the scope of the present survey.
19 Smoking cessation is a complex issue, and in supporting smokers to quit it is
20 important to consider the different types of tobacco consumption (i.e. chewed, water
21 pipe), specific population groups that might face unique barriers to cessation (e.g.
22 adolescence (42), pregnancy, mental health), and the importance of highlighting the
23 broader consequences of smoking (e.g. of second hand smoke). However, in order to
24 keep the survey succinct, minimize respondent burden, and potential drop out, we did
25 not ask about smoking cessation advice at the more granular level, and instead limited

1 the scope of the survey items to enquiring about VBA more broadly (e.g. ‘assessing
2 smoking status,’ ‘providing advice on health consequences,’ ‘providing advice on
3 cessation,’ ‘assisting to quit).

4 **Conclusions**

5
6 Substantial gaps exist in UK optometrists’ current smoking cessation training and
7 practice. Smoking remains a significant public health priority. Optometrists have
8 potentially high public health reach in the community. If this potential is to be
9 realised, evidence-based training and guidance resources are needed to support the
10 introduction of smoking cessation interventions into routine optometry practice.

11
12 **Funding:** This work was supported by a City University of London Research
13 Development Fund Project Grant.

14
15 **Acknowledgements:** We would like to thank Martin Cordiner and the College of
16 Optometrists for their support in sampling and distributing the web-based survey to
17 participants.

18 **Disclosure:** Fabiana Lorencatto, Shamina Asif, Jill J. Francis, Alice M. Harper, and
19 John G. Lawrenson report no conflict of interest and have no proprietary interest in
20 any of the materials mentioned in this article.

21 **References**

- 22 1. Lancaster T, Stead L. Individual behavioural counselling for smoking cessation.
23 *Cochrane Database Syst Rev.* 2005. doi:10.1002/14651858.cd001292.pub2.
- 24 2. Aveyard P, West R. Managing smoking cessation. *BMJ.* 2007;335(7609):37-41.
- 25 3. West R, McNeil A, Raw M. Smoking cessation guidelines for health professionals: an
26 update. *Thorax.* 2000;55(12):987-999.
- 27 4. West R, Stapleton J. Clinical and public health significance of treatments to aid smoking
28 cessation. *Eur Respir Rev.* 2008;17(110):199-204.
- 29 5. Aveyard P, Begh R, Parsons A, West R. Brief opportunistic smoking cessation
30 interventions: a systematic review and meta-analysis to compare advice to quit and offer
31 of assistance. *Addiction.* 2012;107(6):1066-1073.
- 32 6. (NICE) NIOHaCE. Smoking: Supporting people to stop. NICE quality standard (QS43).
33 2013.

- 1 7. Fiore M, Jaen CR, Baker T, Bailey W, Benowitz N, Curry Se, et al. Treating tobacco use
2 and dependence: 2008 update. Rockville, MD: US Department of Health and Human
3 Services. 2008.
- 4 8. Stead L, Bergson G, Lancaster T. Physician advice for smoking cessation. *Cochrane*
5 *Database Syst Rev*. 2008. doi:10.1002/14651858.cd000165.pub3.
- 6 9. Fiore M, Jorenby D, Baker T. Smoking cessation: Principles and practice based upon the
7 AHCPR Guideline, 1996. *Ann Behav Med*. 1997;19(3):213-219.
- 8 10. Sheck L, Field A, McRobbie H, Wilson G. Helping patients to quit smoking in the busy
9 optometric practice. *Clin Exp Optom*. 2009;92(2):75-77.
- 10 11. Kennedy RD, Spafford MM, Schultz AS, Iley MD, Zawada V. Smoking cessation
11 referrals in optometric practice: a Canadian pilot study. *Optom Vis Sci*. 2011;88(6):766–
12 771
- 13 12. Tomany S, Wang J, van Leeuwen R et al. Risk factors for incident age-related macular
14 degeneration. *Ophthalmology*. 2004;111(7):1280-1287.
- 15 13. Seddon J, Fong D, West S, Valmadrid C. Epidemiology of risk factors for age-related
16 cataract. *Surv Ophthalmol*. 1995;39(4):323-334.
- 17 14. Wiersinga W, Bartalena L et al. Epidemiology and Prevention of Graves'
18 Ophthalmopathy. *Thyroid*. 2002;12(10):855-860.
- 19 15. Bidwell G, Sahu A, Edwards R, Harrison R, Thornton J, Kelly S. Perceptions of
20 blindness related to smoking: a hospital-based cross-sectional study. *Eye*.
21 2005;19(9):945-948.
- 22 16. Hoppe E, Frankel R. Optometrists as key providers in the prevention and early detection
23 of malignancies. *Optometry*. 2006;77(8):397-404.
- 24 17. Lawrenson J, Evans J. Advice about diet and smoking for people with or at risk of age-
25 related macular degeneration: a cross-sectional survey of eye care professionals in the
26 UK. *BMC Public Health*. 2013;13(1). doi:10.1186/1471-2458-13-564.
- 27 18. Optometrists Co. NICE Quality Standards Consultation 2013 Smoking Cessation: Joint
28 Response. 2013.
- 29
- 30 19. Gordon JS, Andrews J, Lichtenstein E, Severson H, Akers L, Williams C.
31 Ophthalmologists' and optometrists' attitudes and behaviours regarding tobacco cessation
32 intervention. *Tob control*. 2002;11(1):84a-85.
- 33 20. Downie L, Keller P. The Self-Reported Clinical Practice Behaviors of Australian
34 Optometrists as Related to Smoking, Diet and Nutritional Supplementation. *PLOS ONE*.
35 2015;10(4):e0124533. doi:10.1371/journal.pone.0124533.
- 36 21. Sahu A, Edwards R, Harrison R, Thornton J, Kelly S. Attitudes and behaviour of
37 ophthalmologists to smoking cessation. *Eye*. 2006;22(2):246-250.
- 38 22. Thompson C, Harrison R, Wilkinson S, Scott-Samuel A, Hemmerdinger C, Kelly S.
39 Attitudes of community optometrists to smoking cessation: an untapped opportunity
40 overlooked? *Ophthalmic Physiol Optics*. 2007;27(4):389-93.
- 41 23. Brûlé J, Abboud C, Deschambault É. Smoking cessation counselling practices among
42 Québec optometrists: evaluating beliefs, practices, barriers and needs. *Clin Exp Optom*.
43 2012;95(6):599-605.
- 44 24. Dabasia P, Edgar D, Garway-Heath D, Lawrenson J. A survey of current and anticipated
45 use of standard and specialist equipment by UK optometrists. *Ophthalmic Physiol Opt*.
46 2014;34(5):592-613.
- 47 25. Bartlett, J. E., Kotrlík, J. W., and Higgins, C. C. Organizational Research: Determining
48 Appropriate Sample Size in Survey Research. *Inf. technol. learn. perform. J.*2001.19(1),
49 43-50.
- 50 26. Brose L, West R, Michie S, Kenyon J, McEwen A. Effectiveness of an Online
51 Knowledge Training and Assessment Program for Stop Smoking Practitioners. *Nicotine*
52 *Tob Res*. 2012;14(7):794-800.

- 1 27. West R, Walia A, Hyder N, Shahab L, Michie S. Behavior change techniques used by the
2 English Stop Smoking Services and their associations with short-term quit outcomes.
3 *Nicotine Tob Res.* 2010;12(7):742-747.
- 4 28. Kennedy RD, Spafford MM, Douglas O, Brûlé J, Hammond D, Fong GT, Thompson ME,
5 Schultz AS. Patient tobacco use in optometric practice: a Canada-wide study. *Optometry*
6 *and Vision Science.* 2014 Jul 1;91(7):769-77.
- 7 29. Coleman T, Murphy E, Cheater F. Factors influencing discussion of smoking between
8 general practitioners and patients who smoke: a qualitative study. *Br J Gen Pract.*
9 2000;50(452):207-210.
- 10 30. Vogt F, Hall S, Marteau T. General practitioners' and family physicians' negative beliefs
11 and attitudes towards discussing smoking cessation with patients: a systematic review.
12 *Addiction.* 2005;100(10):1423-1431.
- 13 31. Pilnick A, Coleman T. "I'll give up smoking when you get me better": patients'
14 resistance to attempts to problematise smoking in general practice (GP) consultations. *Soc*
15 *Sci Med.* 2003;57(1):135-145.
- 16 32. Downie LE, Douglass A, Guest D, Keller PR. What do patients think about the role of
17 optometrists in providing advice about smoking and nutrition?. *Ophthalmic and*
18 *Physiological Optics.* 2017 Mar 1;37(2):202-11.
- 19 33. Brose L, McEwen A, Michie S, West R, Chew X, Lorencatto F. Treatment manuals,
20 training and successful provision of stop smoking behavioural support. *Behav Res Ther.*
21 2015;71:34-39.
- 22 34. Swanson MW. Smoking deception and age-related macular degeneration. *Optometry and*
23 *Vision Science.* 2014 Aug 1;91(8):865-71.
- 24 35. Lorencatto F, Harper A, Francis J, Lawrenson J. A survey of UK optometry trainees'
25 smoking cessation training. *Ophthalmic and Physiological Optics.* 2016;36(4):494-502.
- 26 36. Spafford MM, Iley MD, Schultz AS, Kennedy RD. Tobacco Dependence Education in
27 Optometry: A Canadian Pilot Study Assessing Practices and Opportunities. *Optometric*
28 *Education.* 2010 Oct 1;36(1).
- 29 37. Kruse GR, Rigotti NA, Raw M, McNeill A, Murray R, Piné-Abata H, et al. Content and
30 Methods used to Train Tobacco Cessation Treatment Providers: An International Survey.
31 *J Smok Cessat.* 2016:1-8.
- 32 38. Leong S, Lewis P, Curry W, Gingrich D. Tobacco World: Evaluation of a Tobacco
33 Cessation Training Program for Third-Year Medical Students. *Acad Med.*
34 2008;83(Supplement):S25-S28.
- 35 39. Hoppe E. A model curriculum for teaching optometry students about smoking cessation
36 education. *Optom Educ.* 1998;24:12-26.
- 37 40. Leone F, Evers-Casey S, Veloski J, Patkar A, Kanzleiter L. Short-, intermediate-, and
38 long-term outcomes of Pennsylvania's continuum of tobacco education pilot project.
39 *Nicotine Tob Res.* 2009;11(4):387-393.
- 40 41. Lorencatto F, West R, Bruguera C, Michie S. A method for assessing fidelity of delivery
41 of telephone behavioral support for smoking cessation. *J of Consult Clin Psychol.*
42 2014;82(3):482-491.
- 43 42. Brûlé J, Tousignant B, Marcotte S, Moreau MC. Smoking and the eye: what Québec
44 teenagers know and fear. *Clinical and Experimental Optometry.* 2018 Jan 1;101(1):73-6.
- 45
46
47
- 48
- 49
- 50

1 **Table 1. Section 1: Participant demographic characteristics**

2

| | Percentage (n) |
|---|-----------------------|
| Years qualified | |
| • < 5 years | 16.9% (n=69) |
| • 5-15 years | 26.3% (n= 107) |
| • 16-25 years | 23.3% (n=95) |
| • 26-35 years | 23.3% (n=95) |
| • 36-45 years | 8.3%(n=34) |
| • 45 + years | 1.7% (n=7) |
| Country | |
| • England | 47.0% (n=191) |
| • Wales | 19.4% (n= 79) |
| • Scotland | 33.6% (n=137) |
| • Northern Ireland | 0% (n=0) |
| Female | 61.2% (n=249) |
| Optometry practice characteristics | |
| • Full-time | 60.9% (n=248) |
| • Part-time | 39.1% (n=159) |
| • Independent practice sole practitioner | 15.1% (n=61) |
| • Independent practice partner | 11.2% (n=45) |
| • Independent practice employee | 14.9% (n=60) |
| • Independent practice locum | 13.9% (n=56) |
| • Multiple practice director | 4.9% (n=20) |
| • Multiple practice employee | 28.5% (n=115) |
| • Multiple practice locum | 3.2% (n=13) |
| • Other | 8.2% (n=33) |
| Highest Educational Qualifications | |
| • BSc (or equivalent) | 46.4% (n=187) |
| • MOptom | 38.9% (n=157) |
| • MSc | 2.5% (n=10) |
| • PhD | 5.5% (n=22) |
| • Other | 6.7% (n=27) |
| Smoking status and history | |
| • Current smoker | 2.4% (n=10) |
| • Ever smoker | 33.3% (n=135) |
| • Regular ex-smoker (i.e. 1+ daily cigarettes, 1+ cigar per week, or 30g + chewing tobacco per month, for longer than 1 year) | 14.5% (n=58) |

3

4

5

6

7

8

9

1 **Table 2.** Section 2: Extent of respondents' training related to smoking cessation
2

| | Percentage (n) |
|---|----------------|
| Received formal training in supporting smoking cessation in practice (<i>e.g. undergraduate/ post-graduate/ LOC/ College of Optometrists/ CET events, lectures, and/or seminars</i>) | 16.7% (n=56) |
| Taught to assess smoking status during routine examination | 25.3% (n=98) |
| Knowledge and/or practical skills for delivering smoking cessation support has been formally assessed (<i>e.g. written exams, OSCE, role play, observations in practice</i>) | 4.2% (n=16) |
| 'I feel adequately trained to advise patients on smoking cessation' | |
| • Strongly disagree | 16% (n=62) |
| • Disagree | 32.9% (n=128) |
| • Neither agree or disagree | 27.8% (n=108) |
| • Agree | 20.1% (n=78) |
| • Strongly agree | 3.1% (n=12) |
| 'I have sufficient knowledge about the relationship between smoking and eye disease' | |
| • Strongly disagree | 3.9% (n=15) |
| • Disagree | 6.5% (n=25) |
| • Neither agree or disagree | 17.9% (n=69) |
| • Agree | 58.3% (n=255) |
| • Strongly agree | 13.5% (n=52) |
| Useful sources of clinical knowledge regarding smoking cessation | |
| • Undergraduate education | 41.3% (n=159) |
| • Post-graduate scheme for registration | 18.2% (n=70) |
| • Workplace training/ experience | 37.9% (n=146) |
| • CET/CPO lectures | 89.4% (n=344) |
| • Professional newsletters/briefings | 52.7% (n=203) |
| • Published research | 48.8% (n=188) |

3

4

5

6

7

1 **Table 3.** *Section 3:* Delivery of evidence-based smoking cessation interventions to service users

2

| With what proportion of service users do you routinely perform the following activities? | ‘None of them’ (Percentage/ N) | ‘Very few of them’ (Percentage/ N) | ‘Some of them’ (Percentage/ N) | ‘Most of them’ (Percentage/ N) | ‘All of them’ (Percentage/ N) |
|--|---|---|---|---|--|
| Asked about tobacco use for new patients | 10.3% (n=41) | 28.5% (n=107) | 25.3% (n=95) | 16.8% (n=63) | 18.4% (n=69) |
| Asked about tobacco use for follow-up or return patients | 14.2% (n=53) | 32.1% (n=120) | 25.4% (n=95) | 13.6% (n=51) | 14.7% (n=55) |
| Assessed the patient’s motivation to quit tobacco use | 42.1% (n=157) | 28.4% (n=106) | 19.0% (n=71) | 7.5% (n=28) | 2.9% (n=11) |
| Advised smokers about the harmful of effects of tobacco use generally (e.g. lung cancer) | 39.4% (n=147) | 22.3% (n=83) | 23.3% (n=97) | 9.6% (n=37) | 5% (n=19) |
| Advised smokers about the link between smoking and age-related macular degeneration specifically | 3.5% (n=13) | 11.6% (n=43) | 39.9% (n=148) | 24.5% (n=91) | 20.5% (n=76) |
| Advised patients who smoke to quit tobacco use completely | 28.1% (n=105) | 25.9% (n=97) | 23.3% (n=87) | 13.9% (n=52) | 8.8% (n=33) |
| Advised patients who smoke to cut down or gradually reduce their tobacco use | 28.1% (n=105) | 23.9% (n=89) | 26.0% (n=97) | 13.9% (n=52) | 8.1% (n=30) |
| Advise the patient on stop smoking medications | 82.4% (n=308) | 9.9% (n=37) | 5.4% (n=20) | 1.3% (n=5) | 1.1% (n=4) |
| Advised patients about the use of e-cigarettes | 88.7% (n=330) | 5.4% (n=20) | 5.1% (n=19) | 0.3% (n=1) | 0.5% (n=2) |
| Assisted the smoker to quit (i.e. either within the optometry practice or via referral to additional services) | 75.7% (n=283) | 11.5% (n=43) | 9.6% (n=36) | 1.9% (n=7) | 1.3% (n=5) |
| Followed up or assessed whether patient successfully quit | 90.1% (n=337) | 5.4% (n=20) | 3.7% (n=14) | 0.5% (n=2) | 0.3% (n=1) |

3

1 **Table 4.** Comparison of optometrists' reported delivery of Very Brief Advise intervention components according to demographic characteristics
2

| Demographic Variable | % of optometrists reporting ASKING most/all new patients about smoking status | % of optometrists reporting ASKING most/all return/follow-up patients about smoking status* | % of optometrists reporting ADVISING most/ all patients who smoke on harms of smoking | % of optometrists reporting ADVISING most/all patients who smoke to quit completely | % of optometrists reporting ADVISING most/all patients who smoke to cut down | % of optometrists reporting ADVISING most/all patients who smoke on stop smoking medications | % of optometrists reporting ASSISTING most/all patients who smoke to quit (i.e. in house/ via referrals to other services*) |
|---|---|---|---|---|--|--|---|
| Years Qualified | | | | | | | |
| • Less than 5 years | 27.8% (17) | 0% (0) | 12.3% (7) | 21% (12) | 19.2% (11) | 1.8% (1) | 0% (0) |
| • 6-25 years | 39.0% (73) | 0% (0) | 14.6% (26) | 25.5% (46) | 23% (41) | 3.9% (7) | 0% (0) |
| • 25+ years | 32.8% (41) | 0% (0) | 16.7% (18) | 19.6% (21) | 21.2% (23) | 0% (0) | 0% (0) |
| • Comparison | $\chi^2(2)=2.962$, $p = .23$ | - | $\chi^2(2)=.587$, $p = .75$ | $\chi^2(2)=1.475$, $p = .48$ | $\chi^2(2)=.383$, $p = .82$ | $\chi^2(2)=4.603$, $p = .10$ | - |
| Country | | | | | | | |
| • England | 26.3% (46) | 0% (0) | 13.6% (24) | 22.2% (39) | 19.5% (34) | 1.7% (3) | 0% (0) |
| • Wales | 21.9% (16) | 0% (0) | 21.2% (15) | 22.3% (16) | 18.1% (13) | 4.2% (3) | 0% (0) |
| • Scotland | 54.8% (69) | 0% (0) | 13.6% (17) | 23.8% (30) | 27.8% (35) | 2.4% (3) | 0% (0) |
| • Comparison | $\chi^2(2)=32.95$, $p < 0.001$ | - | $\chi^2(2)=2.531$, $p = .28$ | $\chi^2(2)=.113$, $p = .94$ | $\chi^2(2)=3.71$, $p = .16$ | $\chi^2(2)=1.32$, $p = .52$ | - |
| Type of practice | | | | | | | |
| • Independent | 38.9% (72) | 0% (0) | 15.4% (32) | 25% (52) | 20.7% (43) | 2.7% (5) | 0% (0) |
| • Multiple | 29.9% (38) | 0% (0) | 12.3% (17) | 15.8% (22) | 19.7% (27) | 1.4% (2) | 0% (0) |
| • Comparison | $\chi^2(1)=2.67$ $p = .10$ | - | $\chi^2(1)=.67$, $p = .41$ | $\chi^2(1)=4.27$, $p = .039$ | $\chi^2(1)=.48$, $p = .83$ | $\chi^2(1)=.40$, $p = .53$ | - |
| Formal training in smoking cessation | | | | | | | |
| • Received | 45% (28) | 0% (0) | 27.9% (17) | 40.3% (25) | 32.3% (20) | 6.5% (4) | 0% (0) |

| | | | | | | | |
|-----------------------|---------------------------------|--------|---|---|---|--------------------------------|--------|
| • Not received | 33% (104) | 0% (0) | 12.5% (39) | 19.2% (60) | 19.9% (62) | 1.6% (5) | 0% (0) |
| • Comparison | $\chi^2(1)=3.23,$ $p = .072$ | - | $\chi^2(1)=9.45,$ $p = .002$ | $\chi^2(1)=13.1,$ $p < 0.001$ | $\chi^2(1)=4.27,$ $p = .039$ | n/a** | - |
| Smoking status | | | | | | | |
| • Ever smoker | 30.9% (39) | 0% (0) | 14.3% (18) | 20.5% (26) | 20% (25) | 2.3% (3) | 0% (0) |
| • Never smoker | 37.1% (92) | 0% (0) | 15.4% (38) | 23.9% (59) | 23.1% (57) | 2.4% (6) | 0% (0) |
| • Comparison | $\chi^2(1)=1.39,$ $p = .24$ | - | $\chi^2(1)=587,$ $p = .77$ | $\chi^2(1)=587,$ $p = .44$ | $\chi^2(1)=467,$ $p = .50$ | $\chi^2(1)=.001,$ $p = .98$ | - |

*Not possible to analyse variation in delivery of these VBA intervention components as frequency of optometrists reporting delivering this component to most/all patients was zero.

**n/a= Expected minimum frequencies are not all greater than 5- chi-square analyses assumptions therefore not met.

1
2
3
4
5
6
7
8
9
10
11
12