

Guide to Navigating The HUB

April 2022



Contents

1.0 Glossary of Terms	04
2.0 Introduction	07
3.0 Centres – OPITO Standards	08
3.1 New Centres seeking Initial Approval	08
3.1.1 Process Schematic – New Centre seeking Initial Approval	08
3.1.2 Stage 1 – Pre-Screening Questionnaire	09
3.1.3 Stage 2 – Pre-Approval Workshop and Application	09
3.1.4 Stage 3 – Submission of Desktop Information	09
3.1.5 Stage 4 – Feedback from OPITO on Desktop Information	10
3.1.6 Stage 5 – Confirm completion of Desktop	10
3.1.7 Stage 6 – Conduct of Initial Site Visit	10
3.1.8 Stage 7 – Acknowledgement and feedback from Site Visit	10
3.1.9 Final Closure of Approval	11
3.2 Existing Centres seeking additional Product Approval(s)	12
3.2.1 Process Schematic – Existing Centres seeking additional Approval	12
3.2.2 Stage 1 – Applying for new Product Approval(s)	13
3.2.3 Stage 2 – Request for information from OPITO	13
3.2.4 Stage 3 – Submitting Desktop Information	13
3.2.5 Stage 4 – Feedback from OPITO on Desktop Information	13
3.2.6 Stage 5 – Confirm completion of Desktop	13
3.2.7 Stage 6 – Conduct of Initial Site Visit	14
3.2.8 Stage 7 – Acknowledgement and feedback from Centre	14
3.2.9 Stage 8 – Final Closure of Approval	14
3.3 Ongoing Site Visits	15
3.3.1 Process Schematic – Ongoing Site Visits	15
3.3.2 Stage 1 – Conduct of Ongoing Site Visit	16
3.3.3 Stage 2 – Centre Acknowledgment	16
3.3.4 Close-out of Site Visit	16
3.4 On-Location Training Requests	17
3.4.1 Process schematic – On-Location Training	17
3.4.2 Prepare and submit request for On-Location Training	17
3.4.3 Submit further information	17
3.4.4 Following site Approval	17

4.0 Centres – CMS Organisations (including Workplace Competence Assessment Standards)	18
4.1 Competence Management System (CMS) – Initial Approval	18
4.1.1 Process Schematic – CMS Initial Approval	18
4.1.2 Stage 1 – Pre-Screening Questionnaire	19
4.1.3 Stage 2 – Pre-Approval Workshop and Application	19
4.1.4 Stage 3 – Submission of Desktop Information	19
4.1.5 Stage 4 – Feedback from OPITO on Desktop Information	19
4.1.6 Stage 5 – Confirm completion of Desktop	20
4.1.7 Stage 6 – Conduct of Initial Site Visit	20
4.1.8 Stage 7 – Acknowledgement and feedback from Site Visit	20
4.1.9 Final Closure of Approval	20
4.2 Ongoing Site Visits – CMS Organisations	21
4.2.1 Process Schematic – Ongoing Site Visits – CMS Organisations	21
4.2.2 Stage 1 – Conduct of Ongoing Site Visit	22
4.2.3 Stage 2 – CMS Organisation acknowledgment	22
4.2.4 Close-out of Site Visit	22
5.0 Processes applicable to all Centres	24
5.1 Action Response and closing-out actions	24
5.1.1 Process schematic – Action Response and closing-out actions	24
5.1.2 Submitting Information for Action Close-Out	24
5.1.3 Providing further information	26
5.2 Internal Self-Assessment	27
5.2.1 Process Schematic – Internal Self-Assessment for all Centres	27
5.2.2 Stage 1 – Request from OPITO for Internal Self-Assessment	27
5.2.3 Conduct of Internal Self-Assessment	27
5.3 Appeals	28
5.3.1 Process schematic - Appeals	28
5.3.2 Raising the Appeal	28
5.3.3 Responding to the Appeal or providing additional information	29
5.3.4 Appeal Closure	29
5.4 Further Site Visits	29
5.4.1 Process Schematic – Further Site Visits for all Centres	29
5.4.2 Stage 1 – Conduct of Further Site Visit	30
5.4.3 Acknowledgement and feedback from Further Site Visit	30
5.4.4 Final Closure of Approval	30
5.5 Product feedback	31
5.5.1 Process schematic – Product feedback	31
5.5.2 Prepare and submit Product Feedback Form	31
5.5.3 Submitting further information	31
5.5.4 Following OPITO review of Product Feedback Form	31

6.0 Centres – Global Qualifications	32
6.1 New Centres Seeking Initial Approval	32
6.1.1 Stage 1 – Pre-Screening Questionnaire	33
6.1.2 Stage 2 – Pre-Approval Workshop and Application	33
6.1.3 Stage 3 – Submission of Desktop Information	33
6.1.4 Stage 4 – Feedback from OPITO on Desktop Information	34
6.1.5 Stage 5 – Confirm Completion of Desktop	34
6.1.6 Stage 6 – Conduct of Initial Site Visit	34
6.1.7 Stage 7 – Acknowledgement and Feedback from Site Visit	34
6.1.8 Stage 8 – Final Closure of Approval	35
6.2 Existing Centres Seeking Additional Product Approval(s)	36
6.2.1 Stage 1 – Applying for New Product Approval(s)	37
6.2.2 Stage 2 – Request for Information from OPITO	37
6.2.3 Stage 3 – Submitting Desktop Information	37
6.2.4 Stage 4 – Feedback from OPITO on Desktop Submission	37
6.2.5 Stage 5 – Confirm Completion of Desktop	37
6.2.6 Stage 6 – Conduct of Initial Site Visit	38
6.2.7 Stage 7 – Acknowledgement and Feedback from Centre	38
6.2.8 Stage 8 – Final Closure of Approval	38
6.3 Ongoing Site Visits	39
6.3.1 Stage 1 – Conduct of Ongoing Site Visit	40
6.3.2 Stage 2 – Portfolio Sampling	40
6.3.3 Stage 3 – Centre Acknowledgement	40
6.3.4 Stage 4 – Close-Out of Site Visit	41

1.0 Glossary of Terms

Forms:	Forms are used within The HUB to carry out and share processes with OPITO. There are several different forms available, one for each process. These include: – Appeals – On-Location Training Requests – Action Close Outs – Ongoing Site Visits – Internal Self-Assessments – Initial Centre Approval (available for OPITO Standards, CMS and Global Qualifications) – Additional Product Approval Application – Additional Product Initial Approval(s) – Product Feedback
Sections:	These Forms contain sections, which altogether form the full process. For example, for a new Approval this would cover all steps from the OPITO Pre-Screening Questionnaire through to the conduct of an Initial Site Visit and Close Out. Each section contains the information required, before moving on to the next stage of the process.
Buttons:	Once all the sections required to move to the next stage of the process have been completed, this is confirmed through the use of buttons. The button will also then return the form to OPITO for review.
Latest stage:	Upon completion of all relevant sections, the user is required to move to the next stage and, following confirmation of this using the relevant button, the form's latest stage will be updated. The latest stage reflects where, in the overall process, the user is. For example, <i>"further information requested"</i> tells the user that OPITO is waiting for the submission of further information.
Form reference:	The form reference is a unique number assigned to that particular process. For example, each Ongoing Site Visit Form would have its own identifiable number.
Form title:	The form title will tell the user which process the form relates to.
Public/private comments:	The comments feature within each section of the forms allows users to leave messages for one another. Public comments are shared with OPITO and private comments are only shared internally. More information on these can be found throughout the guidance videos.
OPITO Product:	An OPITO Product is defined as either OPITO Industry Standards, OPITO Global Qualifications, Competence Management System (CMS) accreditation or any other OPITO programmes requiring OPITO Approval.

OPITO Standard:	An OPITO Industry Standard is defined as being a programme of learning that defines the knowledge and/or practical outcomes which successful learners need to achieve to be certificated. There are a number of OPITO Standard types. These are: Training Standard, Competence Standard and Workplace Competence Assessment Standard.
Procedure:	A document which identifies the steps to be taken to carry out a particular process, the scope/limit of the process and the person(s) responsible. It would be expected to be part of a controlled system. The document may take the form of written instructions and/or a flowchart. A procedure should contain purpose, scope, responsibilities, defined steps and a control/revision status.
Approval Outright:	All OPITO requirements have been met and no formal actions were identified, and no action response is required.
Approval with Corrective Actions:	Aspects of the OPITO requirements were not met and formal action(s) were identified. Action response(s) are required.
Suspended Approval:	Significant and/or safety critical aspects of the OPITO requirements were not met in relation to a single Product or a number of Products. When the recommendation is confirmed by OPITO, delivery of these suspended Product(s) as specified in the report are not possible. The Suspended Approval status will be reviewed when all the formal actions identified are closed. Additional site visits may also be required. Any Products not covered by the suspension may be delivered as usual.
Non-Approval:	Significant and/or safety critical aspects of the OPITO requirements were not met resulting in a systematic breakdown of the Approvals held. When the recommendation is confirmed by OPITO, no approved training and/or assessment can take place. The Non-Approval status will be reviewed when all the formal actions identified are closed. Additional site visits may also be required.
Centre:	An OPITO-approved organisation, or an organisation engaged in the OPITO Approval Process.
SME:	SME is an abbreviation for Subject Matter Expert. An SME is a person who provides specific knowledge or expertise to OPITO in an area in which they specialise.
Learners:	For the purpose of this document and in relation to Approvals held for any OPITO Products, those carrying out the training and/or assessment are referred to as Learners.
Findings/Actions:	A finding is documented when OPITO identifies there is a clear gap in meeting the requirements. An action is raised by OPITO to allow the Centre to address the gap identified in a finding.

Internal Self-Assessment (ISA):	A document completed within The HUB by the Centre, prior to an OPITO Ongoing Site Visit. The ISA will allow the Centre to demonstrate how OPITO requirements are being met or exceeded. If it is identified that OPITO requirements are not being met, the ISA provides the opportunity for the Centre to detail the steps to be taken to rectify these gaps.
Systems Criteria:	Systems Criteria covers all the OPITO requirements which oversee the management of the OPITO Approval. The information/evidence required to meet these requirements does not differ based on the different Product Approval(s).
Product criteria:	Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence required to meet these requirements is specific to the individual Product specification(s).
Site Visits:	A site visit will be conducted by OPITO prior to Initial Approval and on an ongoing basis thereafter. These visits will be conducted in line with the risk-based approach and may be carried out either in person or remotely.
Pre-Approval Workshop:	A short workshop building on the information in the relevant video to allow those looking for their first OPITO Approval to gain a clear understanding of the steps required. Centres that currently hold OPITO Approval are not required to undertake this workshop.
Desktop Submission:	A Desktop Submission occurs when a new or existing Centre seeks to gain Approval for a Product for which it currently does not hold Approval. This occurs via a submission of evidence within The HUB to demonstrate and support the Centre's ability to meet the minimum requirements of the OPITO Approval Criteria and Product.
Existing Centre Seeking Additional Product Approval(s):	A Centre that currently holds OPITO Approval at the location in which the new Product is being sought.
New Centre Seeking Initial Approval:	A Centre that does not currently hold OPITO Approval.
Centre – CMS Organisations:	An organisation that holds or is working towards OPITO CMS Approval of Workplace Competence Assessment Approval.

2.0 Introduction

The *"Guide to Navigating The HUB"* introduces OPITO-approved Centres to The HUB, OPITO's new data management system and information repository. There are a number of processes which Centres are required to carry out within The HUB to maintain OPITO Approval and this guide explains the associated processes to follow.

While using The HUB please remember to save work periodically as the relevant section(s) are completed. The system will time-out if left idle for two hours and any unsaved work will be lost.

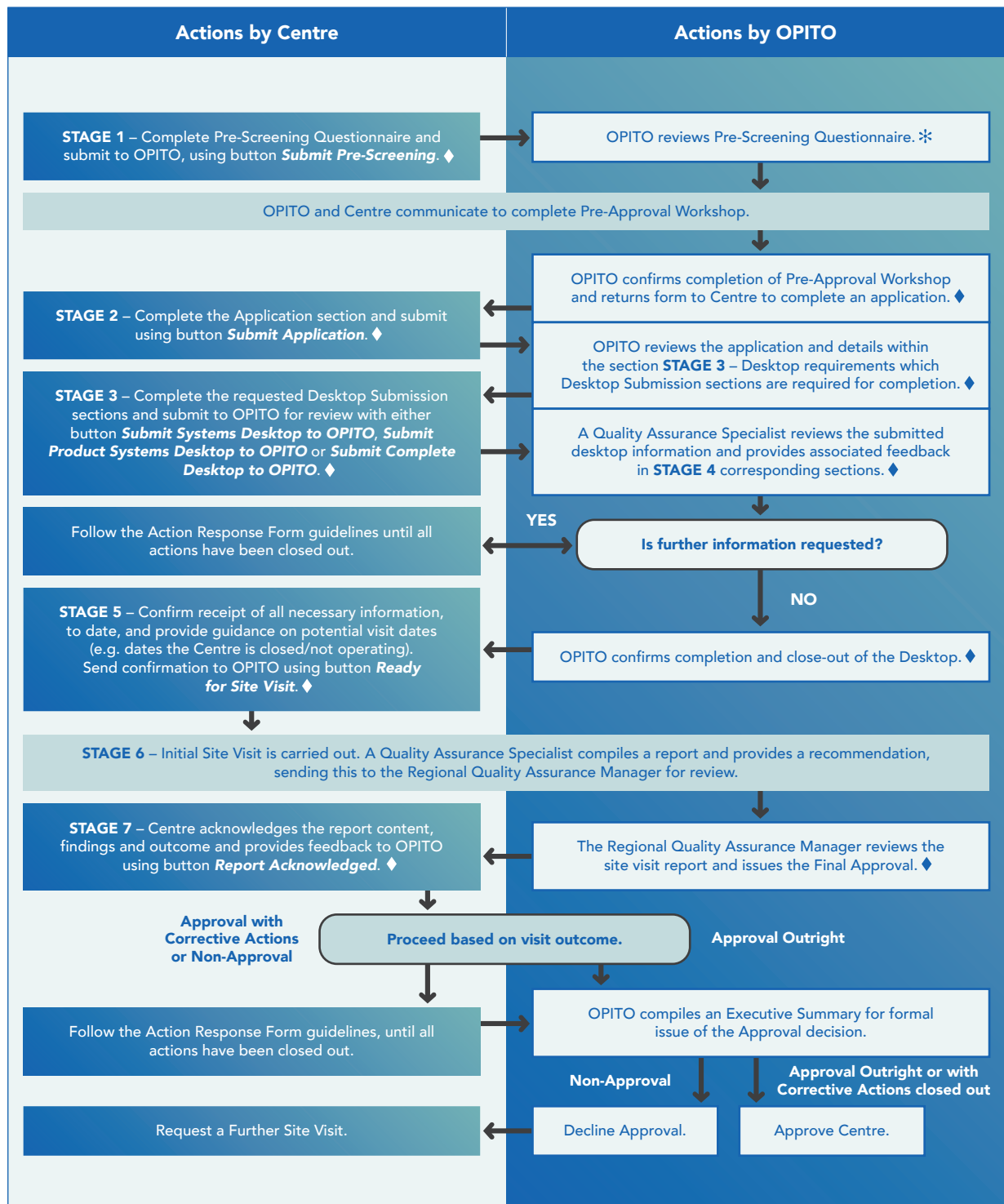
If further assistance or clarification is required when using The HUB, OPITO has set up a dedicated help desk email address to support Centres – helpdesk@opito.com. If your enquiry is regarding something outwith The HUB system, please contact your OPITO Quality Assurance Coordinator.

3.0 Centres – OPITO Standards

3.1 NEW CENTRES SEEKING INITIAL APPROVAL

This section outlines the process for new Centres seeking Initial OPITO Approval.

3.1.1 Process Schematic – New Centre seeking Initial Approval



♦ Signifies where the form is transferred. ✱ At this point OPITO may decide not to progress.

3.1.2 Stage 1 – Pre-Screening Questionnaire

Following initial contact with OPITO, a Quality Assurance Coordinator will set up the Centre in The HUB and provide focal point(s) with the required login information. Upon logging in, an inbox on the homepage will contain a form titled “*Centre Name Initial Centre Approval.*” Prior to progressing towards obtaining OPITO Approval, each Centre is required to complete STAGE 1 of this form.

Upon answering all the questions within the Pre-Screening Questionnaire section, the Centre’s information will be submitted to OPITO using the button **Submit Pre-Screening**. These buttons are located at the bottom of the form overview.

3.1.3 Stage 2 – Pre-Approval Workshop and Application

Once OPITO has reviewed the information contained within the completed Pre-Screening Questionnaire, a decision will be made on whether to progress with the application. Where the pre-screening information has been accepted, a Quality Assurance Coordinator will liaise with the Centre to arrange a Pre-Approval Workshop and access to the Workshop video. After attendance of a Pre-Approval Workshop, OPITO will return the Initial Centre Approval Form for completion of STAGE 2 – Application.

When completing the application, if it has been identified that the Centre holds any applicable Approvals from other awarding bodies, the Centre is required to upload the Approval certificate(s). Additionally, if OPITO Approvals are held at another associated Centre(s), the Centre can submit this as evidence to support its application.

At this stage the OPITO Terms and Conditions must be accepted and this can be done from the homepage. At the right hand-side, there is a section consisting of “*OPITO documents requiring acceptance*” and from here the Terms and Conditions can be downloaded. The Terms and Conditions must be confirmed by using the **Accept** button.

Once the Centre has completed the application, please submit this to OPITO using the button **Submit Application**.

3.1.4 Stage 3 – Submission of Desktop Information

OPITO will review the application and provide detail in the Desktop Review section, on which Desktop sections are required to be completed for submission. OPITO will either request that Systems and Products Section One be completed (totalling two sections) or that both sections one and two are completed (totalling four sections).

At this point the Centre may choose to submit the following:

- **Full Desktop** – the Centre can complete a full Desktop Submission by completing all the requested sections outlined within the application review and submit to OPITO using button **Submit Complete Desktop to OPITO**;
- **Systems Criteria** – in the event the Centre is ready to submit information relating to the OPITO Systems Criteria but not yet ready to display evidence relevant to the specific OPITO Product Criteria, this can be done by completing the requested Systems section(s) in STAGE 3 and using button **Submit Systems Desktop to OPITO**. Please note that when doing this it is not possible to submit the additional Product Criteria until after a review from an OPITO Quality Assurance Specialist; and

- **Product Criteria** – as above, the Centre can opt to submit all the OPITO Product Criteria in the event the Systems information is not yet ready for submission. This can be done by completing the relevant Product section(s) and using button **Submit Product Desktop to OPITO**. When doing this, it will not be possible to submit the additional Systems Criteria until after a review from an OPITO Quality Assurance Specialist.

3.1.5 Stage 4 – Feedback from OPITO on Desktop Information

Upon review of the submitted information from a Quality Assurance Specialist, feedback will be available within the sections marked as STAGE 4 and are aligned to the submission stages used in STAGE 3. Where the Quality Assurance Specialist has advised that aspects require further information, actions to close out these criteria will be available in the Actions tab on the homepage. The Action Response Process should now be followed to close out these areas.

Where desktop information was submitted for only either the Systems or Product Criteria, the returned form will always show the stage as *"Further Information Requested."* Once information has been submitted to OPITO for all the actions, the form should be returned to OPITO using button **Further Information Submitted**.

OPITO will review the outstanding elements against the actions and provide feedback until all actions are closed out and all criteria are marked as *"No Further Information Required."*

3.1.6 Stage 5 – Confirm completion of Desktop

When no further Desktop information is required, OPITO will confirm this by returning the form with the stage updated to *"Desktop Closed."* Once the Desktop is closed the Centre is required to complete STAGE 5 of the form and confirm that the comments have been read and understood. The form can be printed or saved as a PDF if required. These options can be found at the bottom of the form overview.

Within this section, the Centre can provide suitable dates and details to accommodate an Initial Site Visit. This could, for example, include information on national holidays, Centre closures and timeframes for visa arrangements. Upon completion of this section, please send confirmation to OPITO using the button **Ready for Site visit**.

3.1.7 Stage 6 – Conduct of Initial Site Visit

A Quality Assurance Specialist will carry out an Initial Site Visit and detail all relevant information within the sections marked as STAGE 6 in the Initial Approval Form. The Quality Assurance Specialist will also complete the summary from the Initial Site Visit section and provide a recommendation for Approval: Approval Outright, Approval with Corrective Actions or Non-Approval.

This recommendation will then be reviewed by the relevant Regional Quality Assurance Manager who will issue a Final Outcome to the Centre.

3.1.8 Stage 7 – Acknowledgement and feedback from Site Visit

The form will be returned to the Centre at this point with all information from the Initial Site Visit and the Final Outcome noted within the section *"Report Recommendation Reviewed."* At this point the Centre is required to review the contents of the report – and any subsequent corrective actions – and detail within STAGE 7 that this has been acknowledged. In the event of an Appeal being raised, this should also be detailed within STAGE 7 and the Appeals feedback to be provided on the process and the Initial Site

Visit as a whole. Once the Centre has reviewed and acknowledged the content of the report (printing/ downloading as necessary) please acknowledge this using the button **Report Acknowledged**.

3.1.9 Final Closure of Approval

Close out of the process will depend on the Final Visit Outcome as follows:

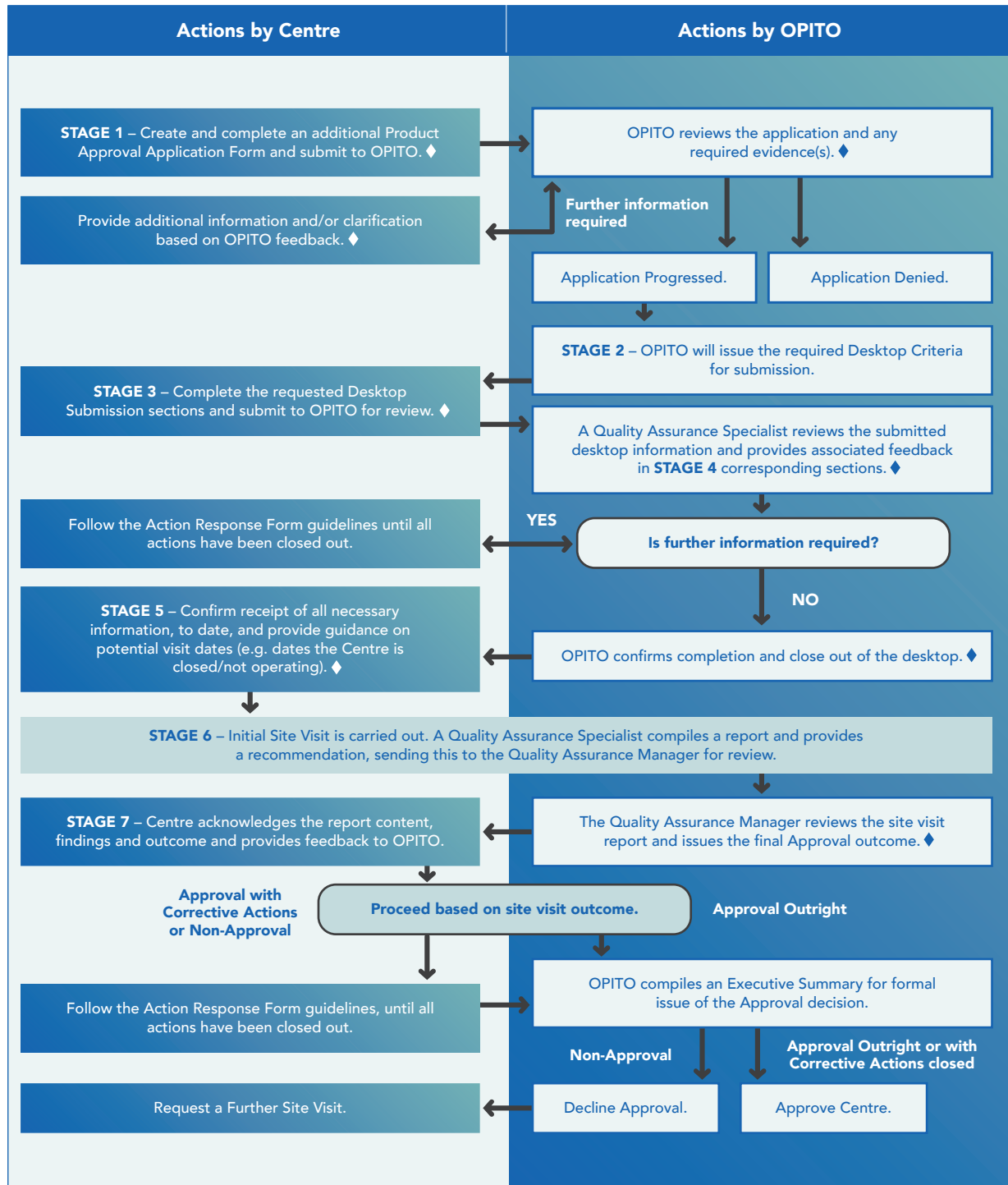
- **Approval Outright** – an Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps;
- **Approval with Corrective Actions** – the Action Response Process should be followed until all actions have been completed and closed out. Subsequently an Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps; or
- **Non-Approval** – in the event of a Non-Approval outcome the Centre can follow the process for closing out corrective action(s) and request a further site visit (see section 5.4). Only one further site visit can be carried out. If a second outcome of Non-Approval is given, the Approval Process will be concluded and the Approval will be withheld.

Once the form has been completed and closed successfully, it will be available to view under the closed forms area of the homepage. Additionally, the relevant Product Approvals will be added to the Centre's profile and available for learner registration and certification.

3.2 EXISTING CENTRES SEEKING ADDITIONAL PRODUCT APPROVAL(S)

The following outlines the process for existing Centres seeking additional Approval(s) for OPITO Training and/or Assessment Standards.

3.2.1 Process Schematic – Existing Centres seeking additional Approval



♦ Symbolises points where control of the form is transferred.

3.2.2 Stage 1 – Applying for new Product Approval(s)

To begin an application for additional Product Approval(s), a Centre is required to log-in to its OPITO online account within The HUB. The inbox and the option to “create a new form” will be visible. Select the form type named “Additional Product Approval Application” and, from the dropdown, add the relevant Product(s) for which Approval is being sought.

Complete the section titled “Apply for New Product Approval(s),” by selecting “work on this section.” At this stage, questions will be asked around other OPITO Approvals and Approvals held from other awarding bodies. If a Centre holds Approval with another awarding body for a Product similar to the OPITO Product for which they are applying, the Centre can attach relevant evidence of this.

Once the relevant information has been completed, save the section and use button, **Submit Application to OPITO**.

3.2.3 Stage 2 – Request for information from OPITO

OPITO will issue a request for desktop information and this will appear in the Centre’s inbox in a form titled “Centre Name Seeking New Product Approval(s)”. The section STAGE 2 – Initial Request for Information from OPITO will outline the information required for submission from the relevant form sections and any additional criteria which may be requested.

3.2.4 Stage 3 – Submitting Desktop Information

At this stage the Centre is required to complete all relevant sections included in STAGE 3 which have been identified by OPITO, as above. Ensure that information has been uploaded for each of the required criteria and that this evidences that all the noted requirements have been met. The desktop is then submitted to OPITO for review by a Quality Assurance Specialist using the button **Submit desktop to OPITO**.

3.2.5 Stage 4 – Feedback from OPITO on Desktop Information

Upon review of the submitted information from a Quality Assurance Specialist, feedback will be available within the sections marked as STAGE 4 that correspond to the submission stages used in STAGE 3. Where the Quality Assurance Specialist has advised that aspects require further information, actions to close these criteria out will be available in the Actions tab on the homepage. The Action Response Process should now be followed to close out these criteria. Upon completing the outstanding actions, the Centre is required to return the form to OPITO using the button **Further Information Submitted**.

3.2.6 Stage 5 – Confirm completion of Desktop

When no further desktop information is required, OPITO will return the form with the stage updated to Desktop Closed. The Centre is then required to complete STAGE 5 of the form and confirm that the comments have been read/understood. The form can be printed and saved as a PDF if needed. These options can be found at the bottom of the form overview.

Within this section, the Centre can provide detail on when an Initial Site Visit can be accommodated. This could, for example, include information on national holidays, Centre closures, and timeframes for visa arrangements. Upon completion of this section, please send confirmation to OPITO using the button **Ready for Site Visit**.

3.2.7 Stage 6 – Conduct of Initial Site Visit

A Quality Assurance Specialist will carry out an Initial Site Visit and detail all relevant information within the sections marked as STAGE 6 in the Initial Approval Form. The Quality Assurance Specialist will also complete the summary from the site visit section and provide a recommendation for Approval: Approval Outright, Approval with Corrective Actions or Non-Approval.

This recommendation will then be reviewed by the relevant Regional Quality Assurance Manager who will issue a Final Outcome to the Centre.

3.2.8 Stage 7 – Acknowledgement and feedback from Centre

The form will be returned to the Centre at this point with all information from the Initial Site Visit and the Final Outcome noted within the section Report Recommendation Reviewed. At this point the Centre is required to review the contents of the report and any subsequent corrective actions and detail within STAGE 7 that this has been acknowledged. In the event of an Appeal being raised, this should be included within STAGE 7 and the Appeals Process followed. This section also allows feedback to be provided on the process of obtaining OPITO Approval. Once the contents of the report have been reviewed and acknowledged (printing/downloading as necessary), please confirm this using button **Report Acknowledged**.

3.2.9 Stage 8 – Final Closure of Approval

Close Out of the Approval Process will depend on the Final Visit outcome as follows:

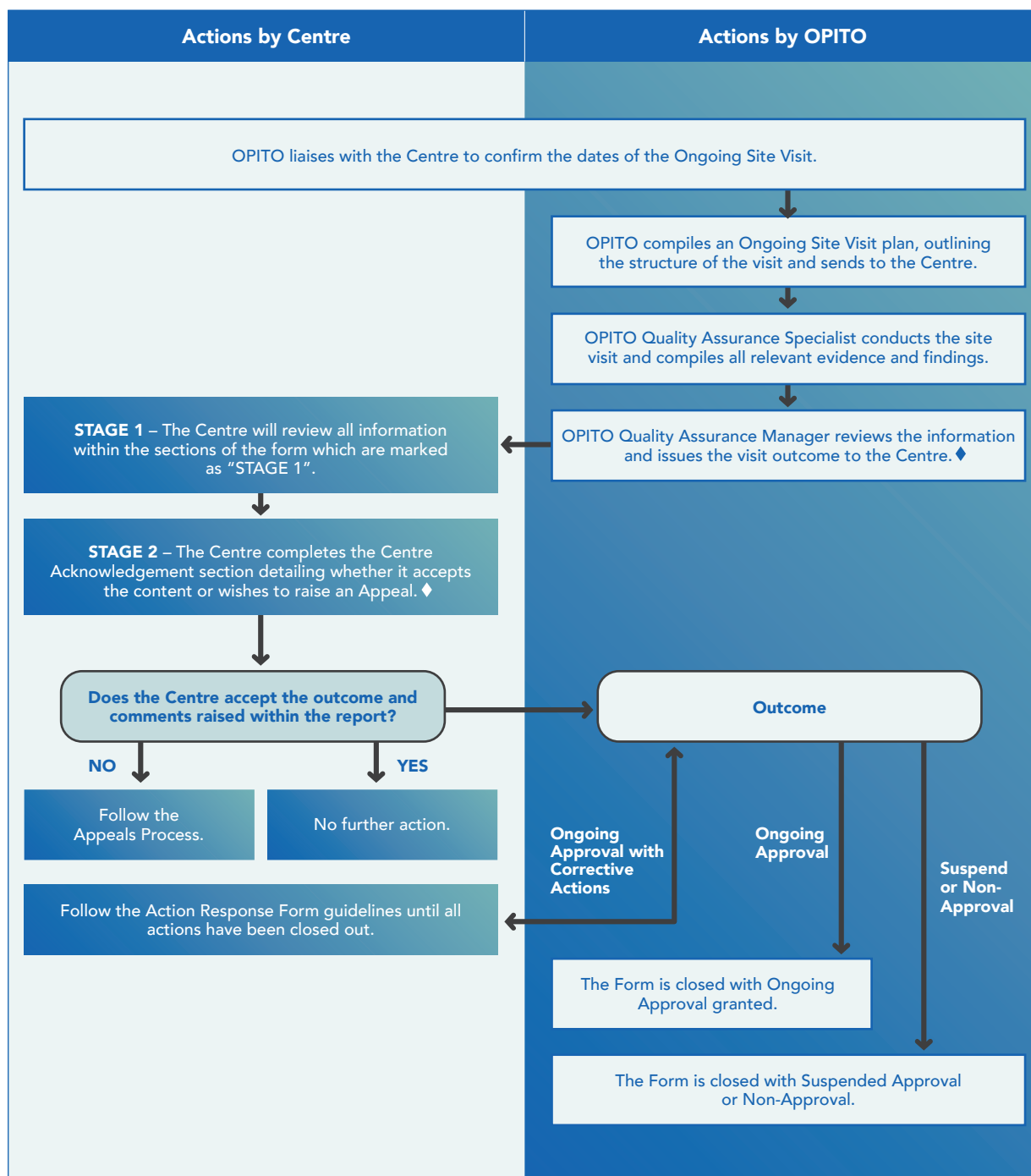
- **Approval Outright** – an Executive Summary will be prepared by OPITO and, following official sign-off in line with OPITO's current Internal Process, a Quality Assurance Coordinator will be in contact with confirmation and next steps;
- **Approval with Corrective Actions** – the Action Response Process should be followed until all actions have been completed and closed out. An Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps; or
- **Non-Approval** – in the event of a Non-Approval outcome the Centre can follow the process for closing out corrective action(s) and request a further site visit (see section 5.4). Only one further site visit can be carried out. If a second outcome of Non-Approval is given, the Approval Process will be concluded and the Approval will be withheld.

Once the form has been completed and closed successfully it will be available to view under the closed forms area of the homepage. Additionally, the relevant Product Approvals will be added to the Centre's profile and available for learner registration and certification.

3.3 ONGOING SITE VISITS

The following outlines the process to be followed when it is time for OPITO to conduct an Ongoing Site Visit at a Centre's premises. Prior to the Ongoing Site Visit, an Internal Self-Assessment will need to be completed. For further information on this process please see section 5.2 "Internal Self-Assessment."

3.3.1 Process Schematic – Ongoing Site Visits



♦ Symbolises points where control of the form is transferred.

3.3.2 Stage 1 – Conduct of Ongoing Site Visit

Following completion of the Internal Self-Assessment (see section 5.2), the relevant Regional Quality Assurance Coordinator will be in contact to make the necessary arrangements for a site visit by an OPITO Quality Assurance Specialist. The Quality Assurance Specialist will then conduct a site or remote-based visit and complete the Ongoing Site Visit Form accordingly (all sections marked as STAGE 1 and based on the number of OPITO Approvals held at the site). The Centre's submitted Internal Self-Assessment will also be reviewed during this visit.

At the end of the visit, the Quality Assurance Specialist will provide the Centre with an outcome recommendation, which will be one of the following:

- **Ongoing Approval Outright**
- **Ongoing Approval with Corrective Actions**
- **Suspended Approval**
- **Non-Approval**

The Quality Assurance Specialist will also make the Centre aware of any actions which have been raised throughout the visit. The report, corresponding actions – and ultimately the recommendation – will then be reviewed by the relevant Regional Quality Assurance Manager following completion of the visit.

3.3.3 Stage 2 – Centre Acknowledgment

Following review by the Regional Quality Assurance Manager the form will be available for the Centre to review and download/print. The Centre will now be able to see the visit outcome provided by the Regional Quality Assurance Manager in the *"Report Recommendation Review"* section.

The Centre will need to confirm it acknowledges the content of the report and detail whether it is accepting the content and findings or whether the Appeals Process is being followed.

The Centre will confirm all the above within the Centre Acknowledgment section and send confirmation to OPITO using the button **Report Acknowledged**.

3.3.4 Close Out of Site Visit

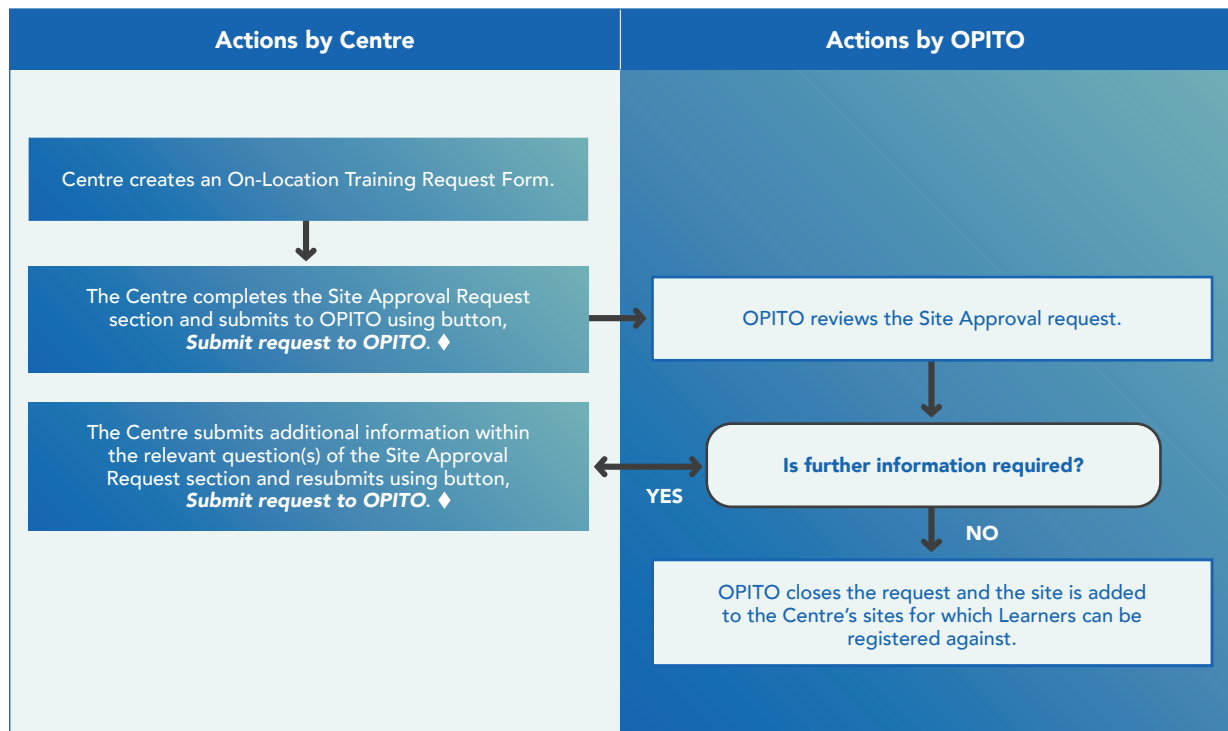
Final close out of the visit will be carried out based on the outcome as follows:

- **Ongoing Approval Outright** – OPITO will issue the Ongoing Approval and the form will be closed for both parties to view.
- **Ongoing Approval with Corrective Actions** – following successful completion/close out of the actions, OPITO will issue the Ongoing Approval and the form will be closed for both parties to view.
- **Suspended Approval** – following close out of the actions, the form will be closed, and the relevant Product Approvals suspended until resolved and another site visit conducted. Additional site visits will be conducted as an additional Ongoing Site Visit.
- **Non-Approval** – all the Centre's Approvals will be removed. These may be reinstated following close out of the appropriate actions and/or an additional Ongoing Site Visit has been conducted. Additional site visits will be conducted as an additional Ongoing Site Visit.

3.4 ON-LOCATION TRAINING REQUESTS

The following information outlines the process for when a Centre wishes to submit an On-Location Training Request to OPITO for review. On-Location training can only be delivered if allowed as part of the Product specification.

3.4.1 Process Schematic – On-Location Training



♦ Symbolises points where control of the form is transferred.

3.4.2 Prepare and submit request for On-Location Training

The On-Location Training Request Form can be found under the "Start a New..." section of the homepage and the section "Site Approval Request" is to be completed with all the requested information about the site, for example equipment, facilities, MERP and all contact details.

Upon completion of the request, it can be submitted to OPITO by using the button, **Submit Request to OPITO**.

3.4.3 Submit further Information

If OPITO requires additional information prior to approving the Centre, the forms will be passed back to the Centre. The additional information should then be added to the relevant question within the Site Approval Request section and returned to OPITO by using the button, **Submit Request to OPITO**.

3.4.4 Following Site Approval

Once OPITO has approved the On-Location Training Site the form will be closed and the site will be added to the Centre's profile. This site will then be available to register learners when creating a Booking Form for the applicable Product(s).

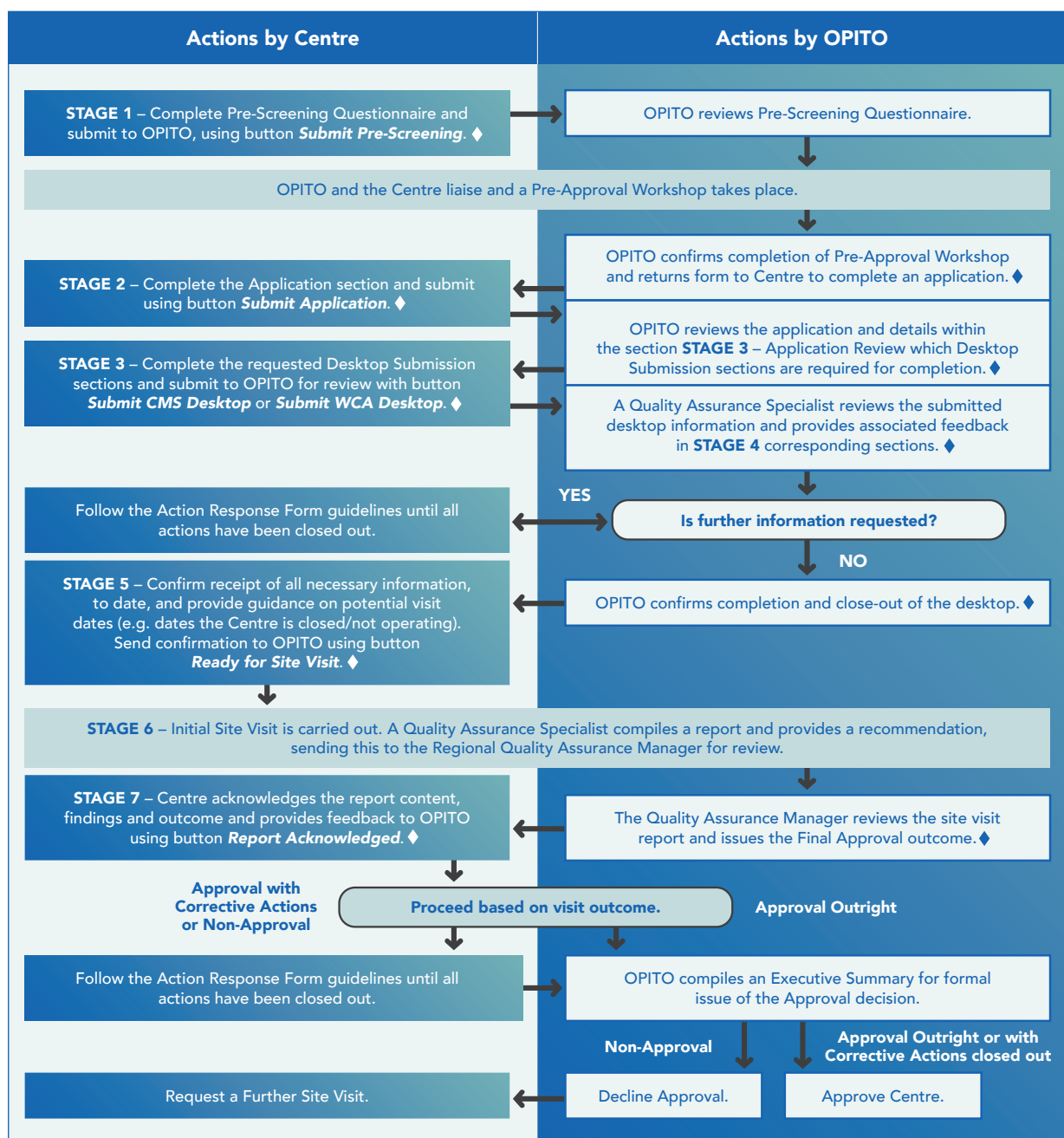
This site Approval is then valid for one year. After this time, a new submission is required.

4.0 Centres – CMS Organisations (including Workplace Competence Assessment Standards)

4.1 COMPETENCE MANAGEMENT SYSTEM (CMS) – INITIAL APPROVAL

The following information outlines the process to be followed for organisations seeking to obtain approval for their CMS, or for Centres looking to obtain approval to deliver Workplace Competence Assessment Standards. This process would also be used in the event an approved CMS Centre wishes to apply for an additional Workplace Competence Assessment Standard (in this instance the process would begin at Stage 3).

4.1.1 Process Schematic – CMS Initial Approval



♦ Symbolises points where control of the form is transferred.

4.1.2 Stage 1 – Pre-Screening Questionnaire

Following initial contact with OPITO, a Quality Assurance Coordinator will create an account in The HUB database and provide the CMS Organisation with the required login information. Upon logging in, the inbox on the homepage will contain a form titled “*Centre Name Initial Centre Approval*”. Prior to progressing towards obtaining OPITO Approval, it is required that the CMS Organisation completes STAGE 1 of this form.

Upon answering all the questions within the Pre-Screening Questionnaire section, the information is to be submitted to OPITO using the button **Submit Pre-Screening**. These buttons are located at the bottom of the form overview.

4.1.3 Stage 2 – Pre-Approval Workshop and Application

Once OPITO has reviewed the information contained within the completed Pre-Screening Questionnaire, the Quality Assurance Coordinator will arrange a Pre-Approval Workshop and access to the workshop video. After attendance at a Pre-Approval Workshop, OPITO will return the Initial Centre Approval Form for completion of STAGE 2 – Application. The CMS Organisation is then required to complete the application with all requested information including the relevant contacts and the scope of the Approval.

At this point the OPITO Terms and Conditions must be accepted. This can be carried out on the homepage. At the right hand-side there is a section consisting of OPITO documents requiring acceptance. The Terms and Conditions must be downloaded and then accepted by using the **Accept** button.

Once the application has been completed it must be submitted to OPITO by using the button **Submit Application**.

4.1.4 Stage 3 – Submission of Desktop Information

OPITO will review the application and provide detail in the Desktop Review section on which Desktop Sections are required to be completed for submission. This will reflect the type of CMS Approval sought and the CMS Organisation will be asked to complete either the section for CMS Approval or for Workplace Competence Assessment. When submitting information for Workplace Competence Assessment Approval, all relevant information relating to the corresponding Product specification(s) must be included.

At this point the CMS Organisation must then complete the requested section(s), attaching all the requested evidence and confirming that it meets the requirements. Once all the necessary information has been completed and attached, the submission can then be sent to OPITO using the button **Submit CMS Desktop or Submit WCA Desktop**, dependent on the type of CMS Product the application relates to.

4.1.5 Stage 4 – Feedback from OPITO on Desktop Information

Upon review of the submitted information from the OPITO Quality Assurance Specialist, feedback will be available within the sections marked as STAGE 4. These sections directly correspond to the submission stages used in STAGE 3. Where the Quality Assurance Specialist has advised that areas of the criteria require further information, actions to satisfy the outstanding criteria will be raised and these actions will then be available in the Actions tab on the homepage. The Action Response Process should now be followed to close out these criteria and can be found within section 5.1 of this document and the corresponding guidance video.

OPITO will again review the outstanding criteria against the actions and provide further feedback until all actions are closed out and all criteria are marked as “no further information required.”

4.1.6 Stage 5 – Confirm completion of Desktop

When no further desktop information is required, OPITO will return the form with the stage updated to “Desktop Closed.” Once the desktop is closed the CMS Organisation is required to complete STAGE 5 of the form and confirm that the comments have been read/understood and any relevant information has been downloaded/saved.

Within this section, the CMS Organisation can provide detail on when it may or may not be able to accommodate a site visit. This could, for example, include information on national holidays, CMS Organisation closures and timeframes for visa arrangements. Upon completion of this section, confirmation is then sent to OPITO by using the button [Ready for Site Visit](#).

4.1.7 Stage 6 – Conduct of Initial Site Visit

A Quality Assurance Specialist will carry out an Initial Site Visit and detail all relevant information within the sections marked as STAGE 6 in the Initial Approval Form. The Quality Assurance Specialist will also complete the Summary from site visit section and provide a recommendation: Approval Outright, Approval with Corrective Actions, or Non-Approval.

This recommendation will then be reviewed by the relevant Regional Quality Assurance Manager who will issue a Final Outcome to the CMS Organisation.

4.1.8 Stage 7 – Acknowledgement and feedback from Site Visit

The form will be returned to the CMS Organisation at this point with all information from the Initial Site Visit and the Final Outcome noted within the section “Report Recommendation Reviewed.” The CMS Organisation must then review the content of the report and any subsequent corrective actions, detailing within STAGE 7 that this has been acknowledged. If an Appeal is raised, this should also be detailed within STAGE 7 and the Appeals Process should be followed. This process is outlined within section 5.3 of this document and the corresponding guidance video. This section also allows feedback to be provided on the Approval Process and the Initial Site Visit. The CMS Organisation must then review and formally acknowledge the content of the report (printing/downloading as necessary) by using the button [Report Acknowledged](#).

4.1.9 Final Closure of Approval

Close out of the process will depend on the final visit outcome as follows:

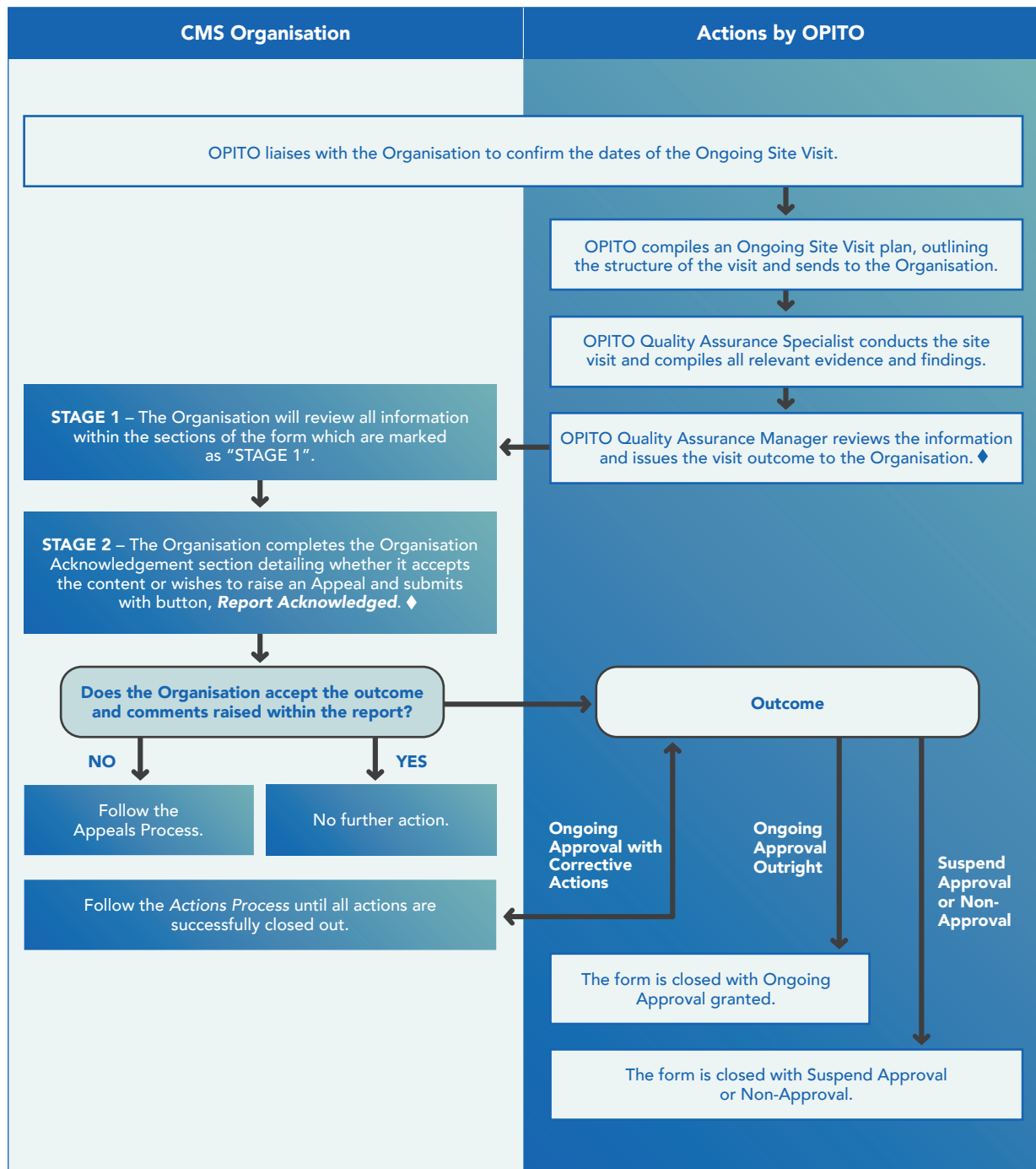
- **Approval Outright** – an Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will contact the CMS Organisation with confirmation and next steps.
- **Approval with Corrective Actions** – the Action Response Process should be followed until all actions have been completed and closed out. This process is outlined in section 5.1 of this document and the corresponding guidance video. An Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will contact the CMS Organisation with confirmation and next steps.
- **Non-Approval** – in the event of a Non-Approval outcome the CMS Organisation may follow the process for closing out corrective action(s) and request a further site visit. Only one further site visit can be carried out. If a second outcome of Non-Approval is obtained, the Approval will be denied.

Once the form has been completed and closed successfully, it will be available to view under the closed forms area of the homepage. Additionally, the relevant Product Approval(s) will be added to the CMS Organisation’s profile and available for candidate registration and certification (if appropriate).

4.2 ONGOING SITE VISITS – CMS ORGANISATIONS

The following outlines the process to be followed when it is time for OPITO to conduct an Ongoing Site Visit at an Organisation's head office and site(s) included within the scope of the Approval or remotely, where appropriate. Prior to the Ongoing Site Visit, an Internal Self-Assessment will need to be completed. For further information on this process please see section 5.2 "Internal Self-Assessment."

4.2.1 Process Schematic – Ongoing Site Visits – CMS Organisations



♦ Symbolises points where control of the form is transferred.

4.2.2 Stage 1 – Conduct of Ongoing Site Visit

Following the completion of the Internal Self-Assessment (see section 5.2), a Quality Assurance Coordinator will be in touch to make the necessary arrangements for an Ongoing Site Visit from an OPITO Quality Assurance Specialist. The visit will either take place at the Organisation's head office or remotely. The Quality Assurance Specialist will then conduct the site or remote-based visit and complete the Ongoing Site Visit form accordingly. The Organisation's submitted Internal Self-Assessment form will also be reviewed throughout the duration of the visit.

At the end of the visit, the Quality Assurance Specialist will provide the Organisation with a recommendation of visit outcome which will be one of the following:

- **Ongoing Approval Outright**
- **Ongoing Approval with Corrective Actions**
- **Suspended Approval**
- **Non-Approval**

The Quality Assurance Specialist will also make the CMS Organisation aware of any actions which have been raised throughout the duration of the visit. The report, corresponding actions and ultimately the recommendation will then be reviewed by the relevant Regional Quality Assurance Manager following completion of the visit.

4.2.3 Stage 2 – CMS Organisation acknowledgment

Following review by the Regional Quality Assurance Manager, the form will be available for the Organisation to review and download/print. The Organisation will now be able to see the visit outcome provided by the Regional Quality Assurance Manager in the Report Recommendation Review section.

The Organisation will now need to confirm acknowledgement of the contents of the report and detail whether the findings are accepted. In the event that the Organisation does not accept the content and findings, the Appeals Process should be followed. It is important that the report content is downloaded at this point as once the acknowledgment is confirmed the Organisation will no longer have access to the form until close out of the process.

The Organisation will confirm all the above within the Organisation Acknowledgment section and send confirmation to OPITO using the button, **Report Acknowledged**.

4.2.4 Close Out of Site Visit

Final close out of the visit will be carried out, based on the outcome as follows:

- **Ongoing Approval Outright** – OPITO will issue the Ongoing Approval and the form will be closed for both OPITO and the Organisation to view.
- **Ongoing Approval with Corrective Actions** – following successful completion/close out of the actions, OPITO will issue the Ongoing Approval and the form will be closed for both OPITO and the Organisation to view.
- **Suspended Approval** – following close out of the actions the form will be closed and the relevant Product Approvals suspended until resolved and another site visit conducted. Additional site visits will be conducted as an additional Ongoing Site Visit.

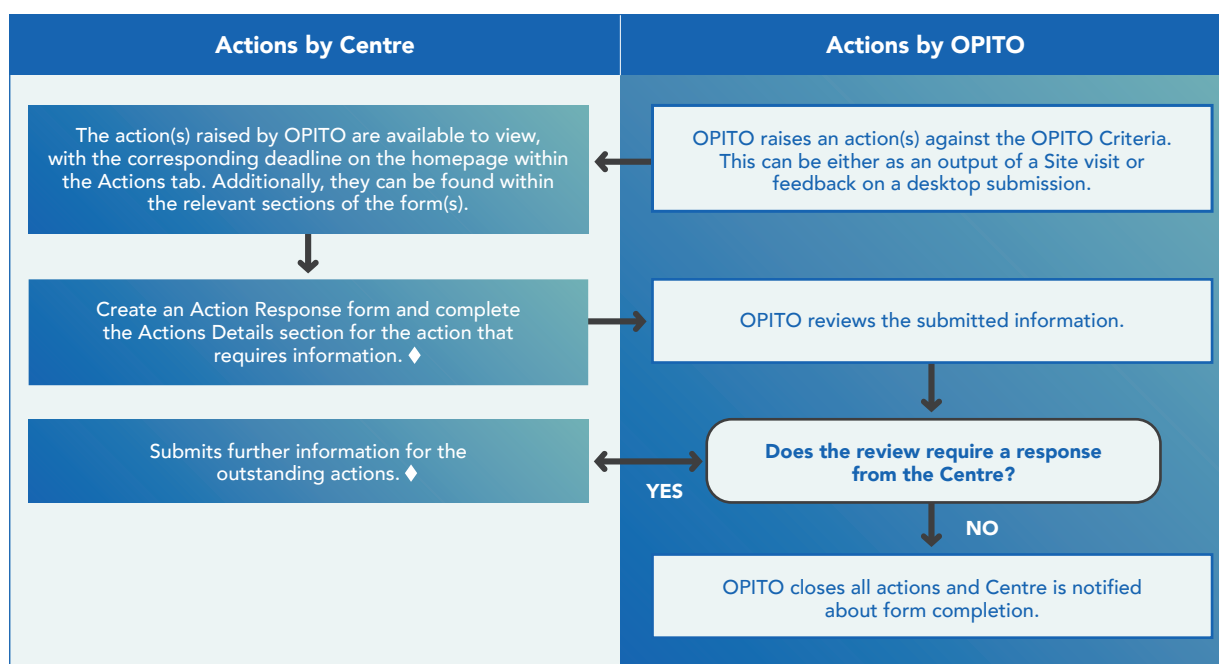
- **Non-Approval** – all the Organisation's Approvals will be removed. These may be reinstated following close out of the appropriate actions and/or an additional Ongoing Site Visit has been conducted. Additional site visits will be conducted as an additional Ongoing Site Visit.

5.0 Processes applicable to all Centres

5.1 ACTION RESPONSE AND CLOSING-OUT ACTIONS

The following outlines the process to be followed for closing-out actions within The HUB for Desktops and both Initial and Ongoing Site Visits. This document outlines the process to be followed for the initial submission of action information and how to submit further information if required.

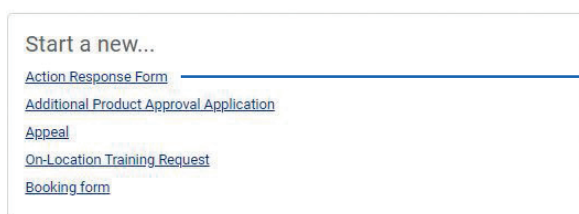
5.1.1 Process schematic – Action Response and Closing out Actions



♦ Symbolises points where control of the form is transferred.

5.1.2 Submitting information for Action Close Out

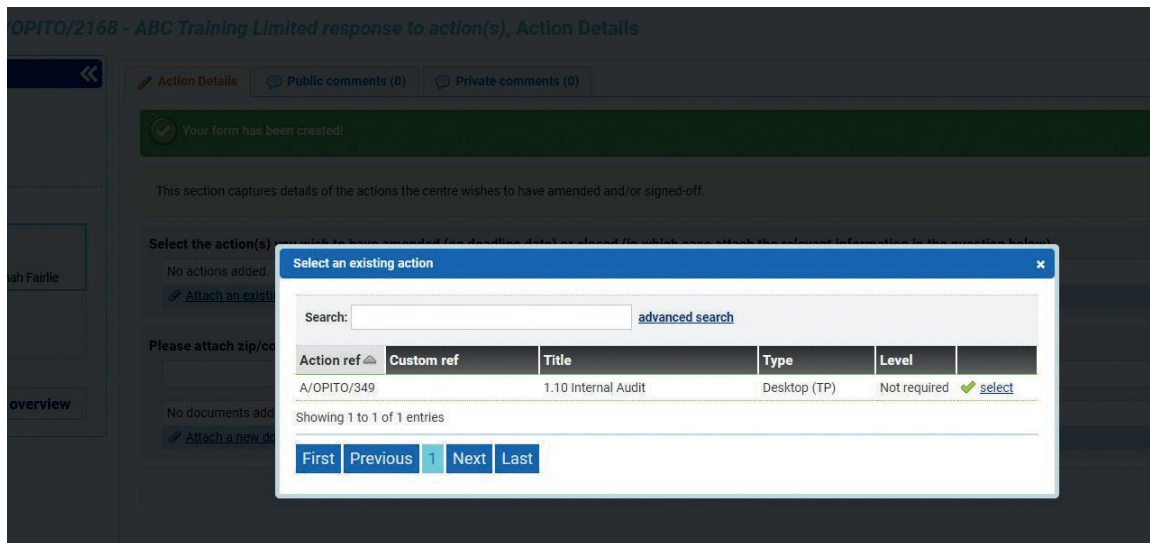
Upon logging in, the homepage will detail any outstanding actions which have been raised by OPITO under the Actions tab. These will all have a deadline date against them. Prior to the deadline date, the Centre is to submit the required information by creating an "Action Response Form."



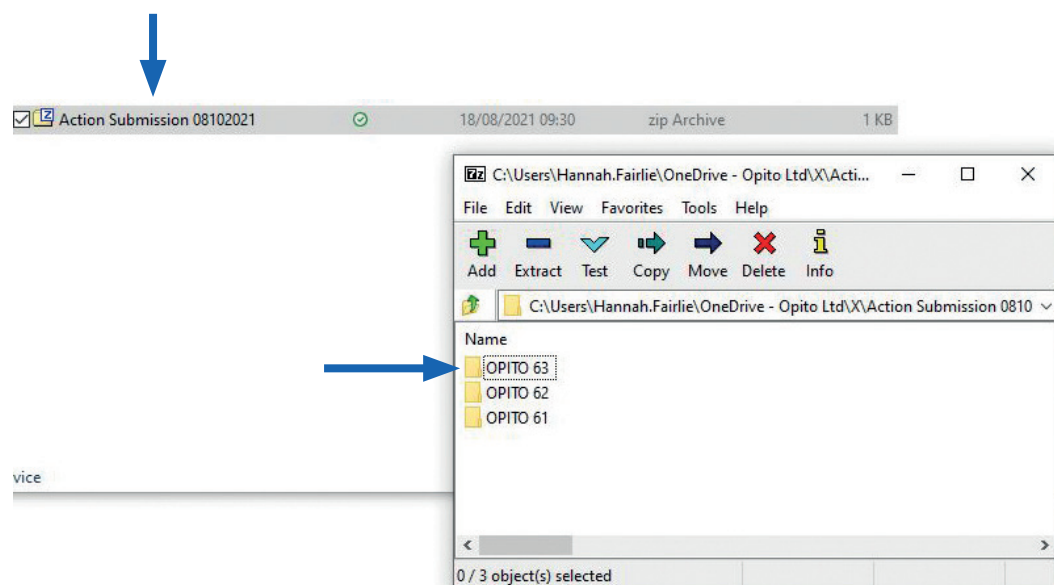
This form can be found here within the homepage.

Once the Centre has selected to create the form it will be presented with two sections: Action Details and OPITO Feedback.

Please complete the Action Details section by attaching the action(s) for which information is being submitted. All actions with the same due date and relating to the same Form/Approval/Process should be selected and submitted within one form. Failure to do this may result in the information not being reviewed, as only complete submissions will be reviewed by the Quality Assurance Specialist. This is done by selecting "Attach an existing action" and then selecting each of the relevant actions from the list provided, shown in the image below.



Upon selecting the relevant actions, the information is submitted in a zip/compressed folder. The submission folder must be laid out as below, with the evidence for each action saved inside individual folders and clearly named to reflect the corrective action number(s). All folders should then be saved inside one zipped folder, named with the submission date. The maximum file upload size is 60MB. Additional evidence folders can be used/attached if this is exceeded.



This zip/compressed folder is to now be attached in the Action Response Form in the “*Action Details*” section. When selecting “*upload a new document*” the user will be presented with the window shown below. Please provide a brief description in the “*Description*” field of what the actions relate to e.g. submission of site visit actions or submission of AGT desktop actions and name the document reference accordingly by completing the “*Document Reference*” field – for example “*HERTL Desktop Submission 3/09/2020.*”

The Centre will also need to provide a document type and document version. The document type is taken from a dropdown list and “*additional information*” can be selected here. In this instance the document version entered should be that of the submission number, for example first submission of further information, second submission etc.

Once the Centre has uploaded the corrective action information, save the changes to the section and submit the evidence(s) to OPITO using the button, **Submit Corrective Action(s)**.

5.1.3 Providing Further Information

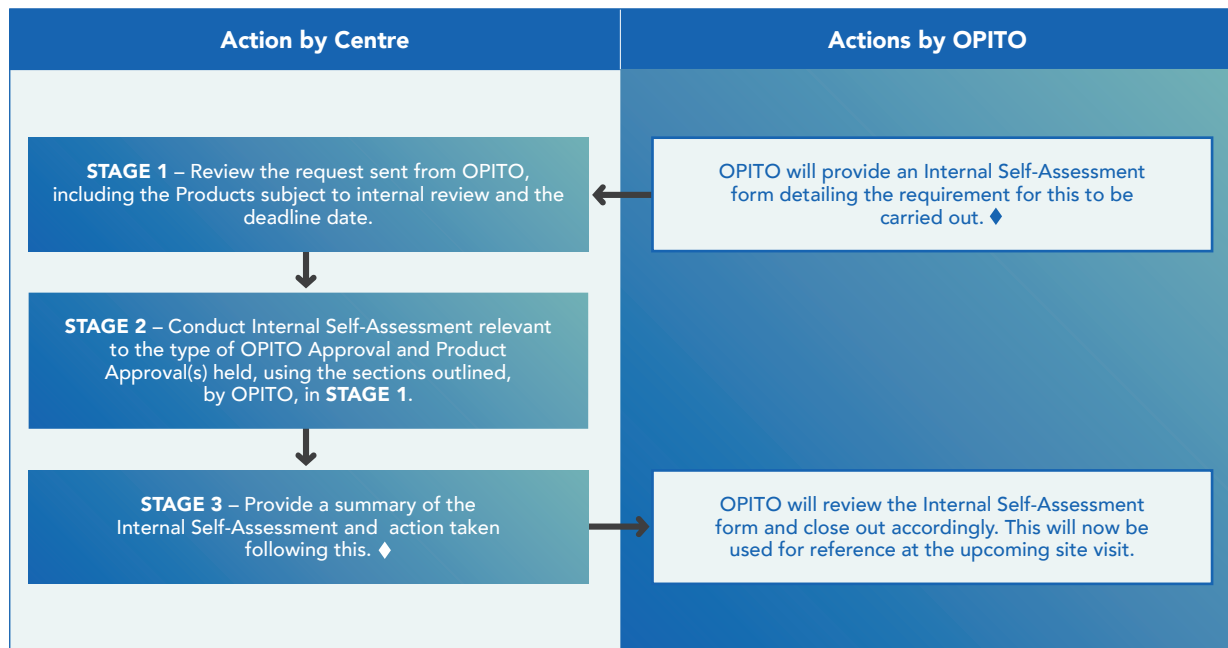
If OPITO has requested further information be submitted, the form will be returned with the OPITO Feedback section completed and the further information required will be detailed within the “*Notes*” section of the outstanding action(s). A new zip/compressed folder, with the new submission date, is to be attached within the Action Details section and the document version should be detailed 2,3,4, etc. as appropriate, based on the number of submissions.

The further information is to be submitted to OPITO using the button, **Submit Corrective Actions**. This process will be followed until all the attached actions have been closed out by OPITO. Once all actions have been closed out, OPITO will close the form and this will be available for the Centre to view/download.

5.2 INTERNAL SELF-ASSESSMENT

The following outlines the process to be followed when a request is made by OPITO for an Internal Self-Assessment to be carried out by an OPITO Approved Centre. This process applies to both OPITO Standards and CMS Organisations.

5.2.1 Process Schematic – Internal Self-Assessment for all Centres



♦ Symbolises points where control of the form is transferred.

5.2.2 Stage 1 – Request from OPITO for Internal Self-Assessment

Upon request from OPITO, and three months prior to an arranged Ongoing Site Visit, an Internal Self-Assessment Form will be issued and will be available within the inbox on the homepage. The first section of the form will outline which Products are to be reviewed and the date by which the form must be returned to OPITO. If the Centre holds several OPITO Approvals, OPITO will select a sample of Products for review. This section will also detail the deadline date by which this is to be completed and returned to OPITO (one-month prior to the ongoing site visit).

5.2.3 Conduct of Internal Self-Assessment

For Standards:

The Centre shall use the sections marked as STAGE 2 within the form to log the evidence and any findings from the Internal Self-Assessment. The first section contains all the OPITO Systems Criteria and provides the opportunity for the Centre to rate where it currently sits in relation to the requirement. Any findings should also be logged within each criteria, alongside any evidence when the Centre indicates it is exceeding the requirements. More information on how a Centre can exceed requirements can be found within the Guide to Approval.

The remaining sections of the form are for the Internal Self-Assessment of the OPITO Product Criteria. Three sections are available and OPITO will have requested a review of one to three Products. Please complete a new Product section for each of the different Products identified. The first question in each Product section is to be completed by selecting the Product to which the following information relates.

For CMS:

The Centre shall use the section marked as STAGE 2 CMS Criteria Review within the form to log the evidence and any findings from its Internal Self-Assessment. The first question in each Product section is to be completed by selecting the Product to which the following information relates, for example CMS or CMS Workplace Competence Assessment.

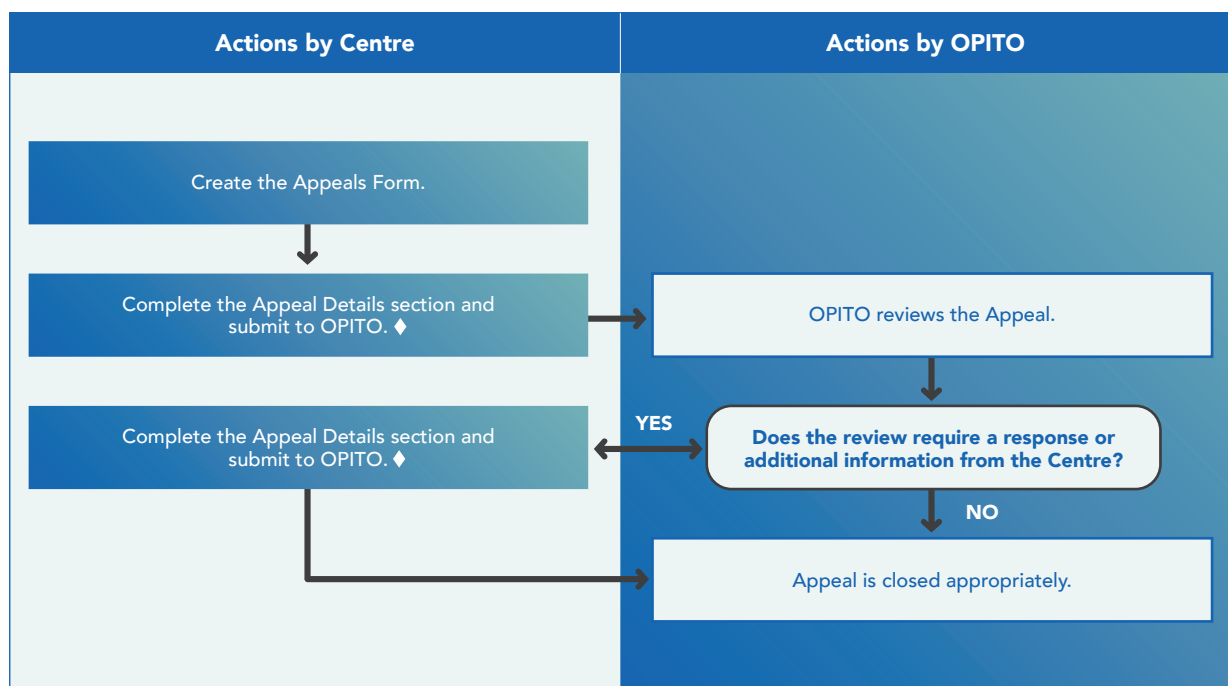
Upon completion of the Internal Self-Assessment, the Summary of Findings section is to be completed, identifying who conducted the review and any lessons learned. Once all the required information has been provided this is to be submitted to OPITO using the button, **Submit Completed ISA to OPITO**.

Please note: the completed Internal Self-Assessment will be reviewed at the time of the Ongoing or Initial Site Visit and will contribute towards to the Centre's overall score and ultimately the frequency of external OPITO site visits.

5.3 APPEALS

The following section outlines the process for how to raise an Appeal within The HUB and how to respond to and submit additional information.

5.3.1 Process Schematic – Appeals



♦ Symbolises points where control of the form is transferred.

5.3.2 Raising the Appeal

Create the Appeals Form from the hyperlink on the homepage located under the heading "Start a new..." and, where applicable, a specific Product and/or learner can be selected. If the Appeal is regarding a finding identified during a site visit, no selection is required.

Once the form has been created it will open onto the first section: Appeal Details. As much information as possible should be provided regarding the Appeal within this section. The Appeal can then be submitted by using the button **Submit Appeal to OPITO**.

5.3.3 Responding to the Appeal or providing additional information

If OPITO has requested further information be submitted, this will be detailed as a public comment within the “*Appeal Details*” section. The additional information can then be provided within the Details section and submitted to OPITO using the button **Provide Additional Information**.

On occasion, OPITO may request a response to the outcome of the Appeal, for example where action is requested. In this instance the form will be returned and will be found within the inbox. The “*Centre Response*” section is to then be completed with an appropriate response and submitted to OPITO using the button **Send Outcome Response**.

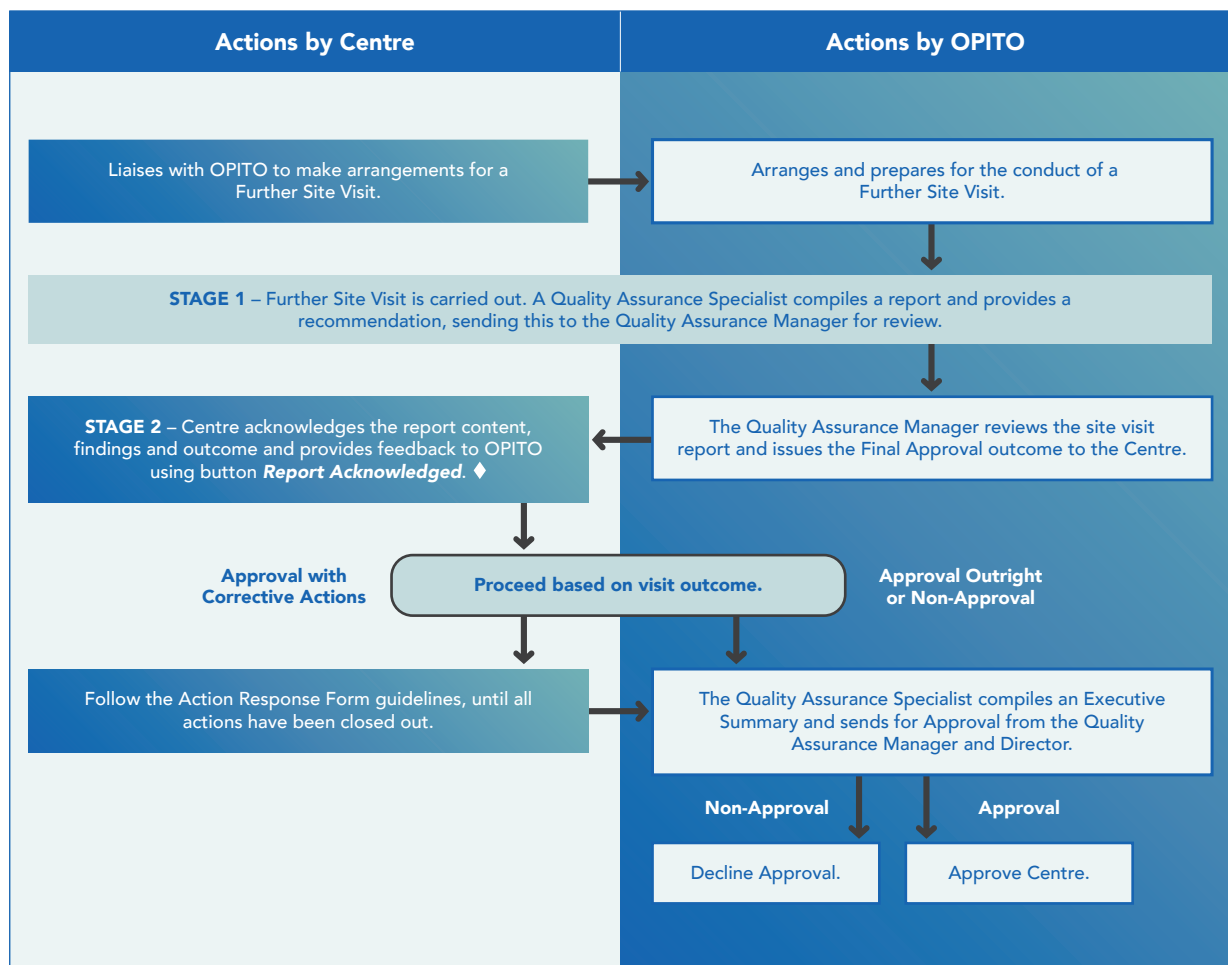
5.3.4 Appeal Closure

Once OPITO formally closes the Appeal the Centre will be notified via e-mail and the form will be found in the closed forms area of the homepage.

5.4 FURTHER SITE VISITS

The following section outlines the process for the way in which OPITO conducts Further Site Visits following a recommendation of Non-Approval after an Initial Site Visit.

5.4.1 Process Schematic – Further Site Visits for all Centres



♦ Symbolises points where control of the form is transferred.

5.4.2 Stage 1 – Conduct of Further Site Visit

A Quality Assurance Specialist will carry out a Further Site Visit and detail all relevant information within the sections marked as STAGE 1 (and relevant to the type of Centre) in the Further Site Visit Form. The Quality Assurance Specialist will also complete the “*Summary from Site Visit*” section and provide a recommendation for Approval: Approval Outright, Approval with Corrective Actions or Non-Approval.

This recommendation will then be reviewed by the relevant Regional Quality Assurance Manager who will issue a final outcome to the Centre.

5.4.3 Acknowledgement and feedback from Site Visit

The form will be returned to the Centre at this point with all information from the Further Site Visit and the final outcome noted within the section “*Report Recommendation Reviewed.*” At this point the Centre will review the content of the report and any subsequent corrective actions and detail within STAGE 2 that this has been acknowledged. In the event of an Appeal being raised, this must also be detailed within STAGE 2 and the Appeals Process followed. This section also allows feedback to be provided on **the process and the site visit**. Once the Centre has reviewed and acknowledged the content of the report (printing/downloading as necessary), this must be acknowledged by using the button [Report Acknowledged](#).

5.4.4 Final Closure of Approval

Close out of the process will depend on the final visit outcome as follows:

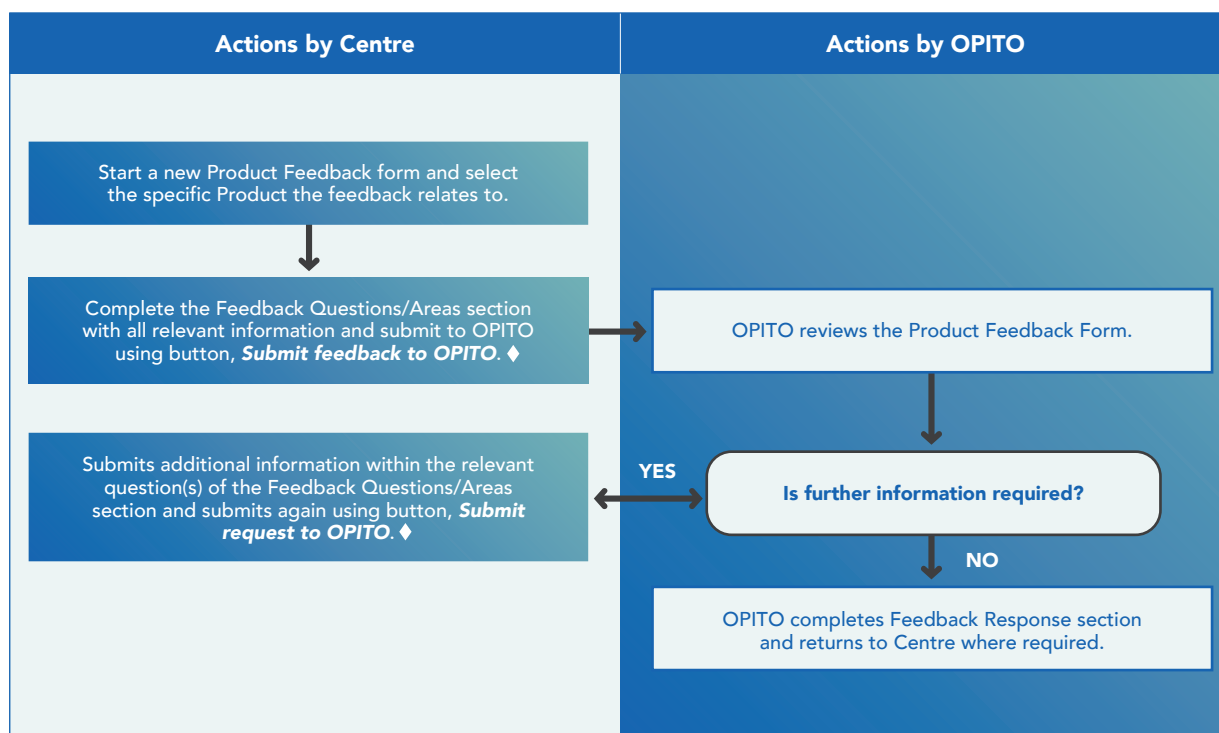
- **Approval Outright** – an Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps.
- **Approval with Corrective Actions** – the Action Response process should be followed until all actions have been completed and closed out. An Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps.
- **Non-Approval** – if a second outcome of Non-Approval is obtained, the Approval will be denied.

Once the form has been completed and closed successfully it will be available to view under the closed forms area of the homepage. Additionally, the relevant Product Approvals will be added to the Centre’s profile and be available for learner registration and certification (if appropriate).

5.5 PRODUCT FEEDBACK

The following section outlines the process when preparing and submitting a Product Feedback Form, inclusive of sending a request for change.

5.5.1 Process schematic – Product Feedback



♦ Symbolises points where control of the form is transferred.

5.5.2 Prepare and submit Product Feedback Form

The Product Feedback Form can be found under the “Start a New” section of the homepage and the Product that it applies to must be selected. The section “Feedback Questions/Areas” is to be completed with all the feedback the Centre wishes to submit.

Upon completion of the Product Feedback Form it can be submitted to OPITO by using the button **Submit Feedback to OPITO**.

5.5.3 Submitting Further Information

If OPITO requires additional information relating to the feedback, the forms will be passed back to the Centre. The additional information should then be added to the relevant question within the Feedback Questions/Areas section and returned to OPITO by using the button **Submit Feedback to OPITO**.

5.5.4 Following OPITO Review of Product Feedback Form

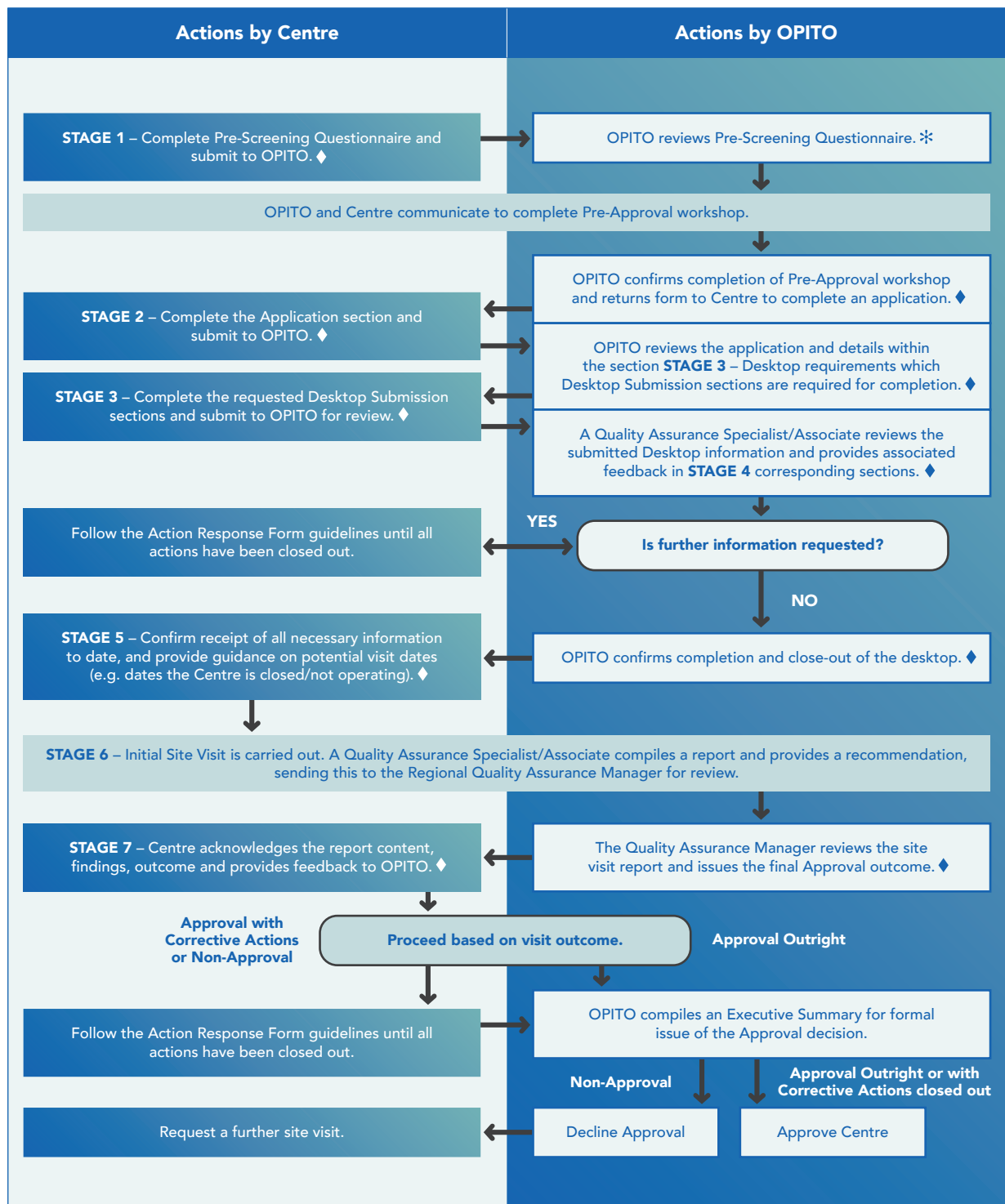
Once OPITO has reviewed and determined appropriate action, the Feedback Response section of the form will be returned to the Centre inbox, where required.

6.0 Centres – Global Qualifications

6.1 NEW CENTRES SEEKING INITIAL APPROVAL

This section outlines the process for new Centres seeking Initial OPITO Approval for Global Qualifications.

Table 1: Process for New Centres to Gain Initial Approval



✱ At this point OPITO may decide not to progress. ♦ Signifies where the form is transferred between OPITO and the Centre.

6.1.1 Stage 1 – Pre-Screening Questionnaire

Following initial contact with OPITO, a Quality Assurance Coordinator will set up the Centre in The HUB and provide Centre users with the required login information. Upon logging in, users will find an inbox on the homepage containing a Global Qualification Initial Approval Application for (*Centre Name*) Form. Prior to progressing towards obtaining OPITO Approval, each Centre is required to complete STAGE 1 of this form.

Upon answering all the questions within the Pre-Screening Questionnaire section, the Centre's information should be submitted to OPITO using the **Submit Pre-Screening** button. These buttons are located at the bottom of the form overview.

6.1.2 Stage 2 – Pre-Approval Workshop and Application

Once OPITO has reviewed the information contained within the completed Pre-Screening Questionnaire, a decision will be made on whether to progress with the application. Where the pre-screening information has been accepted, a Quality Assurance Coordinator will liaise with the Centre to arrange a Pre-Approval Workshop and access to the workshop video. After attendance at a Pre-Approval Workshop, OPITO will return the Initial Centre Approval Form for completion of STAGE 2 – Application.

If it has been identified that the Centre holds any applicable Approvals from other awarding bodies, the Centre is required to upload the Approval certificate(s) when completing the application. Additionally, if OPITO Approvals are held at another Associated Centre(s), the Centre can submit this as evidence to support their application.

At this stage, Centres must accept the OPITO terms and conditions using the **Accept** button. These can be found in the "OPITO documents requiring acceptance" section located on the right of the screen in The HUB.

Once the Centre has completed the application, it should be submitted to OPITO using the **Submit Application** button.

6.1.3 Stage 3 – Submission of Desktop Information

OPITO will review the application and provide detail in the Desktop Requirements section on which desktop sections are required to be completed for submission. OPITO may request that:

- a) both the Systems and Product Desktop Submissions are completed in their entirety,**
- b) only the Systems Desktop Submission section (for Centre Only Approval) is completed, or**
- c) that although the above section(s) are to be submitted, certain Criteria may be omitted. If this is the case, the relevant Criteria will be specified in the Desktop Requirements section.**

Evidence should be attached for each of the requested Criteria and the checklists completed accordingly. Once the submission is completed and ready for review by OPITO, this should be submitted using the **Submit Desktop to OPITO** button.

6.1.4 Stage 4 – Feedback from OPITO on Desktop Information

Upon review of the submitted information by a Quality Assurance Specialist/Associate, feedback will be available within the sections marked as STAGE 4, aligned to the submission stages used in STAGE 3. Where the Quality Assurance Specialist/Associate has advised that aspects require further information, actions to close-out these Criteria will be available in the Actions tab on the homepage and also linked under the relevant Criteria within the feedback section. The Action Response Process should then be followed to close-out these areas.

When submitting an Action Response Form, the Desktop Form should also be returned to OPITO using the **Further Information Submitted** button.

6.1.5 Stage 5 – Confirm Completion of Desktop

When no further desktop information is required, OPITO will confirm this by returning the form with the stage updated to "Desktop Closed". Once the Desktop is closed, the Centre is required to complete STAGE 5 of the form and confirm that the comments have been read and understood. The form can be printed or saved as a PDF, if required. These options can be found at the bottom of the form overview.

Within this section, the Centre can provide suitable dates and details to accommodate an Initial Site Visit. This could note unsuitable dates such as national holidays and Centre closures, as well as timeframes for visa arrangements. Upon completion of this section, information should be submitted using the **Ready for Site Visit** button.

6.1.6 Stage 6 – Conduct of Initial Site Visit

A Quality Assurance Specialist/Associate will carry out an Initial Site Visit and detail all relevant information within the sections marked as STAGE 6 in the Initial Approval Form. The Quality Assurance Specialist/Associate will also complete the summary from the Initial Site Visit section and provide a recommendation for Approval: Approval Outright, Approval with Corrective Actions or Non-Approval.

This recommendation will then be reviewed by the relevant Regional Quality Assurance Manager, who will issue a final outcome to the Centre. This outcome will be detailed within the Report Recommendation Review section.

6.1.7 Stage 7 – Acknowledgement and Feedback from Site Visit

The form will be returned to the Centre at this point with all information from the Initial Site Visit and the final outcome noted within the Report Recommendation Review section. At this point, the Centre is required to review the contents of the report and any subsequent corrective actions and acknowledge this within STAGE 7. In the event of an Appeal being raised, this should also be detailed within STAGE 7 and the Appeals Process followed. This section also allows feedback to be provided on the process and the Initial Site Visit as a whole. Once the Centre has reviewed and acknowledged the content of the report (printing/downloading as necessary) this should be acknowledged using the **Report Acknowledged** button.

6.1.8 Stage 8 – Final Closure of Approval

Close-out of the process will depend on the final visit outcome:

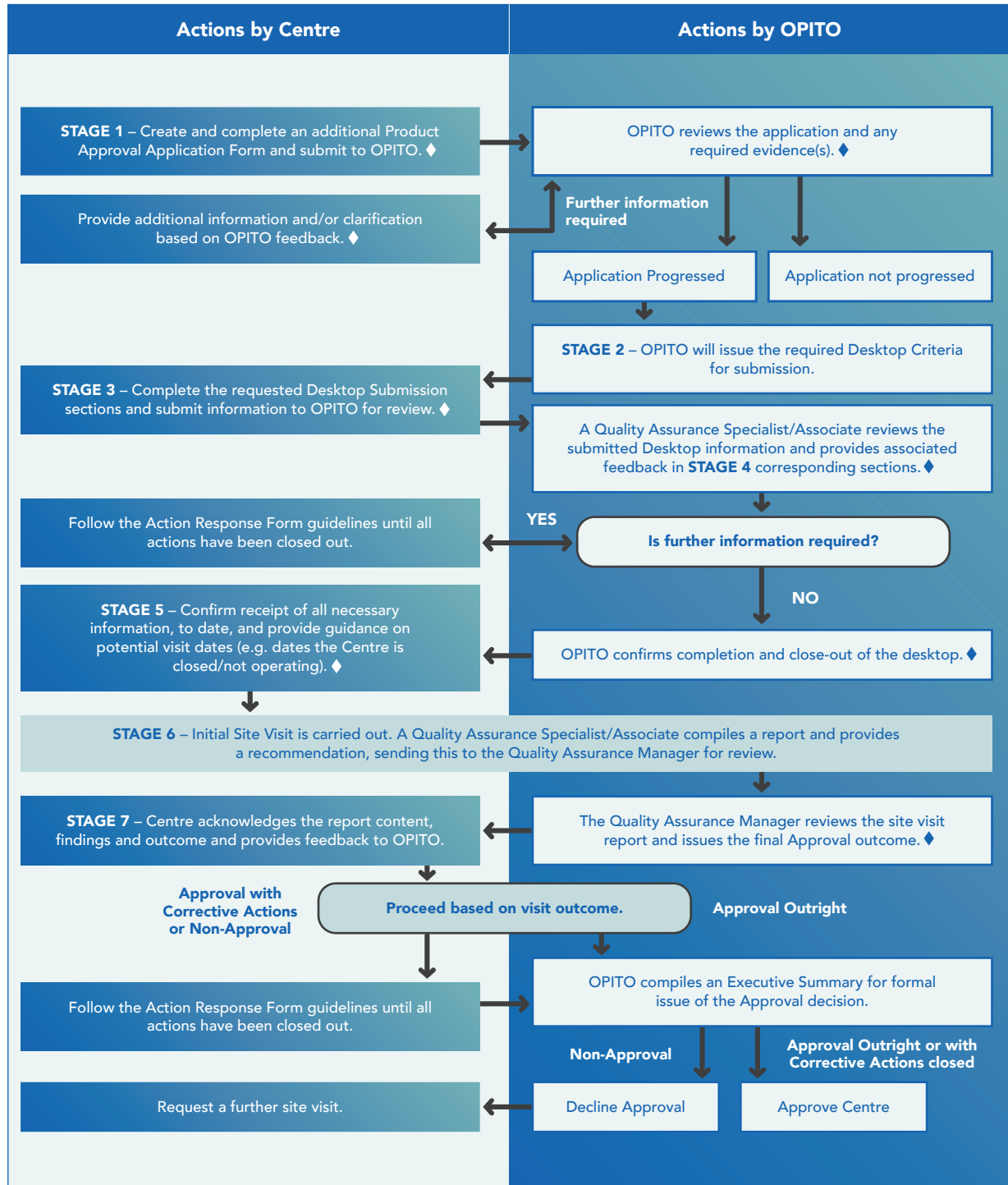
- **Approval Outright** – Where this is granted, an Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps.
- **Approval with Corrective Actions** – In instances of Approval with Corrective Actions, the Action Response Process should be followed until all actions have been completed and closed out. Subsequently, an Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps.
- **Non-Approval** – In the event of a Non-Approval outcome, the Centre can follow the process for closing out corrective action(s) and request a further site visit (see section 5.4). Only one further site visit can be carried out. If a second outcome of Non-Approval is given, the Approval Process will be concluded and the Approval will be withheld.

Once the form has been completed and closed successfully, it will be available to view under the closed forms area of the homepage. Additionally, the relevant Product Approval(s) will be added to the Centre's profile and available for learner registration and certification.

6.2 EXISTING CENTRES SEEKING ADDITIONAL PRODUCT APPROVAL(S)

The following section outlines the process for a Centre which already holds OPITO Approval and is seeking additional Approval(s) for an OPITO Global Qualification.

Table 2: Process for Existing Centres Seeking Additional Product Approval(s)



♦ Symbolises points where control of the form is transferred.

6.2.1 Stage 1 – Applying for new Product Approval(s)

To begin an application for additional Product Approval(s), a Centre is required to log in to their OPITO online account within The HUB. The inbox and the option to create a new form will be visible. Users should select the Additional Product Approval Application Form and, from the dropdown, add the relevant Product(s) for which Approval is being sought.

Users should complete the Apply for New Product Approval(s) section. At this stage, questions will be asked around other OPITO Approvals and Approvals held from other awarding bodies. If a Centre holds Approval with another awarding body for a Product similar to the OPITO Product for which they are applying, the Centre can attach relevant evidence of this.

Once the relevant information has been completed, users should save the section and use the **Submit Application to OPITO** button.

6.2.2 Stage 2 – Request for Information from OPITO

OPITO will issue a request for desktop information which will appear in the Centre's inbox as a (Centre Name) Seeking New Product Approval(s) Form. The section STAGE 2 – Initial Request for Information from OPITO will be outline the information required for submission in the relevant form sections, and any additional Criteria which may be requested.

6.2.3 Stage 3 – Submitting Desktop Information

At this stage, the Centre is required to complete all relevant sections included in STAGE 3 which have been identified by OPITO. Users should ensure that information has been uploaded for each of the required Criteria and that this provides evidence that all the noted requirements have been met. The desktop is then submitted to OPITO for review by a Quality Assurance Specialist/Associate using the **Submit Desktop to OPITO** button.

6.2.4 Stage 4 – Feedback from OPITO on Desktop Information

Upon review of the submitted information by a Quality Assurance Specialist/Associate, feedback will be available within the sections marked as STAGE 4 that correspond to the submission stages used in STAGE 3. Where the Quality Assurance Specialist/Associate has advised that aspects require further information, actions to close-out these Criteria out will be available in the Actions tab on the homepage. The Action Response Process should then be followed to close-out these Criteria. Upon completing the outstanding actions, the Centre is required to return the form to OPITO using the **Further Information Submitted** button.

6.2.5 Stage 5 – Confirm Completion of Desktop

When no further desktop information is required, OPITO will return the form with the stage updated to Desktop Closed. The Centre is then required to complete STAGE 5 of the form and confirm that the comments have been read and understood. The form can be printed and saved as a PDF if needed. These options can be found at the bottom of the form overview.

Within this section, the Centre can provide detail on when an Initial Site Visit can be accommodated. This could note unsuitable dates such as national holidays and Centre closures, as well as timeframes for visa arrangements. Upon completion of this section, information should be submitted using the **Ready for Site Visit** button.

6.2.6 Stage 6 – Conduct of Initial Site Visit

A Quality Assurance Specialist/Associate will carry out an Initial Site Visit and detail all relevant information within the sections marked as STAGE 6 in the Initial Approval Form. The Quality Assurance Specialist/Associate will also complete the summary from the site visit section and provide a recommendation for Approval: Approval Outright, Approval with Corrective Actions or Non-Approval.

This recommendation will be reviewed by the relevant Regional Quality Assurance Manager, who will issue a final outcome to the Centre. The visit outcome can then be found within the Report Recommendation Review section.

6.2.7 Stage 7 – Acknowledgement and Feedback from Centre

The form will be returned to the Centre at this point with all information from the Initial Site Visit and the final outcome noted within the Report Recommendation Review section. At this point, the Centre is required to review the contents of the report and any subsequent corrective actions and acknowledge these within STAGE 7. In the event of an Appeal being raised, this should be included within STAGE 7 and the Appeals Process followed. This section also allows feedback to be provided on the process of obtaining OPITO Approval. Once the contents of the report have been reviewed and acknowledged (printing/downloading as necessary), this should be acknowledged using [Report Acknowledged](#) button.

6.2.8 Stage 8 – Final Closure of Approval

Close-out of the Approval Process will depend on the final visit outcome:

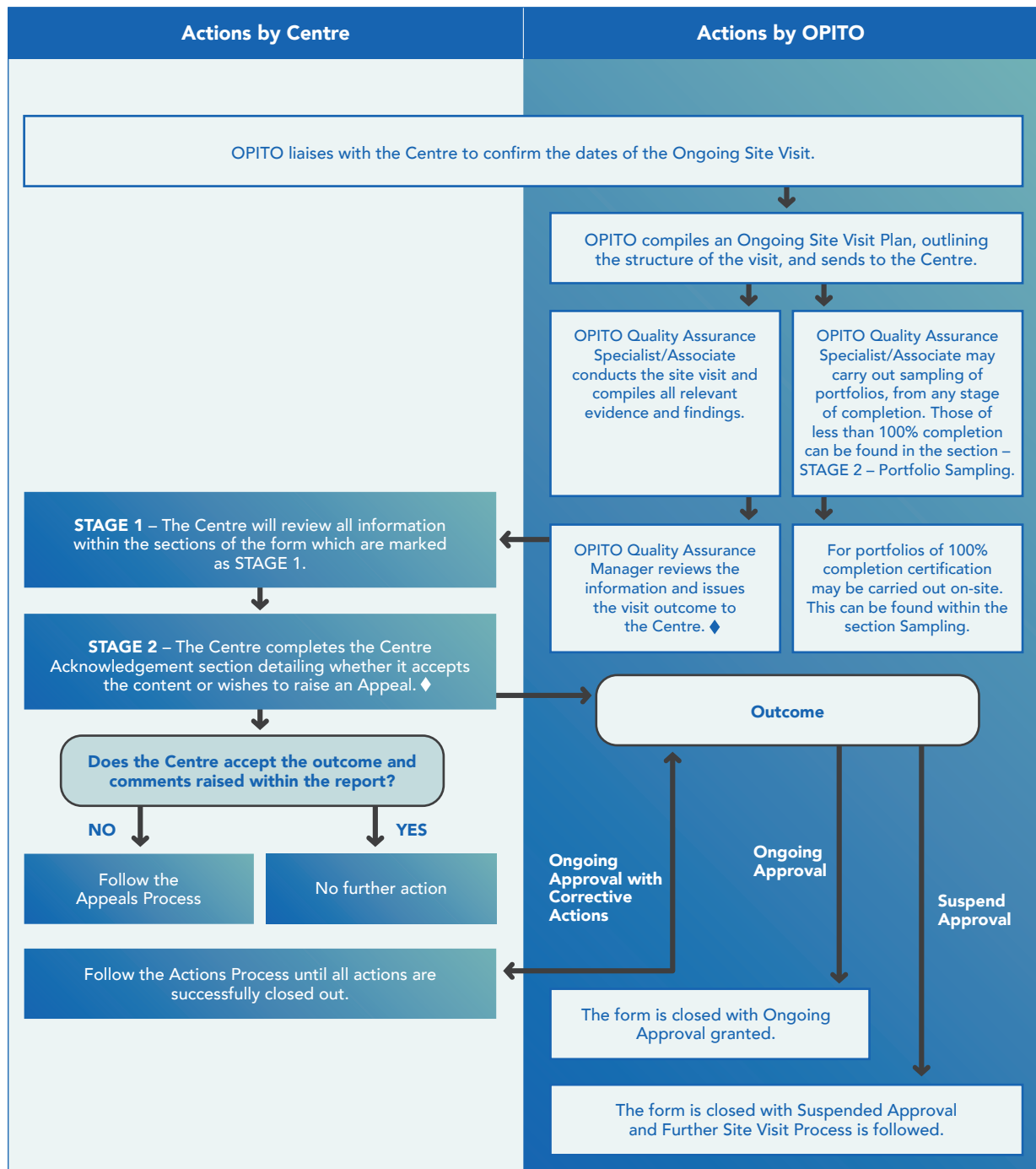
- **Approval Outright** – Where this is granted, an Executive Summary will be prepared by OPITO and, following official sign-off in line with OPITO's current Internal Process, a Quality Assurance Coordinator will be in contact with confirmation and next steps.
- **Approval with Corrective Actions** – In instances of Approval with Corrective Actions, the Action Response Process should be followed until all actions have been completed and closed out. An Executive Summary will be prepared by OPITO and, following final sign-off, a Quality Assurance Coordinator will be in contact with confirmation and next steps.
- **Non-Approval** – In the event of a Non-Approval outcome, the Centre can follow the process for closing out corrective action(s) and request a further site visit (see section 5.4). Only one further site visit can be carried out. If a second outcome of Non-Approval is given, the Approval Process will be concluded and the Approval withheld.

Once the form has been completed and closed successfully, it will be available to view under the closed forms area of the homepage. Additionally, the relevant Product Approval(s) will be added to the Centre's profile and available for learner registration, sampling, and certification.

6.3 ONGOING SITE VISITS

Table 3 outlines the process to be followed when it is time for OPITO to conduct an Ongoing Site Visit at the premises of a Centre which holds Approval for an OPITO Global Qualification. Prior to the Ongoing Site Visit, an Internal Self-Assessment should be completed. For further information on this process please see section 5.2 "Internal Self-Assessment".

Table 3: Process for Ongoing Site Visits



♦ Symbolises points where control of the form is transferred.

6.3.1 Stage 1 – Conduct of Ongoing Site Visit

Following completion of the Internal Self-Assessment (see section 5.2), the relevant Regional Quality Assurance Coordinator will be in contact to make the necessary arrangements for a site visit by an OPITO Quality Assurance Specialist/Associate. The Quality Assurance Specialist/Associate will then conduct a site or remote-based visit and complete the Ongoing Site Visit Form accordingly (all sections marked as STAGE 1 and based on the number of OPITO Approvals held at the site). The Internal Self-Assessment submitted by the Centre will also be reviewed during this visit.

At the end of the visit, the Quality Assurance Specialist/Associate will provide the Centre with one of the following outcome recommendations:

- **Ongoing Approval Outright**
- **Ongoing Approval with Corrective Actions**
- **Suspended Approval**
- **Non-Approval.**

The Quality Assurance Specialist/Associate will also make the Centre aware of any actions which have been raised throughout the visit. The report, any corresponding actions and the recommendation will then be reviewed by the relevant Regional Quality Assurance Manager following completion of the visit.

6.3.2 Stage 2 – Portfolio Sampling

Sampling may be carried out on-site of portfolios which are of any stage of completion. For portfolios which are of less than 100% completion, a sample will be taken from one to five cohorts of learners. Section "STAGE 2 – Portfolio Sampling", will detail which learners are to be sampled as well as the Product(s) and units their portfolios should relate to. This section will also detail the linked assessor and feedback from the EV and any corrective action derived from the sample.

Any sampling conducted within this section will be taken into consideration when identifying the sampling rate, upon cohort completion. More information on this can be found within Appendix 3 of the Guide for Centres to Achieve and Maintain OPITO Approval – Global Qualifications.

If any completed portfolios are available and are sampled during the site visit, this will be recorded within the Sampling section and, where appropriate, the learners will be certified.

6.3.3 Stage 3 – Centre Acknowledgement

Following review by the Regional Quality Assurance Manager, the form will be available for the Centre to review and download/print. The Centre will then be able to see the visit outcome provided by the Regional Quality Assurance Manager in the Report Recommendation Review section.

The Centre will need to confirm acknowledgement the content of the report as well as acceptance of the content and findings or, if these are not accepted, confirmation that the Appeals Process is being followed.

The Centre will confirm all the above within the Centre Acknowledgment section and send confirmation to OPITO using the **Report Acknowledged** button.

6.3.4 Close-Out of Site Visit

Final close-out of the visit will be carried out based on the outcome:

- **Ongoing Approval Outright** – OPITO will issue the Ongoing Approval and the form will be closed for both parties to view.
- **Ongoing Approval with Corrective Actions** – following successful completion/close-out of the actions, OPITO will issue the Ongoing Approval and the form will be closed for both parties to view.
- **Suspended Approval** – following close out of the actions, the form will be closed and the relevant Product Approvals suspended until resolved and another site visit is conducted. Additional site visits will be conducted as an additional Ongoing Site Visit.
- **Non-Approval** – all the Centre's Approvals will be removed. These may be reinstated following close-out of the appropriate actions and/or an additional Ongoing Site Visit has been conducted. Additional site visits will be conducted as an additional Ongoing Site Visit.

The**HUB** 

www.opito.com