Guide for Centres to Achieve and Maintain OPITO Approval – Global Qualifications

June 2022

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Amendments				
Amendment and Date	**Pages**	**Changes made by**	**Checked by**	**Approved by**
Amend to text regarding suspension Criteria, 15/06/2022	**22 & 30**	Implementation Manager	OPITO Associate	Head of Quality Assurance

Any amendments made to this document by OPITO will be recorded above.

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1.0 GLOSSARY OF TERMS

Approval Outright: All OPITO requirements have been met. No formal actions were identified, and no action response is required.

Approval with Corrective Actions: Aspects of the OPITO requirements were not met. Formal action(s) were identified, and action response(s) are required.

Centre: An OPITO approved organisation, or an organisation engaged in the OPITO Approval Process.

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 specification.

Existing Centre Seeking Additional Product Approval(s): A Centre that currently holds OPITO Approval for another Product at the location in which the new Product is being sought.

Findings/Actions: A finding is documented when OPITO identify there is a clear gap in meeting the OPITO 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.

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.

New Centre Seeking Initial Approval: A Centre that does not currently hold OPITO Approval.

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 of Non-Approval status 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.

OPITO Product: An OPITO Product is defined as 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 certified. There are a number of OPITO Standard types: Training Standard; Qualifications Standard; Competence Standard and Workplace Competence Assessment Standard.

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.

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.

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).

Sampling: Evidence Sampling of learner portfolios, to ensure OPITO Standards are being practised and maintained.

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.

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 and supports the OPITO Global Qualification Standards Process.

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.

Systems Criteria: The term 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).

The following terminology is specific to the use of OPITO's system, The HUB.

Associated Centre: Another Centre operating within the same organisation.

Buttons: Users use buttons to confirm each stage of the process has been completed and move to the next stage, including returning forms to OPITO for review.

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

Form Reference: The form reference is a unique number assigned to a 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 any form relates to.

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, *"further information requested"* tells the user that OPITO is waiting for the submission of further information.

OPITO Centre Score: A score which measures a Centre's ability to meet the OPITO requirements.

Public/Private Comments: The comments feature within each section of the forms allows users to leave messages for each other. Public comments are shared with OPITO, and private comments are only shared internally. More information on these can be found throughout the guidance videos.

Sections: These Forms contain sections, which combine to 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.

2.0 APPROVAL INFORMATION

2.1 INTRODUCTION

The purpose of this document is to provide information and guidance on fulfilling the requirements for the achievement of OPITO Approval. It is intended for use by Centres coming forward for Approval for the first time as well as Centres currently in possession of OPITO Approval status. The guide to the OPITO Approval Process has been specifically designed to focus on the details required for the achievement and maintenance of OPITO Approval and to facilitate the Desktop Review Process. This process is carried out, in full, within the OPITO online system referred to as The HUB.

2.2 PRE-APPROVAL SCREENING QUESTIONNAIRE

Prior to commencing the Approval Process, OPITO will request the completion of a pre-screening questionnaire within The HUB. This questionnaire allows the Applicant to provide information for pre-screening and evaluation purposes and to certify compliance with all applicable laws and regulations.

OPITO will review the information provided within the pre-screening questionnaire and advise the next steps accordingly. OPITO may, under the Pre-Screening Approval Policy, decide not to proceed to the Approval stage with any Centre completing this questionnaire.

2.3 INITIAL APPROVAL

OPITO uses a risk-based approach to granting Approval which covers new Applicants and existing Centres. Sections 2.3.1 to 2.3.3 outline the process for obtaining Initial Approval. If a third party is involved in the delivery of Training and/or Assessment, a joint application may need to be submitted. For specific information on how this Risk-Based Process applies, please see Appendix 2.

2.3.1 Pre-Approval Workshop

Each new Applicant will be directed to the Pre-Approval workshop video and will then be invited to attend a workshop facilitated by OPITO. This workshop is provided free of charge and covers the OPITO Approval Process and how to meet the requirements of the Product specification(s).

There are a number of benefits to attending an OPITO Pre-Approval workshop. Alongside gaining understanding of the Approval Process, the workshop will provide information on how to use The HUB system and what is expected at each stage.

It is therefore important the most suitable personnel are selected to attend the workshop. This may involve identifying who is responsible for collating the evidence for the Desktop Submission, who will be predominantly involved in the site visit, who will manage the Applicant's Management System(s) and who is heavily involved with developing the Training and/or Assessment.

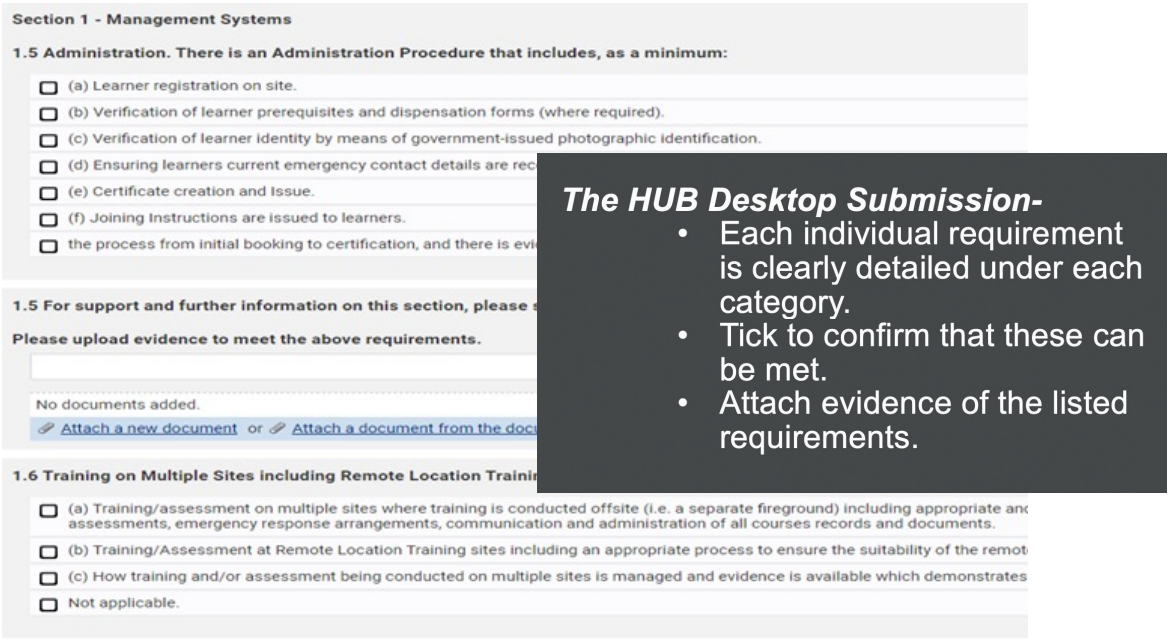
Prior to attending the workshop, it is important that the attendees review thoroughly the relevant Product specification(s) in addition to this guide.

Following the workshop, the Approval Process is then conducted in two stages: Desktop Submission and Review and the Initial Site Visit.

2.3.2 STAGE 1: Desktop Submission & Review

Submission

The Desktop Submission takes place through The HUB and includes the main sections of Management Systems, Equipment & Facilities, Staff Resources, Training and Assessment and Health and Safety to support the OPITO Global Qualification(s) applied for.



Review

Following submission of the required information, OPITO will conduct a Desktop Review of the Applicant's Management System documentation and training materials.

The objectives of the Desktop Review are to:

- **Verify that the Applicant has the resources in place to safely deliver training and/or assessment to the requirement of the OPITO Product specification(s).**
- **Verify that the Applicant has Management Systems in place which comply with the OPITO Approval Criteria. These Criteria are designed to assure quality delivery of the OPITO Product(s) and are detailed in section 4 of this document.**

Actions may be raised from the Desktop Review and are shared with the Applicant within The HUB.

The Action Response Process allows the Applicant to send evidence to OPITO and, upon verification from OPITO, the Applicant will move to the next stage of the process. All documentation must be in English.

Closing Out the Desktop Review:

Actions will be raised where it could not be ascertained from the Desktop Submission that all requirements are met. The Action Response Process is carried out simultaneously to the overall Initial Approval Process.

Only one Action Response Form should be used, where possible, to submit all the requested evidence.

Upon submission of the Action Response Form to OPITO, users should also return the Initial Approval Form.

2.3.2 STAGE 2: Initial Site Visit

After the Desktop Review, an Initial Site Visit is carried out. For on-site visits, this includes observation(s) of Training and/or Assessment being delivered against the relevant OPITO Product(s) and the OPITO Approval Criteria. For remote visits, aspects of Training and/or Assessment delivery will be submitted via video footage.

The visit will be carried out by an OPITO Quality Assurance Specialist(s) or an OPITO Associate(s) depending on the scope of the Approval. If a team is used, then one member of the team will be nominated Team Leader and this person will be responsible for the conduct of the site visit and the reporting of any actions/findings. OPITO may nominate SMEs from its industry partners to support these activities.

The findings of the site visit will be recorded in a report which is available to both OPITO and the Applicant within The HUB. Actions raised from the site visit will also be shared within The HUB and reviewed by OPITO. The report will also contain a recommendation from the Specialist/Associate who conducted the visit, which will be shared at the time of the visit.

This recommendation will then be subject to review by the relevant Quality Assurance Manager and the final outcome will be shared with the Applicant, following this review, within The HUB.

Once corrective actions have been closed out (if any), an Executive Summary is created and goes through an Internal QA Process before final Approval is given.

Training and/or Assessment must be delivered in English during the Initial Site Visit, without the use of an interpreter or translator. Following formal confirmation of the Initial Approval, and in line with OPITO's requirements, course delivery in other languages may be permitted. Please contact your regional office for more information.

2.4 RECOGNITION OF PRIOR APPROVAL

During the Application section of the Approval Process the Applicant will have the ability to evidence any relevant Approvals/accreditations that they may hold. This can be both OPITO Approvals held at other sites and/or relevant Approvals/accreditations from other awarding bodies.

Where a related Approval/accreditation is held with another applicable awarding body, evidence of this can be submitted. Where OPITO Approval is held on another site, information can be provided on what similarities this holds, for example where staff and/or a management system is used/shared across these sites.

OPITO will review this information and may be able to reduce the Desktop requirements for review and/or the duration of the site visit. Please contact your regional office for further information.

2.5 COSTS ASSOCIATED WITH THE INITIAL APPROVAL PROCESS

The costs associated with OPITO Initial Approval include:

- **A Centre Approval fee**
- **An Initial Approval fee for Desktop Review.**
- **An Initial Approval fee for conduct of the site visit.**
- **The costs incurred by the Specialist(s)/Associate for the conduct of the site visit, namely travel expenses, accommodation, security, and subsistence (where applicable)**

Further information regarding the fee structure for the various OPITO Products may be obtained from the regional Quality Assurance Coordinator. Contact details can be found on the OPITO website.

2.6 ONGOING QUALITY ASSURANCE AND RISK-BASED APPROACH

Once Initial Approval has been awarded and the company has been recognised as an OPITO Approved Centre, OPITO will carry out ongoing quality assurance. The Quality Assurance Process will be managed using a risk-based approach. This system will score the Centre's ability to comply with the OPITO requirements. Ongoing Site Visits will be carried out at a frequency of between 3 and 24 months. The following areas will be scored to ascertain each Centre's individual ability to adhere to and manage its Approval(s) (Ref. Appendix 1):

- **Accuracy of the Internal Self-Assessment.**
- **Evidence of ability to meet or exceed the Management Systems and Health and Safety sections 1 and 5 of the OPITO Criteria, against the relevant Product Approval(s).**
- **Evidence of ability to meet or exceed the Facilities & Equipment section 2 of the OPITO Criteria, against the relevant Product Approval(s).**
- **Evidence of ability to meet or exceed the Staff Resources section 3 of the OPITO Criteria, against the relevant Product Approval(s).**
- **Evidence of ability to meet or exceed the Training and Assessment section 4 of the OPITO Criteria, against the relevant Product Approval(s).**

Note: OPITO may also carry out unannounced visits where there are concerns about the ongoing maintenance of the Approval.

This process is designed to ensure that Centres which may require additional support from OPITO are provided with this.

Quality assurance is conducted in through Internal Self-Assessment (ISA) and both in-person and remote Ongoing Site Visits.

2.6.1 Internal Self-Assessment (ISA)

Approximately three months prior to an OPITO Ongoing Site Visit, an ISA Form will be issued to the Centre through The HUB. The form will detail a deadline date and the Product(s) subject to review. Completion of the ISA will allow the Centre to review its ability to meet the OPITO Criteria and the Product specification(s) requirements prior to the external review by OPITO.

The completed ISA will be reviewed by the Specialist/Associate at the Ongoing Site Visit and the accuracy of the review will contribute towards the overall OPITO Centre Score and therefore the required frequency identified for future site visits. The OPITO Specialist/Associate will ascertain from the ISA the Centre's ability to meet the requirements. Where findings have been raised in the ISA the Specialist/Associate will observe how these have been rectified, implemented and what lessons have been learned.

An accurate ISA identifies that a Centre has the knowledge and ability to successfully manage the OPITO Approval and will contribute towards the overall score. Where a Centre has failed to complete an ISA or where the ISA is not an accurate reflection of how the Approval is managed on-site, the Centre will score lower, which will contribute towards the frequency of the next site visit. OPITO endeavours to work with the Centre from the point of Initial Approval to provide it with the relevant knowledge and skills required to best adhere to the OPITO Criteria and the requirements of the relevant Product specification(s).

2.6.2 Ongoing Site Visits (In-Person)

OPITO will carry out site visits to review the Centre's ability to meet the OPITO Criteria and the Product specification(s) requirements. OPITO will review the company's Management System, course documentation and outputs such as internal audit reports. Additionally, where any OPITO training and/or assessment is ongoing, OPITO may observe its delivery and hold discussions with learners who are currently on-site. Evidence may be sampled against any areas of the OPITO Criteria and the approved Product specification(s).

Upon completion of the visit the reviewed information and any actions are shared with the Centres, alongside a summary and the Specialist/Associates recommendation. OPITO may nominate SMEs from its industry partners to support site visit activity.

All documentation including Management Systems and course records related to OPITO Approval must be maintained in English.

For fees relating to the conduct of Ongoing Site Visits please contact your regional office.

2.6.3 Ongoing Site Visits (Remote)

OPITO may carry out an Ongoing Site Visit remotely. Where a remote visit is utilised, OPITO will provide a detailed visit plan which will specify the documentation to be prepared and submitted. This will also allow the Centre to ascertain which personnel are required to be available during the visit.

Documentation will also be provided to explain how this information should be referenced and shared with OPITO. Where elements of course delivery are requested, this is to be submitted using video footage. The video footage should allow the Specialist/Associate to clearly view the course delivery and evidence the learners being presented with the opportunity to achieve the necessary outcomes. It is important the communication is clear, and that training staff are introduced at the beginning of each video. Where learners are required to participate verbally it is also important that their communication can be heard clearly.

Further information on remote visits will be provided by OPITO prior to them being held.
For fees relating to the conduct of Ongoing Site Visits please contact your regional office.

2.7 SAMPLING

OPITO's risk-based approach to learner(s) portfolio sampling allows OPITO to determine the percentage of learners and units required for sampling, based on the Centre Score, Assessor & Verifier Status and the Portfolios Sampled during a previous site visit.

Where an Associate is present at an Ongoing Site Visit, additional time may be allocated to allow for evidence sampling of any learner portfolios.

The outcomes of this review, alongside the completion level of the portfolios, will then be considered when the final evidence sampling/external verification is required for the appropriate cohort of learners.

Once a cohort of learners have completed an OPITO Global Qualification(s), a request for evidence sampling/external verification to be conducted will be submitted through the Learner Booking Form.

The Sampling Matrix is illustrated in Appendix 3.

2.8 SITE VISIT OUTCOMES

Following the completion of a Site Visit (Initial or Ongoing) the QA Specialist/Associate will make an Approval recommendation. This recommendation is then reviewed by the Quality Assurance Manager and a final decision is made on the outcome of the site visit.

The possible outcomes of a site visit are:

- **Approval Outright:** All evidence provided, was sufficient and met all requirements.
  - ***Meets requirement:*** evidence has been reviewed to meet all the requirements.
  - ***Exceeds requirement:*** evidence is available to reflect that the organisation has gone above the needs of the requirement.
- **Approval with Corrective Actions:** Any actions to be taken from the site visit, regardless of visit type, will be agreed with the Specialist/Associate at the time, and due dates for evidence submission will be set.
  - ***Minor Concern:*** where the Criteria is being met, however not in its entirety
- **Suspension of Approval:** In the event of a Suspension of Approval outcome, a further site visit may be offered to continue to progress with the Approval.
  - ***Major Concern:*** where no evidence is available to meet the Criteria or risk has been identified that could affect learner wellbeing.
- **Non-Approval:** In the event of a Non-Approval outcome, a further site visit may be offered to continue to progress with the Approval.
  - ***Major Concern:*** where no evidence is available to meet the Criteria or risk has been identified that could affect learner wellbeing.

As part of the OPITO requirements for Approval, certain Criteria have been identified as being **safety critical** and absolute requirements for continued OPITO Approval (highlighted with an asterisk*). If certain aspects of these Criteria are identified as a major concern the site visit outcome may be Suspension of Approval or Non-Approval.

This applies to the following:

- 2.1 **Welfare Facilities**
- 2.2 **Facilities**
- 2.3 **Equipment**
- 2.4 **Maintenance and Inspection Regime**
- 3.2 **Organisation Chart, Staff Competency Matrix, and Qualifications**
- 4.3 **Achievement of Outcomes**
- 5.4 **Risk Assessment**

Further information on these Criteria may be found in section 4 of this document.

2.9 REGISTERING AND CERTIFICATING LEARNERS

All learners attending OPITO Approved courses will be registered with OPITO prior to course commencement and in line with the current requirements.

Learners who have successfully completed OPITO Approved courses and/or assessments are certified by OPITO.

A registration fee is payable by the Centre to OPITO for each learner registered on the OPITO approved qualification. Specific information on the current registration fees can be obtained from the relevant regional Quality Assurance Coordinator. This contact information can be found on the OPITO website.

2.9.1. SCQF Credit Rating

As part of the Approval Process the Centre will need to provide evidence that the Centre is aware of the Scottish Qualification Framework (SCQF) and the Credit Rating that has been undertaken regarding the Standards/Qualifications that are to be delivered.

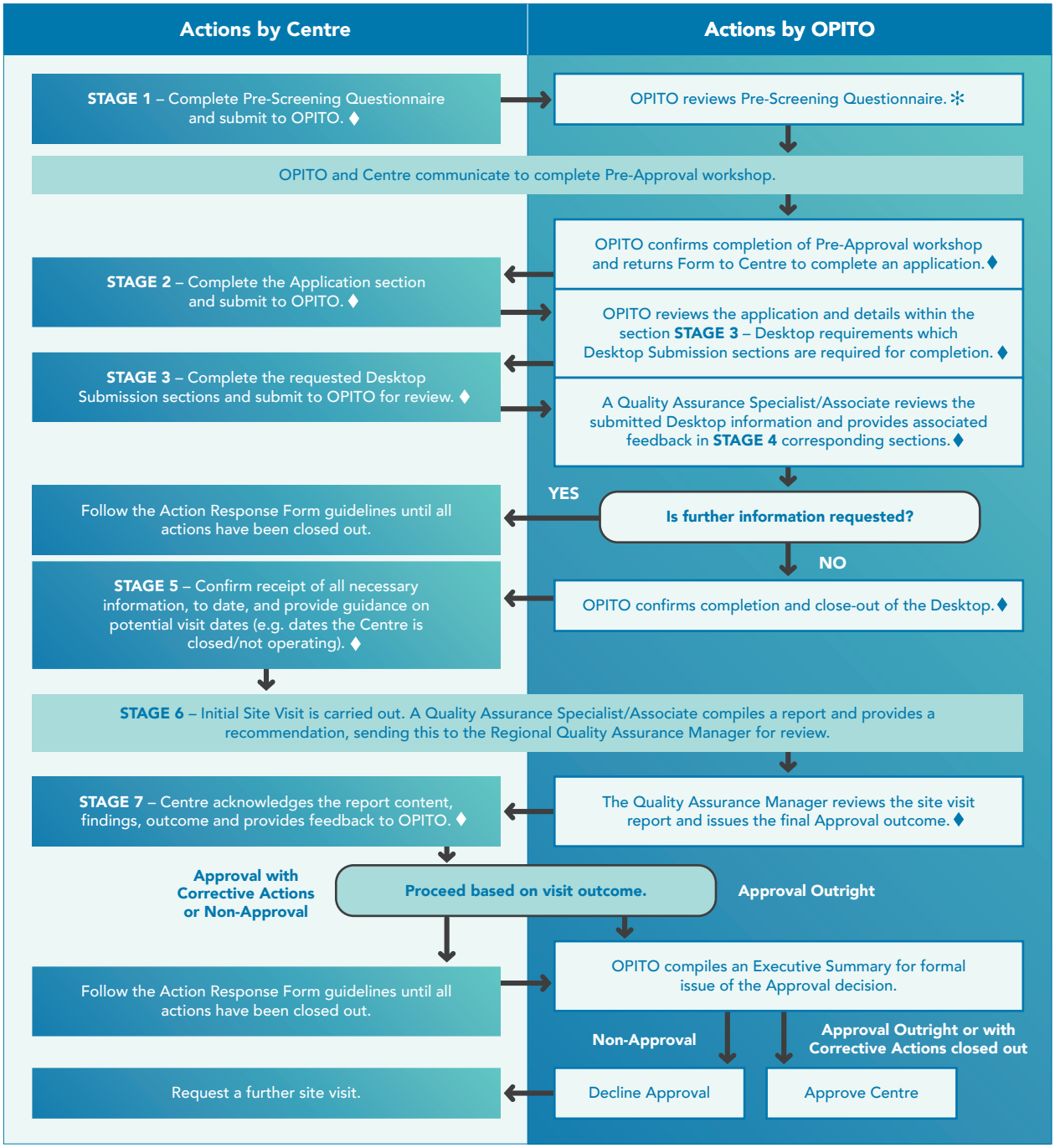
OPITO can provide further information on the SCQF awareness and arrange for an introduction to SCQF, prior to Initial Approval being awarded.

3.0 APPROVALS PROCESS PATHWAY

3.1 NEW CENTRE SEEKING INITIAL PRODUCT APPROVAL

New Centres seeking initial Product Approval or Centre Only Approval will start the process using The HUB. The table below shows the stages to be followed to gain Initial Approval. Prior to this the Centre will receive training in The HUB and ongoing support will be provided as and when required. Further assistance with completing this process can be found within The HUB guidance document and corresponding guidance video.

Table 1: Process for new Centre to gain Initial Approval



✻ At this point OPITO may decide not to progress.

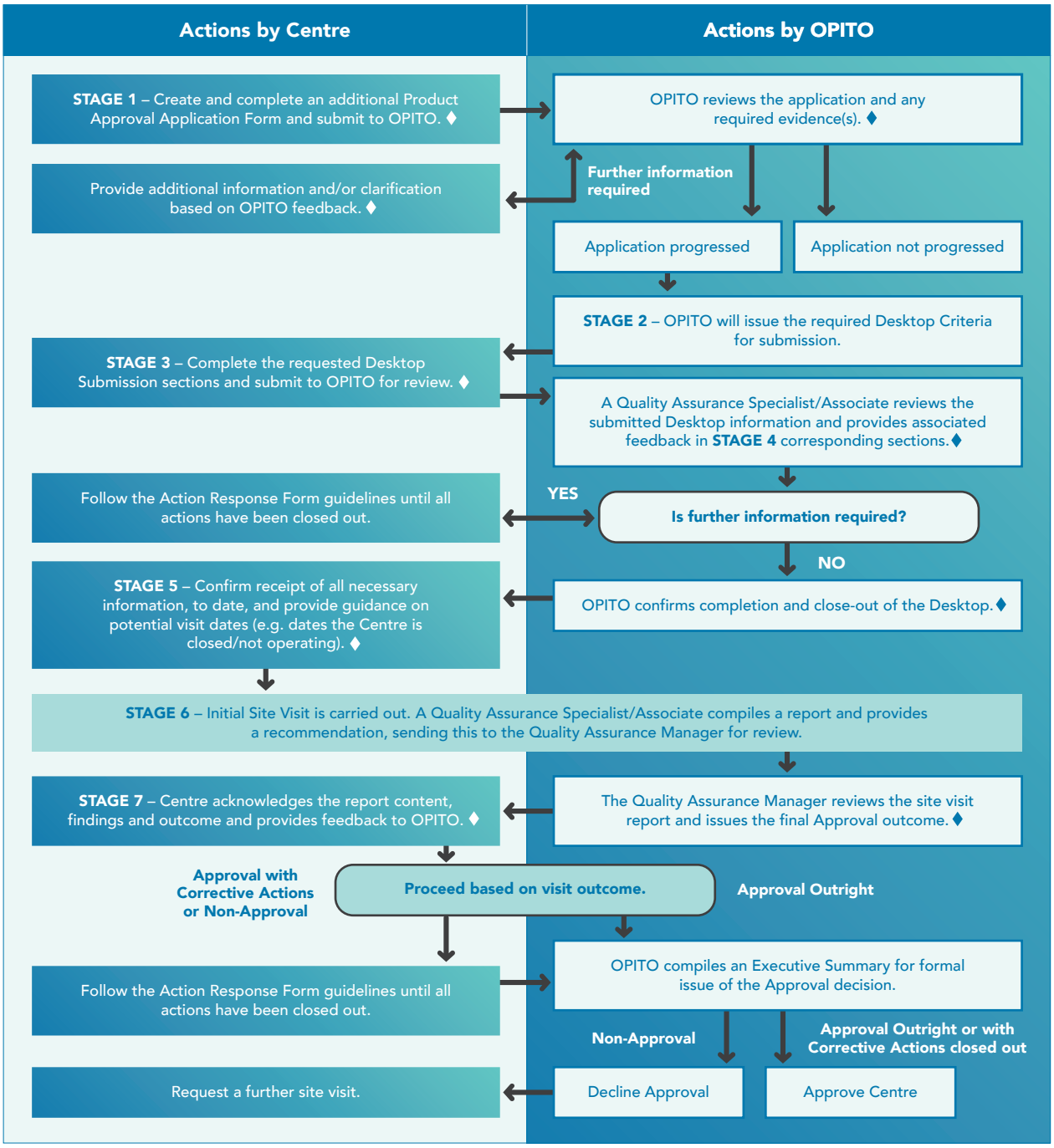
♦ Signifies where the form is transferred between OPITO and the Centre.

3.2 EXISTING TRAINING AND/OR ASSESSMENT CENTRES SEEKING ADDITIONAL PRODUCT APPROVAL(S)

Existing Centres seeking additional Product Approval(s) will do so through The HUB. Table 2 shows the stages to be followed.

Further assistance with completing this process can be found within The HUB guidance document and corresponding guidance video. If you have any questions regarding the Approval Process, or if you require any assistance when using The HUB, please contact your regional office.

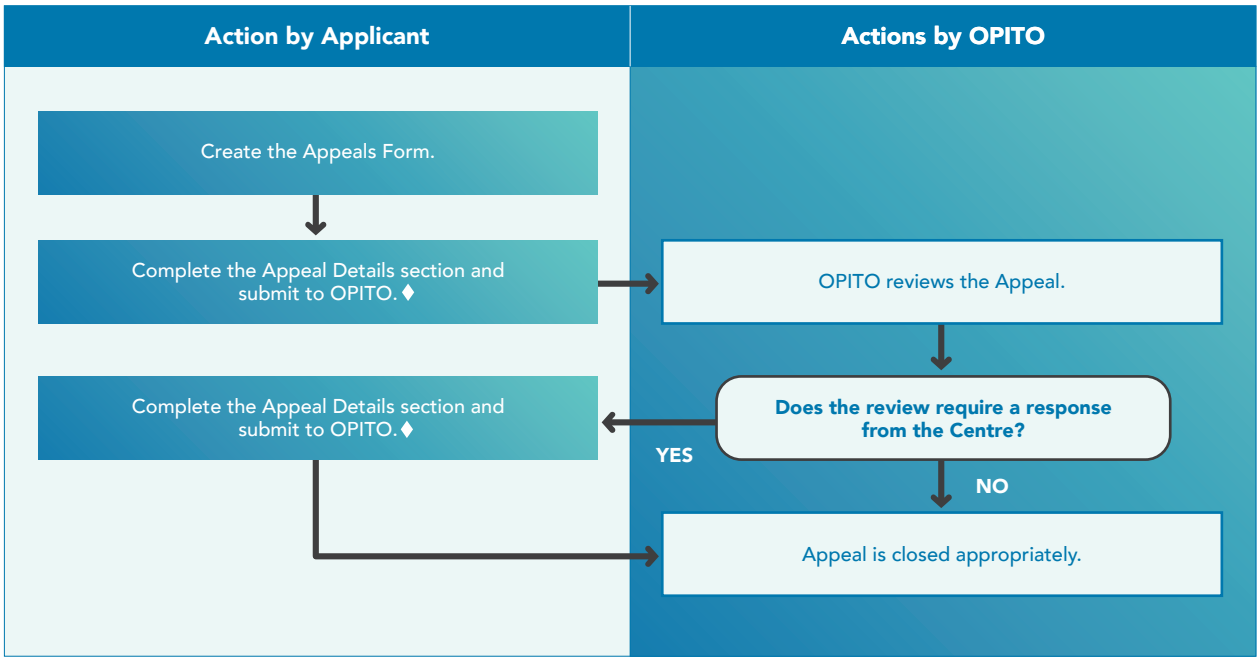
Table 2: Process for existing Centres seeking additional Product Approval(s)



♦ Signifies where the form is transferred between OPITO and the Centre.

3.3 APPEALS

If at any point following the completion and review of a Desktop Submission or site visit, the Centre wishes to raise an Appeal against any of OPITO's comments and/or actions, this can be done by following our Appeals Process. This is carried out within The HUB, as outlined in the table below. Further assistance on this can be found within the Raising an Appeal guidance document, and the corresponding guidance video.

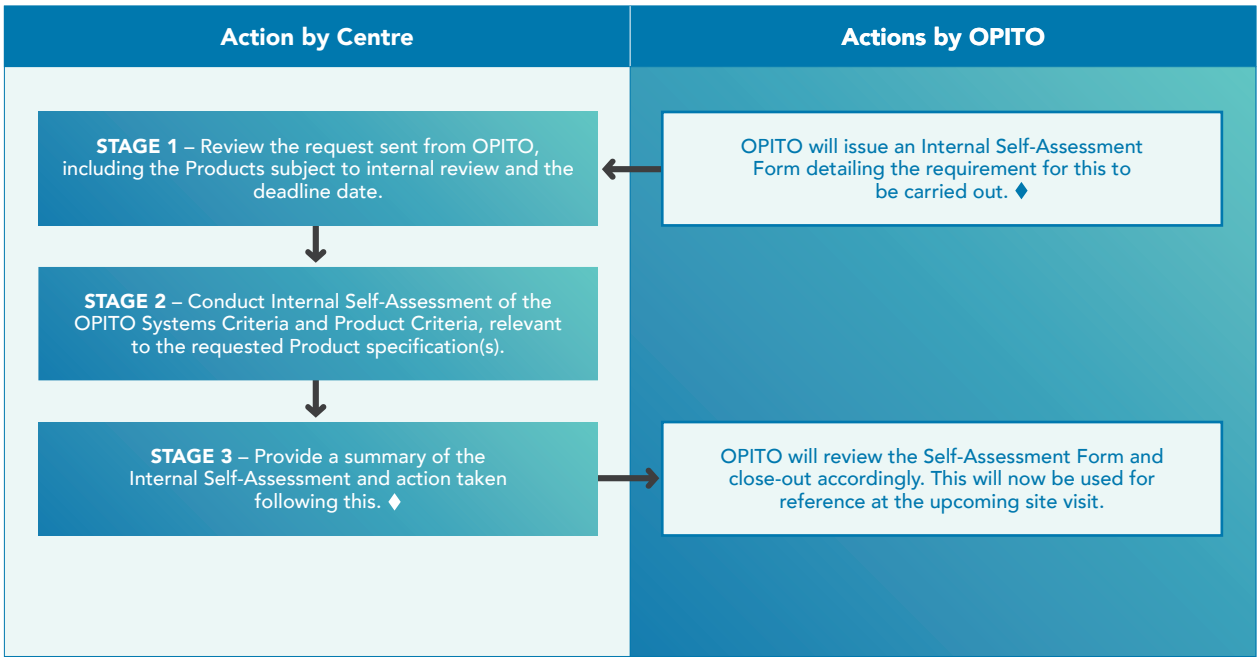


♦ Signifies where the Form is transferred between OPITO and the Centre.

3.4 EXISTING CENTRES AND ONGOING REVIEW

3.4.1 Internal Self-Assessment (ISA)

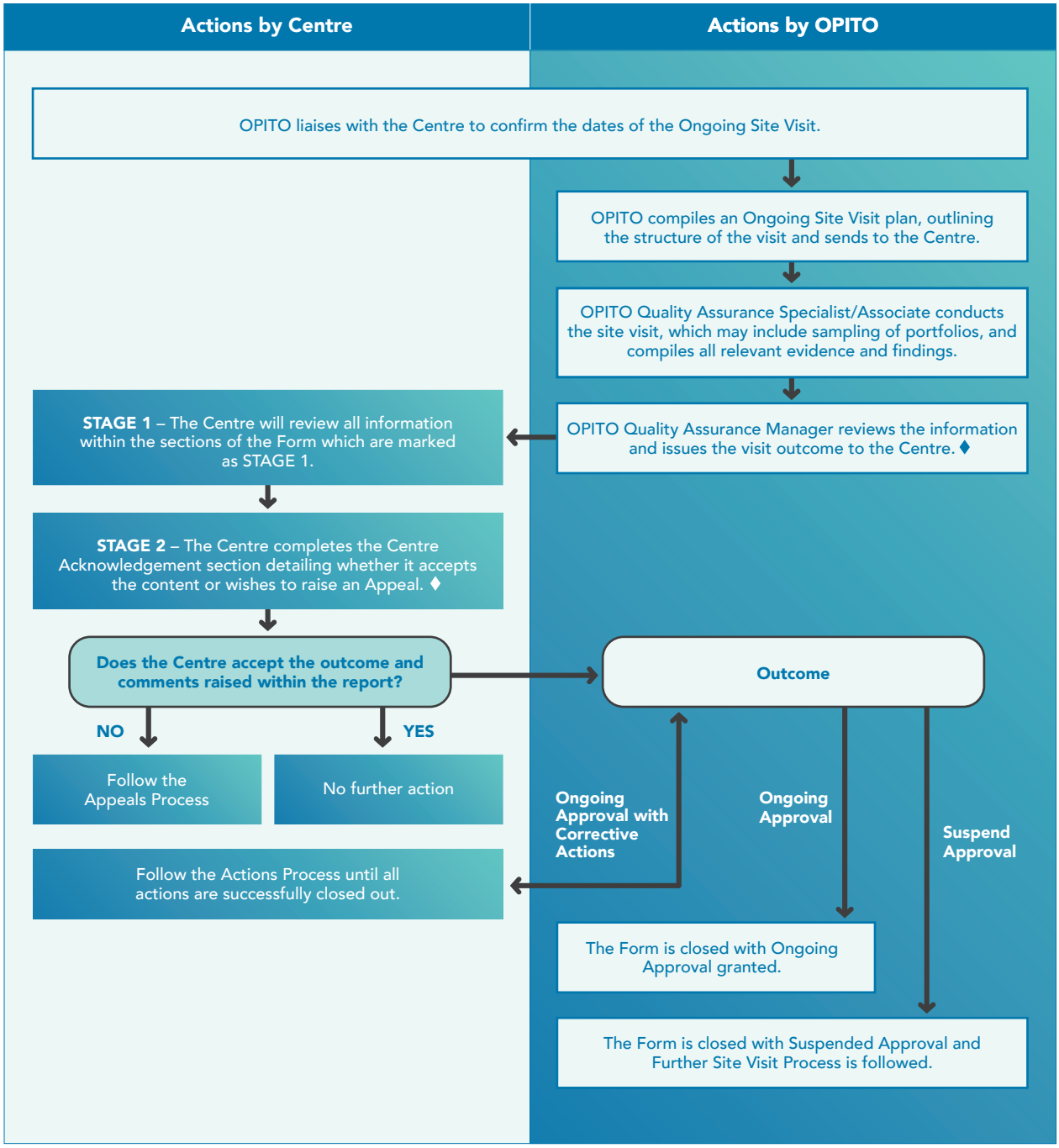
Three months prior to a site visit an ISA Form will be issued to the Centre through The HUB. The table below highlights the stages to be followed to complete the process.



♦ Signifies where the Form is transferred between OPITO and the Centre.

3.4.2 Ongoing Quality Assurance: Visits

Once an Ongoing Quality Assurance (QA) Visit has taken place the report will be generated through The HUB. The table below shows the stages to be followed to review and acknowledge the report.



♦ Signifies where the Form is transferred between OPITO and the Centre.

3.4.3 Ongoing Quality Assurance: Sampling

As part of the Ongoing Quality Assurance (QA) Visit(s), sampling of evidence in the form of learner portfolios, to assure compliance, will take place (see Sampling Matrix in Appendix 3). The Sampling Process is outlined below:

Learner Registrations:

The Approved Centre will submit all OPITO Global Qualification learner registrations to OPITO. Notification of this will be received by the Quality Assurance Coordinator, who will activate the OPITO Invoicing Process accordingly.

Ongoing Site Visits:

Conducted by an OPITO Associate or Specialist and will include a review of the OPITO Criteria and Product specification(s) requirements and any evidence sampling/external verification.

Evidence Sampling of Portfolios:

Where an Associate is present at an Ongoing Site Visit, additional time may be allocated to allow for evidence sampling of any learner portfolios which are currently in progress.

The outcomes of this review, alongside the completion level of the portfolios, will then be considered when the final evidence sampling/external verification is required for the appropriate cohort of learners.

Completed Portfolios:

Once a cohort of learners have completed an OPITO Global Qualification(s), a request for evidence sampling/external verification to be conducted will be submitted through the Learner Booking Form.

All learners in the booking should have completed the course/portfolio to 100% prior to placing this request. In instances where a learner has been issued additional time, for example due to illness, this is to be detailed within the request. The Learner Booking Form will need to be re-submitted for award, at the later date, upon completion of the learner's portfolio.

Obtaining Portfolios for Evidence Sampling:

The Quality Assurance Manager will use the Sampling Matrix, to distinguish the percentage of learners and units required for evidence sampling/external verification.

A Quality Assurance Coordinator will then create an Evidence Sampling/External Verification Request Form, which will be sent to the Approved Centre, for them to upload the required portfolios. The form will specify which learners' portfolios are to be sampled.

Allocation of Portfolios to OPITO Associates:

Quality Assurance Coordinator(s) will be notified when the required portfolios have been submitted. This information is then distributed to the relevant OPITO Associate(s) in the form of the Evidence Sampling Request Form.

Completion of Evidence Sampling/External Verification:

The OPITO Associate will carry out the evidence sampling/external verification and reflect this in the outcomes, with the appropriate feedback in the Sampling Request Form.

Note: On occasion it may be identified that action is to be taken prior to allowing the learner(s) to be being certified. If this is the case, the action is to be raised in the feedback section of the Sampling Request Form.

Upon completion of this process, the OPITO Associate will send the completed form(s) to the relevant Quality Assurance Manager for review and Approval, or close-out of any action(s), where applicable.

4.0 OPITO APPROVAL CRITERIA AND ASSESSMENT TOOL

4.1 OPITO APPROVAL CRITERIA

The Criteria consist of five sections:

- Section 1 – **Management Systems**
- Section 2 – **Equipment and Facilities**
- Section 3 – **Staff Resources**
- Section 4 – **Training and Assessment**
- Section 5 – **Health and Safety**

The criteria are then further split into two categories:

- **Systems Criteria** – this is the Criteria in which evidence does not differ from Product to Product.
- **Product Criteria** – this is the Criteria in which evidence is required to reflect requirements of the individual Product(s).

The aim of this categorisation is to reduce the timeframe for both Desktop Submissions and site visits for already approved Centres, as we can minimise the evidence required for review, using a risk-based approach.

1. Management Systems

1.1 **OPITO Policy, Scope, Roles, and Responsibilities** – A policy demonstrating senior management commitment to the safe implementation and maintenance of OPITO Approval. **(Systems)**.

1.2 **Malpractice, Grievances & Complaints** – A Malpractice, Grievances & Complaints procedure which details all steps of a Procedure/Process. This is to include initially informing Learners of its availability, through to who is responsible for dealing with Malpractice, Grievances & Complaints and how the final decision on any action taken is made and recorded. **(Systems)**.

1.3 **Document & Record, Control Data Protection, Data Cleansing and Retention** – A procedure that ensures all relevant documents and records required for OPITO Approval are part of a controlled system, including Data Protection, Data Cleansing and Retention. **(Systems)**.

1.4 **Satellite Site Management** – A procedure which outlines how training and/or assessment being conducted on satellite Sites is managed and evidence is available which demonstrates this is being followed satisfactorily and is being communicated to all relevant staff. **(Systems)**.

1.5 **Management Review** – A Management Review procedure which ensures that review of the effective and safe delivery of OPITO Qualifications and OPITO Approval requirements is conducted every 12 months, as a minimum. **(Systems)**.

1.6 **Learner Assessment Requirements** – A procedure that ensures all training and/or assessment considerations for supporting Learners have been implemented. **(Systems)**.

1.7 **Internal Audit** – A procedure that covers 12-monthly internal auditing of all OPITO Criteria – Systems and Product – and including all related activities. Additionally, this includes an appropriate sample of actual qualification delivery of the Products held. The procedure is supported by an indicative Audit Plan. **(Product)**.

2. Facilities and Equipment

2.1 **Welfare Facilities** – The Centre can demonstrate suitable Learner welfare facilities are in place that are appropriate to the delivery of the OPITO Product(s) and relevant national/state legislation. **(Systems)**.

2.2 **Facilities** – The Centre can demonstrate that all facilities as outlined within the "Facilities" section of the relevant Product specification are available, operational and allow Learner welfare to be maintained. Facilities available must also allow for Learners to achieve all the outcomes and associated Criteria in a safe manner. **(Product)**.

2.3 **Equipment** – The Centre can demonstrate that all equipment as outlined within the "Equipment" section of the Product specification is available, operational, and allows Learner welfare to be maintained. The available equipment must also allow Learners to achieve all the outcomes and associated Criteria in a safe manner. **(Product)**.

2.4 **Maintenance and Inspection Regime** – The Centre has a suitable Maintenance and Inspection Regime which evidences how safe operations are assured, equipment is kept available and how records are maintained. **(Product)**.

3. Staff Resources

3.1 **Staff Training and Competence** – A Staff Training and Development procedure(s) which details how staff are initially trained and deemed competent to fulfil their role(s) and how ongoing confirmation of this competence is assured and conducted regularly. **(Systems)**.

3.2 **Organisation Chart, Staff Competency Matrix, and Qualifications** – Staff qualifications and supporting evidence, as outlined within the relevant OPITO Product specification, are available and reflect the information detailed within the competence matrix, which identifies all roles and responsibilities required for the safe delivery of the OPITO Product, including instructors/assessors support staff/sub-contractors/internal verifiers and maintenance staff. **(Product)**.

4. Training and Assessment

4.1 **Internal Verification and Standardisation** – A Internal Verification and Standardisation procedure that ensures consistent and objective assessment decisions are made. The procedure references a sampling plan, used to ensure that correct methods and levels for sampling are adhered to, and details a process for the conduct of standardisation of meetings between assessors and internal verifiers. **(Systems)**.

4.2 **Training and Assessment Procedures** – Training and/or Assessment procedures that clearly detail how the outcomes/performance Criteria/knowledge and understanding Criteria, as per the OPITO Product, will be evaluated in a consistent manner. **(Product)**.

4.3 **Achievement of Outcomes** – Assessment checklists available that accurately reference all the outcomes from the relevant OPITO Product specification. The Centre can also demonstrate how the outcomes are consistently achieved. **(Product)**.

4.4 **Validation Procedure** – A validation procedure is in place which ensures authenticity of candidates own work and details the requirement for a staff declaration of conflict of interest. **(Product)**.

5. Health and Safety

5.1 **Accident/Incident/Near Miss** – An Accident/Incident and Near-Miss procedure that details all steps of the process followed to include: reporting arrangements, investigation steps, lessons learned, root cause analysis, the need to communicate findings throughout the Centre and steps to be taken in the event of a Lost Time Incident. **(Systems)**.

5.2 **Health & Safety** – A Health and Safety Policy which is on display in relevant areas and ensure that there is safe and healthy environment for the implementation of relevant Qualifications. **(Product)**.

5.3 **Safety Briefings** – A Procedure to establish the purpose, scope, and benefits of holding regular safety briefings to maintain communication and in turn, improve workshop safety. **(Product)**.

5.4 **Risk Assessment** – A Risk Assessment procedure that covers all steps of the process followed for Risk Assessment and ensures that they are suitable and sufficient. Additionally, the Centre must have suitable and sufficient risk assessments in place for all activities related to the delivery of OPITO Product(s. **(Product)**.

4.2 OPITO APPROVAL CRITERIA MATRIX – SYSTEMS

As noted in section 4.1 of this document, the OPITO Approval Criteria are split into two categories: Systems Criteria and Product Criteria.

The Systems Criteria detail the OPITO requirements for which the necessary evidence does not differ based on the individual Product specification(s).

The Product Criteria explain the requirements for which the necessary evidence differs between each individual Product specification.

The following matrix provides further detail on each of the Systems Criteria. It sets out what is needed to meet the requirement, what constitutes a minor and/or major concern to meet this requirement and examples of how a Centre can exceed the requirement. Similar information on each Product Criteria can be found in section 4.3 of this document.

Certain criteria within the Systems Criteria have been marked with an asterisk(s)*. In some instances, a major concern rasied against these criteria, can result in all Product Approvals automatically being suspended, until a time when these have been rectified and closed out.

Table 1: OPITO Systems Criteria

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 1 – Management Systems	**1.1 OPITO Policy, Scope, Roles, and Responsibilities**	There is a policy available demonstrating senior management commitment to safe implementation and maintenance of OPITO Approval. This policy is effectively communicated throughout the Centre and to learners. There is evidence that the policy is being implemented and adhered to. The roles, responsibilities, and authorities for those involved in the operation of the Centre are clearly defined. The Centre can demonstrate that the Approval is clearly defined in terms of scope of Approval, including but not limited to – training & assessment sites, satellite sites (where applicable) and sub-contractor utilisation (where applicable).	The Centre clearly demonstrates that the policy is implemented and understood at all levels of the Centre. The Centre has a structured approach to periodic review of the policy, ensuring that it is kept continually up to date. Roles and responsibilities are reflected in an accurate and up-to-date organisation chart. The scope of the Approval is understood by everyone with responsibilities within the Centre.	The policy has been formally accepted and is being adhered to, however it does not reflect the most up-to-date senior management situation on-site. There are defined roles and responsibilities, however, not all are current and up to date. The scope is mostly accurate but does not reflect all current Approvals, sites, and contractors.	No policy demonstrating senior management commitment to safe implementation and maintenance of OPITO Product(s) is available. The policy is not implemented and/or not being adhered to. There are no defined roles and responsibilities for anyone involved in the operation of the Qualifications Centre. There is no defined scope of Approval.
	1.2 Malpractice, Grievances & Complaints	A Malpractice, Grievances and Complaints Procedure and/or Process is clearly defined and evident, detailing the following: (a) Clear guidelines on how it is communicated to both learners and staff. (b) How circumstances are investigated and pursued, in a timely manner, to ensure closure (including the decision-making authorisation steps) and all lessons learned are implemented and communicated at all levels of the organisation. (c) Evidence of feedback/resolution can be tracked through the Malpractice, Grievances and Complaints lifecycle and is fed into management meetings and quality assured. (d) If any issues are not resolved the learner has the right to appeal to OPITO.	In the event of a Malpractice, Grievance or Complaint the organisation ensures the prompt investigation of the circumstances, following the decision-making authorisation steps, and ensures that any lesson learned are implemented and communicated at all levels of the organisation. Evidence of feedback/resolution can be tracked through the grievances lifecycle and is fed into management meetings and quality assured.	Although a procedure is in place, this is not effectively communicated to learner(s). The process being followed on-site does not accurately reflect that of the corresponding procedure or lacks detail in some aspects of its operation. While evidence of Malpractices, Grievances & Complaints raised are documented, these are not being enacted upon or closed out adequately.	No Malpractice, Grievance, & Complaints Procedure and/or Process is in place. No evidence is available to support the Malpractice, Grievance & Complaints Procedure and it is not communicated to learner(s).

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 1 – Management Systems	**1.2 Malpractice, Grievances & Complaints (continued)**	(e) All associated documentation to be clearly referenced and indexed to ensure traceability and efficient functionality of Templates, Forms, Checklists, Agreements, where applicable.			
	1.3 Document & Record Control, Data Protection, Data Cleansing and Retention.	A Document & Record Control Procedure is available which includes the following: (a) Approval of documents for adequacy prior to issue. (b) The review, update as necessary, and Re-Approval of documents. (c) Identification of changes and current document revision status. (d) Relevant documents being made available at points of use. (e) Ensuring documents remain legible and readily identifiable. (f) Identifying external documents and controlling their distribution. (g) Preventing obsolete documents from unintended use. (h) Applying suitable identification if obsolete documents are retained. The Control of Records Procedure should define and establish the following: (a) A secure, backed up system that all documents and records are stored in for a recommended retention period in line with national/local regulatory requirements. (b) Data Protection and Cleansing Policy that complies with current legislation and maintains learner details for a specified period.	The organisation demonstrates and ensures a high degree of control for all documents and records required for OPITO Approval. There are proactive measures taken to ensure only current documentation is utilised and it was clearly demonstrable that assessment records were highly organised and retrievable. The organisation demonstrates that only required data is collected and robust data security provisions are in place with strict access control. Due to lack of national legislations/guidelines relating to retention periods of learner(s) records, the organisation follows a recognised international guideline and learner(s) records are retained (for example 20 years after completion of the OPITO Qualification. A schedule is in place and adhered to for reviewing all associated Quality Management Systems documentation.	Although processes and procedures are in place for document and record control, they fail to meet at least one of the elements outlined in the requirement. Lack of confirmation of learners' agreement to use and store personal information. There are deviations between actual practice carried out on-site and those detailed within the corresponding procedure. Data Protection Policy that deviates in minor aspects from current legislation. Although document control procedures exist, their operation is inconsistent.	There is no procedure and/or process in place which covers how all relevant documents and records required for the OPITO Approval(s) are controlled and securely stored. These include assessment records and verification records. There is no procedure evidenced for gaining agreement from learners that their details can be retained by OPITO. There is no process being followed on-site for the secure storage, appropriate backup and suitable retention periods of records or the process being followed significantly deviates from the corresponding procedure. There is no Data Protection Policy or Procedure that complies with current legislation that requires the Centre to maintain accurate learner(s) details. No Data Cleansing Policy that maintains accurate learner(s) details for a pre-specified period.

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 1 – Management Systems	**1.3 Document & Record Control, Data Protection, Data Cleansing and Retention. (continued)**	(c) Process for gaining learner agreement for their details to be retained by OPITO. (d) Procedure for submitting learner details to OPITO through a designated point of contact. (e) All associated documentation to be clearly referenced and indexed to ensure traceability and efficient functionality of Templates, Forms, Checklists, Agreements, where applicable.			No Document Control Procedures in place to identify any relevant quality management system documents.
	1.4 Satellite Site Management	There is a procedure which outlines how training and/or assessment being conducted on satellite sites is managed and evidence is available which demonstrates this is being followed satisfactorily and is being communicated to all relevant staff. Where appropriate this includes: (a) Training/assessment on multiple sites where training is conducted off-site (i.e., a separate practical training/assessment site) including appropriate and effective liaison and communication. Considering suitable and sufficient risk assessments, emergency response arrangements, communication and administration of all courses, records, and documents. (b) Training/assessment at satellite sites including an appropriate process to ensure the suitability of the satellite site and, where appropriate, communication with OPITO.	The procedure being followed is proactive and ensures satellite sites are thoroughly checked so they are sufficient and OPITO is made aware in a timely manner. Satellite assessment sites and sub-contractors are subject to regular internal audits/reviews ensuring they comply with quality management system policies and procedures.	There are minor deviations between the actual process being followed on-site and those detailed within the corresponding procedure. Procedures and policies being implemented at satellite sites are not fully compliant with the quality management system policies and procedures.	There is no procedure and/or process in place for training/assessment delivered across multiple sites. There are significant deviations between the procedure in place and the actual process being followed on-site and/or it falls far below the OPITO requirement.
	1.5 Management Review	There is a Management Review Procedure in place which ensures that review of the effective and safe delivery of OPITO Qualifications and OPITO Approval requirements are conducted every 12 months, as a minimum.	Management Review meetings covering all agenda items are used as a proactive way of managing the OPITO Approval(s) held.	Although Management Review is being conducted and a procedure is in place, it does not meet all the areas outlined within the requirements.	No Management Review Procedure and/or Process is in place. No evidence of Management Review being conducted is available.

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 1 – Management Systems	**1.5 Management Review (continued)**	The procedure details who should attend the Management Review meetings, highlighting how minutes are distributed and securely stored. The minimum requirement is that the following topics are covered: Results of Internal Audits/ External Visits, Training and/or Assessment Results, Near-Miss/Accident/Incident Reports, Customer Satisfaction (Malpractice, Complaints and Appeals), Resources (Staff and Physical), OPITO visits and Internal Self-Assessments. Evidence is available which demonstrates the procedure is being followed.	The meetings are a core part of the Centre's strategy to ensure ongoing compliance and there is evidence that decisions made at these meetings are actioned and lessons learned are communicated effectively throughout the Centre.	Minutes are missing from meetings which have been conducted or have not been appropriately distributed. While meetings have been taking place and there is corresponding documentation, actions are not being enacted or closed.	
	1.6 Learner Assessment Requirements	There is a procedure which ensures that all training and/or assessment considerations for learners have been considered. This includes, as a minimum: (a) Facilitates the identification and suitable measures for individual training/assessment requirements for learners, appropriate to the site. This could include some or more of the following: (i) English not first language (ii) Literacy (iii) Religious considerations (iv) Disability b) The decision in the event of a Not Yet Competent (NYC) outcome: (i) Records completed (ii) How training requirements are decided and communicated (iii) Process for reassessment.	The Centre proactively identifies learner training/ assessment requirements and ensures they are met in a highly efficient manner. Detailed inductions occur which capture the entire learning and assessment experience to be followed. End of Qualification debriefs are well detailed and they outline future training and development requirements.	The procedure and/or actual process being followed is not aligned with the OPITO requirement in at least one area. There are minor deviations between the actual process being followed on-site and that detailed within the corresponding procedure. There is no record of NYC and Appeal cases including follow up of these situations. An induction and end of Qualification debrief is conducted however they are not appropriately documented.	There is no procedure and/ or process in place that ensures all training/assessment considerations have been taken into account. There are significant deviations between the procedure in place and the actual process being followed on-site and/or these fall far below the OPITO requirement. The Centre does not conduct any induction or end of Qualification de-brief for the OPITO Qualification undertaken by the learner.

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 1 – Management Systems	**1.6 Learner Assessment Requirements (continued)**	(c) Assessment Appeal Process including: (i) How this is communicated to learners (ii) Ultimate decision-making responsibility within the Centre (iii) How different Appeal outcomes are actioned, communicated and recorded. There is a process for ensuring that all learners receive an induction to each OPITO Qualification they undertake, and this is supported with records of induction. There is a process for ensuring that all learners receive an end of Qualification de-brief for each OPITO Qualification they undertake, and this is supported with records of the event.			
Section 2 – Facilities and Equipment	**2.1 Welfare Facilities***	The Centre demonstrates suitable learner welfare facilities that are appropriate to the delivery of the OPITO Product(s) and relevant national/ state legislation. This could include: (i) Sufficient means of hydration (ii) Restrooms/showers/changing areas (iii) Catering (iv) General operating environment (temperature, noise and lighting) (v) Hygiene (vi) Housekeeping	The Centre clearly focuses on the welfare of its learners as demonstrated by the facilities provided which consistently exceed expectations. Continuous improvement system, robust cleaning and sanitisation regimes. Training/Assessments adopts the most up-to-date technology to improve hygiene. For example, automated sanitisation taps, door, toilets and caters for a wide range of dietary requirements.	The Centre fails to meet the OPITO requirement in at least one area, however this is easily resolvable and can be rectified within an appropriate timescale.	The Centre cannot and/or fails to demonstrate suitable learner welfare facilities appropriate to the delivery of OPITO Standard.

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 3 – Staff Resources	**3.1 Staff Training and Competence**	There are Staff Training and Development Procedures which detail both: (a) How staff are initially trained and deemed competent to fulfil their role; and (b) How ongoing confirmation of this competence is assured and that this is conducted regularly. The above includes all staff roles and responsibilities for the safe delivery of the OPITO Product(s) and includes instructors/assessors/support staff/ sub-contractors and maintenance staff. Evidence is available that the above is being followed adequately and records are available to evidence both initial confirmation of competence and ongoing confirmation of competence for all relevant staff.	The Centre uses the staff training procedure to ensure proactive management of staff training both initially and on an ongoing basis. It is clearly demonstrable how any development gaps identified are actioned and closed out. The procedure clearly defines different processes for instructors and assessors and uses a risk-based approach to ensure that staff can demonstrate competence at all times. There is a proactive plan in place that incorporates skills decay for individual competencies and future developments.	The procedure and/or actual process being followed is not aligned with the OPITO requirement in at least one area. There are minor deviations between the actual process being followed on-site and that detailed within the corresponding procedure.	There are no staff training procedures which detail how staff are initially trained and deemed competent to fulfil their role and how ongoing confirmation of this competence is assured. There are no satisfactory records to support that sufficient staff have been deemed competent. There are significant deviations between the process being followed for staff training and the corresponding procedure and/or the OPITO requirement. Staff providing OPITO training and assessment activities have no supporting competency records or relevant qualifications.
Section 4 – Training and Assessment	**4.1 Internal Verification and Standardisation**	The Centre has a process that quality assures the assessment process through Internal Verification. There is a process which details as a minimum: (a) Roles and responsibilities (b) How verification is planned (c) What documents are used during the verification (d) How verification is carried out and what the sampling rate is (e) How verification decisions are recorded within the system	The Centre proactively uses Internal Verification to ensure assessments are consistent and objective. A full range of Internal Verification methods were employed, and the necessary resources were made available to allow this plan to be highly effective. The Centre demonstrates that an effective Internal Verification sampling strategy is available for	The procedure and/or actual process being followed are not aligned with the OPITO requirement in at least one area. Evidence of Internal Verification and Standardisation Procedure but lacking in breadth of coverage such as consistency of assessment approach, sampling, and recording.	There is no procedure and/ or process being followed for Internal Verification. No records are available to evidence Internal Verification having been carried out.

OPITO 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).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 4 – Training and Assessment	**4.1 Internal Verification and Standardisation (continued)**	(f) How verification decisions are communicated to Assessors and actions closed out. It uses a sampling plan to ensure that correct methods and levels for sampling are adhered to and details a process for the conduct of standardisation meetings between assessors and internal verifiers. Records are available to evidence the above procedure is being adhered to.	the assessment process from planning to actual conduct of learner assessment and feedback by a competent internal verifier. In the event any deficiencies are identified, the Centre ensures the prompt investigation of the circumstances and that any lessons learned are implemented and communicated, i.e., via standardisation meetings between the internal verifier and assessors.		
Section 5 – Health and Safety	**5.1 Accident/ Incident and Near-Miss**	An Accident/Incident and Near-Miss Procedure is available that details all steps of the process followed, including): (a) Reporting (b) Investigation (c) Lessons learned (d) Root cause analysis (e) Communication of findings throughout the Centre (f) In the event of an LTI, an incident summary covering the event, type of injury, initial actions and initial incident findings are reported to the relevant OPITO Regional Manager within 48 hours. Documentation is available to support the procedure and ensures that all required data is captured and recorded.	The Accident/Incident and Near-Miss Procedure is highly effective and ensures continuous improvement. Observations of unsafe acts and unsafe conditions are actively encouraged to be reported and documented with a "no blame culture." Accident/Incident/Near-Miss and observation data is analysed with results and trends being shared throughout the Centre. An open and transparent approach throughout the Centre and the wider Approved Centre community, within the limits of confidentiality.	The procedure and/or actual process being followed on-site do not align with the OPITO requirement in at least one area. Evidence of minor accidents and near-misses not being fully recorded – lacking in detail. There are minor deviations between actual practice on-site and that detailed within the corresponding procedure.	There is no Accident/Incident and Near-Miss Procedure and/or Process being followed for this. No documentation is available to record potential accident/ incidents and near-misses. No records of historical accidents and near-miss incidents evidenced.

4.3 OPITO APPROVAL CRITERIA MATRIX – PRODUCT

As noted in section 4.1 of this document, the OPITO Approved Criteria areas are split into two categories: Systems Criteria and Product Criteria.

The Systems Criteria detail the OPITO requirements for which the necessary evidence does not differ based on the individual Product specification(s).

The Product Criteria explain the requirements for which the necessary evidence differs between each individual Product specification.

The following matrix provides further details on each of the Product Criteria. It sets out what is needed to meet the requirement, what constitutes a minor and/or major concern to meet this requirement and examples of how a Centre can exceed the requirement. Similar information on each of the Systems Criteria can be found in section 4.2 of this document.

Certain criteria within the Product Criteria have been marked with an asterisk(s)*. In some instances, a major concern raised against these criteria, can result in the relevant Product Approval(s) effected being suspended, until a time when these have been rectified and closed out.

Table 2: OPITO Product Criteria

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 1 – Management Systems	**1.7 Internal Audits**	There is a procedure in place which covers 12 monthly Internal Auditing of all OPITO Criteria; Systems and Product, including all related activities. Additionally, this includes an Internal Audit of actual Product delivery. Where a number of Product Approvals are held, an appropriate risk-based approach to sampling is required. The procedure specifies that Internal Audits will be conducted by appropriately trained personnel with no conflict of interest in the area being Audited. The procedure is supported by an indicative Audit Plan which includes all existing OPITO System and Product Criteria, and all Products held (including any new Product applications). Evidence is available to support that the above procedure and plan are being adhered to satisfactorily. There is a procedure in place which ensures the completion of an OPITO Internal Self -Assessment, upon request from OPITO. The procedure details the requirement for this to be returned prior to the deadline date and to be carried out as a true reflection of the current circumstances on-site.	A proactive approach to Internal Audit of the OPTIO Criteria is evident and supersedes the OPITO requirement. The Internal Audits form a fundamental part of the Centre's continuous improvement, corrective actions are closed out with a quick turnaround and regularly add value to the Centre's operations.	A procedure is available however fails to meet the OPITO requirement in at least one area. An Audit Plan is available however fails to meet the OPITO requirement in at least one area. A procedure is available for the completion of OPITO Internal Self-Assessment Forms, however, fails to meet the OPITO requirement in at least one area. OPITO Internal Self-Assessment are carried out however, are not a true reflection of current circumstances found on-site and/or are not submitted prior to the deadline date.	No Internal Audit procedure is available. No Audit schedule is available. No supporting evidence of the conduct of Internal Audits is available (where appropriate). No OPITO Internal Self-Assessment procedure is available and/or no Internal Self-Assessment has been completed upon request from OPITO.
Section 2 – Facilities and Equipment	**2.2 Facilities***	All facilities as outlined within the Facilities section of the relevant Product specification are available and operational and allow learner welfare to be maintained. Appropriate pro-forma checklists are utilised to track and account for facilities and equipment status. An appropriate procedure is in place that details all maintenance requirements and responsibilities.	The facilities available allow for the course to be conducted in a highly efficient and effective manner. The facilities available go beyond the requirements of the Product specification, without implementing any undue physical and/or mental stress on the learners.	The facilities available on-site do not meet all the individual requirements outlined within the corresponding Product specification, however the learners are still able to achieve the outcomes, in a safe manner which does not place any undue physical and/or mental stress on the learners or effect their welfare.	Facilities on-site do not meet the requirements outlined within the Product specification and/or are not in operational working order and could result in learners not being able to meet the training programme and/or achieve all the outcomes or pose a threat to learner welfare.

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 2 – Facilities and Equipment	**2.2 Facilities* (continued)**			The requirements currently not being met are resolvable and can be rectified in a timely manner. Lack of clarity within the procedure for maintenance activities where Facilities that requires periodic certification is employed in the delivery of the OPITO Qualification.	The facilities on-site do not accurately reflect that in the Product specification and could place undue physical and/or mental stress on the learner(s) and pose a threat to learner welfare. No procedure evidenced for maintaining safety and certification of Facilities.
	2.3 Equipment*	All equipment outlined within the Equipment section of the Product specification is available and operational and allows learner welfare to be maintained. Sufficient equipment quantities required by the Centre are available and this information is captured within an equipment inventory. Appropriate pro-forma checklists are utilised to track and account for facilities and equipment status. An appropriate procedure is in place that details all maintenance requirements and responsibilities.	The equipment available on-site goes above the requirements of the Product specification, without placing any undue physical and/or mental stress on the learners. This allows for the optimum learning experience. The equipment they have reflects multiple regional requirements that they cater to.	Although the equipment available on-site does not meet all of the requirements detailed within the equipment section of the Product specification learners are still able to achieve the outcomes in a safe manner which does not place any undue physical and/or mental stress on the learners or affect their welfare. Equipment which is not currently available can be easily obtained and the failure to meet the requirement rectified within a timely manner. Lack of clarity within the procedure for maintenance activities where equipment that requires periodic certification is employed in the delivery of the OPITO Qualification.	Equipment outlined within the Product specification is not available and/or operational and results in learners not being able to meet the training programme and/or achieve all the outcomes or pose a threat to learner welfare. Equipment available on-site does not accurately reflect the equipment section of the Product specification and/or is not operational and could result in the potential for learners to be placed under undue physical and/or mental stress and/ or poses a threat to learner/staff welfare. No procedure evidenced for maintaining safety and certification of equipment in classrooms and workshops.

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 2 – Facilities and Equipment	**2.4 Maintenance and Inspection Regime***	A Maintenance and Inspection Regime is available which evidence how the following objectives are met: (a) Assure safe operations, care for health and respect of the environment (b) Economically maintain the availability of the equipment. (c) Records management. The Maintenance and Inspection Regime identifies high-risk equipment and details the use of a Risk-Based Management system (RBM) or equivalent, and evidence that compliance shall adhere to one or more of the following: (a) Local legal and regulatory requirements (b) Industry standards/good practice (c) OEM practice or equivalent.	The Centre goes above and beyond the minimum manufacturer's recommendations. The Centre has realistic, immediate contingency plans in place which eliminate disruption to training delivery. The Centre has a preventative Maintenance and Inspection Regime for all equipment which adheres to the following: (a) The Centre uses safety alerts generated from any equipment failures to inform other industry stakeholders to lessons learnt. (b) A fully digitised management regime that schedules, plans, alerts and tracks all aspects of maintenance, is in place.	The Maintenance and Inspection Regime is being followed, in the main, however there are minor omissions or deviations that do not lead to unsafe conditions.	No Maintenance and Inspection Regime is available, or it is not aligned with OPITO requirement. No Safety Policy is available which details commitment to the adherence of the Maintenance and Inspection Policy. The Maintenance and Inspection Regime is not adhered to and reflected in actual practice on-site, leading to unsafe conditions.
Section 3 – Staff Resources	**3.2 Organisation Chart, Staff Competency Matrix, and Qualifications***	The organisation chart is current and up-to-date, accurately reflecting the management of the OPITO Approval on-site. The organisation chart shows all roles, responsibilities and lines of reporting authority required for the safe delivery of the OPITO Approval. There is a Competence Matrix for all roles and responsibilities required for the safe delivery of the OPITO Product(s), including instructors/assessors/ support staff/sub-contractors/internal verifiers and maintenance staff.	The organisation chart is part of a system whereby it is subject to regular review and revised to ensure it consistently and accurately reflects the current staff situation on-site at all times. Documented job roles are available for all staff on the organisation chart.	Roles and responsibilities relevant to the delivery of the OPITO Approval (including support staff) are omitted and/ or reporting authority for the management of the Approval(s) is not evident. The organisation chart is not accurately reflective of the current situation on-site.	There is no organisation chart available. There is currently no Competence Matrix outlining staff available to deliver the OPITO Product(s) and their competency levels. The Competence Matrix available shows significant deviations from actual staff available on-site and their levels of competence.

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 3 – Staff Resources	**3.2 Organisation Chart, Staff Competency Matrix, and Qualifications* (continued)**	The Competence Matrix clearly indicates the number of staff available, their competence status in relation to the OPITO Product and relevant Qualifications held (where applicable). The Competence Matrix accurately reflects the current competency levels of staff on-site and is up to date. Staff Qualifications and supporting evidence as outlined within the relevant OPITO Product specification are available and reflect the information detailed within the Competence Matrix. Initial/ongoing confirmation of competence records is available for all staff deemed as competent against the delivery of the OPITO Product(s). Suitably qualified and occupationally knowledgeable internal verifiers and assessors are available.	An interactive system whereby competency records for staff and job description are linked. The Competence Matrix is available to all members of staff and is maintained and controlled as part of their documented management system and subject to revision control. It clearly indicates the competency status of the individual and indicates when the next confirmation of competency is due. The Centre clearly demonstrates that the required staff Qualifications, as per the OPITO Product(s), are regularly exceeded. The Centre places great emphasis on personal development and ongoing professional development.	There is a Competence Matrix available which, in the main, meets the requirements of the OPITO Product specification. However, certain roles, as outlined within the OPITO requirement and/or Product specification, are omitted. Although some staff Qualifications and supporting evidence is not available, this does not affect the safe delivery of the OPITO Product(s). The staff Qualifications and supporting evidence does not reflect those detailed within the Staff Competency Matrix. Up-to-date competence records are not available for staff deemed as competent against the delivery of the OPITO Product(s).	Staff Qualifications and supporting evidence are not available to evidence that safe delivery of the OPITO Product can be delivered as per the Product specification. Staff Qualifications and supporting evidence do not align with the actual staff on-site being used to deliver the OPITO Product(s). No competence records are available for staff deemed as competent against the delivery of the OPITO Product(s).
Section 4 – Training and Assessment	**4.2 Training & Assessment Procedures**	There are Training and/or Assessment Procedures which clearly detail how the outcomes, performance Criteria and knowledge and understanding Criteria, as per the OPITO Product(s), will be evaluated in a consistent method. The procedure covers all the details of the performance assessment, as per the relevant OPITO Product(s) specification.	Evidence of a proactive robust plan to ensure procedures are being satisfactorily followed for the relevant OPITO Product(s) that is communicated throughout the organisation and evidence of regular training and assessment meetings.	The Training and/or Assessment Procedures are available, however do not completely align with actual practice.	There is no Training and/or Assessment Procedure for each OPITO Product that clearly details how the outcomes as per the OPITO Product will be achieved in a consistent method. There are Training and/or Assessment Procedures for all relevant OPITO Product(s),

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 4 – Training and Assessment	**4.2 Training & Assessment Procedures (continued)**	There is evidence that these procedures are being satisfactorily followed for the relevant OPITO Product(s).			however, there are significant deviations from these procedures.
	4.3 Achievement of Outcomes*	Assessors clearly communicate and understand the assessment Criteria ensuring impartiality. The Centre can demonstrate how the outcomes are consistently achieved. The required knowledge and skills in order to meet the outcomes are imparted in an engaging manner, ensuring participation by the learners using a range of teaching methods. There are assessment checklists which accurately reference all the outcomes from the relevant Product specification. A defined system for managing Assessment Planning and Feedback and for scheduling contact between learners and assessors is in place.	The organisation clearly demonstrated an excellent ability to allow learners to achieve the required outcomes using a variety of instructional methods Learners are fully engaged in teaching sessions that allowed participation by all. Assessors clearly communicate with learners ensuring that clear succinct and relevant feedback is provided.	The assessment checklists in use do not accurately reflect the outcomes of the relevant Product specification, although the course content clearly allows for the outcomes to be achieved.	There are no assessment checklists available to track learners' achievements against the outcomes in the Product(s) specification. The Centre cannot demonstrate how the outcomes of the OPITO Product(s) are achieved. Minimum/maximum ratios are not being adhered to. The required knowledge and skills are not imparted in an engaging manner ensuring participation by the learners using a range of teaching methods. Assessors do not clearly communicate and do not understand the assessment Criteria ensuring impartiality.
	4.4 Validation Procedure	A Validation Procedure is in place which ensures authenticity of learners' own work and details the requirement for a staff declaration of no conflict of interest. Templates for a disclaimer form for learners to confirm that the Assessment evidence is their own work.	The organisation demonstrates that robust processes are in place and are regularly reviewed, always ensuring learner evidence is their own work and there is no conflict of interest during the assessment and verification processes.	Weak application of procedures to ensure authentication of learners' own work. Minor lacking in information recorded in templates related to the assessment process.	No evidence of a Validation Procedure which allows learners to confirm evidence is their own work No evidence of procedure which requires staff declaration of no conflict of interest.

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
Section 4 – Training and Assessment	**4.4 Validation Procedure (continued)**	Templates for staff declarations to confirm there have been no conflicts of interest during the Assessment/ Verification processes. Templates for learner portfolios (both paper-based or electronic) which include a grid to reference evidence to OPITO Global Standards (both Training Standards and Occupational Standards) and a Learner Disclaimer Form to confirm that assessment evidence is their own work. Consistent use of documentation to record assessment planning and feedback, including how outcomes are achieved.	Previous recorded/verified compliance over a period of time in a number of occasions is available to review.	Ambiguity related to the referencing process for specific course evidence requirements.	No evidence of learner portfolios (paper based or electronic) which are clearly indexed and referenced to the relevant OPITO Standard.
Section 5 – Health and Safety	**5.2 Health and Safety**	A Health and Safety Policy which is on display in relevant areas and ensures that there is a safe and healthy environment for the implementation of relevant Qualifications. Emergency Response Procedures are available which cover a range of appropriate and applicable situations, this should include medical emergency response arrangements. Induction/briefing checklists for staff and learners which include the policy. Health and Safety Procedures exist that ensure all training/assessment is conducted safely and learner wellbeing is maintained at all times. Environmental Procedures exist that ensure environmental impact of relevant aspects of training/ assessment delivery are understood and controlled (where applicable) A range of suitable safety information and warning notices displayed at strategic areas of workshops and training/assessment areas.	All Health and Safety and Emergency Procedures are evident, accessible and being adhered to satisfactorily. A behavioural based Health and Safety Policy is employed that requires employees and learners to identify incidents, near-misses, and potential hazards. Health and Safety Procedures are accredited by a relevant accreditation body. The organisation demonstrates that all staff and learners are introduced to the safety and warning notices on display and that they understand the key messages of these notices.	The Health and Safety and/or Environmental and/or Emergency Response Procedures differ from the actual practices carried out on-site. This, however, does not have an adverse effect on learners' safety and wellbeing. Ineffectively located warning notices.	No evidence of a Health and Safety Policy. Health and Safety Procedures are inadequate and do not ensure all training/assessment is conducted safely and learner wellbeing is maintained at all times. Environmental Procedures are inadequate and do not ensure all environmental impacts of relevant aspects of training/ assessment delivery are understood and controlled (where applicable). Health and Safety, Environmental and Emergency Procedures are not evident, not accessible, and/or not being adhered to satisfactorily. Insufficient or no suitable safety information and warning notices on display in all training areas.

OPITO Product Criteria Product Criteria includes all the OPITO requirements which differ based on the relevant Product Approval(s). The information/evidence needed to meet these requirements is specific to the individual Product specification(s).					
Criteria		**Requirement**	**Example of exceeding**	**Example of minor concern**	**Example of major concern**
	5.3 Safety Briefs	A Procedure to establish the purpose, scope, and benefits of holding regular safety briefings to maintain communication and in turn, improve workshop safety. The procedure ensures that a record of the learners present is maintained and that the safety briefs are conducted at a suitable time and location. The procedure is being adhered to and corresponding documentation is available.	The approach to conducting appropriate safety briefs is embedded in all aspects of training. A safe system of work is in place, and it clearly empowers both staff and learners to stop training in the event of a safety concern. There is a well-managed observation card system in place. The results of these observations are regularly reviewed, and appropriate action taken as required.	Incomplete Safety Brief Forms. Incomplete information as to work activities related to specific safety briefs.	There is no procedure that details when appropriate safety briefings take place. Appropriate Safety Briefs are not conducted. No record of the learners present is maintained, and it is not demonstrated that safety briefs are conducted at a suitable time and location. The procedure is not being adhered to satisfactorily.
	5.4 Risk Assessment*	A Risk Assessment Procedure is available that covers all steps of the process followed for Risk Assessment and ensures they are suitable and sufficient. Suitable and sufficient Risk Assessments are available for all activities related to the delivery of the OPITO Product(s). These Risk Assessments cover, as a minimum, learner welfare, emergency and medical response and training activities.	A Risk Assessment Procedure is available that covers all steps of the process followed for Risk Assessment and ensures that they are suitable and sufficient. This procedure is robust, highly efficient and drives continuous improvement. The Risk Assessments are regularly reviewed and updated based on the results of accident/ incident/ near-miss data, learner and instructor feedback and industry lessons learned. All Risk Assessments are easily accessible, current, and well understood by all relevant Centre staff and cover, as a minimum, learner welfare, emergency response and training activities.	Risk Assessments are available which, in the main, comply with the OPITO requirements but there are some minor omissions. These omissions are, however, reflected in actual practice on-site and need to be reflected within the risk assessment(s). There are minor deviations between the Risk Assessment and/or Risk Assessment Procedure against actual practice on-site.	A Risk Assessment Procedure is not available which covers all steps of the process followed for Risk Assessment and does not ensure Risk Assessments are suitable and sufficient. There are significant deviations between the Risk Assessment and/or Risk Assessment Procedure against actual practice on-site. Suitable and sufficient Risk Assessments are not available for all activities related to the delivery of the OPITO Product(s). Current Risk Assessments are not communicated and complied with satisfactorily.

5.0 SUPPORTING DOCUMENTATION

5.1 EXEMPLARS

Exemplar documents have been created to give examples of ways in which Centres could meet the OPITO requirements. These documents do not evidence how the requirements must be met; however, they act as a guide for those seeking clarity on the requirement(s). These documents can be found within the documents section of The HUB.

5.2 VIDEO GUIDES AND GUIDANCE NOTES

Flow charts are available alongside step-by-step guidance notes on how to carry out each of the OPITO processes. Accompanying these guidance notes are videos for the processes involved in achieving and maintaining OPITO Approval. These guidance notes should allow you to successfully navigate The HUB and can also be found within the Documents section of The HUB.

5.3 CLARIFICATION DOCUMENTS

Additional documents are available to offer additional clarity to the OPITO Criteria and the process of achieving/maintaining Approval:

- **Individual Product specifications located within the Products section of The HUB.**
- **Terms and Conditions and Underpinning Policies.**

APPENDIX 1: RISK-BASED APPROACH TO CENTRE SCORING

The Risk-Based Approach provides clarity and demonstrates the system used by OPITO to determine the frequency of a Centre's site visit(s). The system assigns value to several key areas, at which point an average is taken to arrive at a single-digit number. This number, when rounded to the nearest whole, then determines the visit frequency.

This system is designed to provide a standardised and transparent means to gauge how frequently all new and approved Centres need to be visited. It also highlights the incentives available to Centres who routinely demonstrate they are capable of exceeding the various requirements as per the OPITO Approval Criteria. A Centre's score is private and can be found by that Centre in The HUB.

PROCESS

Table 1 shows an example scenario to illustrate the scoring matrix used by OPITO to determine site visit frequency. In this scenario, the boxes highlighted show the scores achieved by one Centre in each area. The scores shown in the highlighted boxes (4+4+5+3+4) are added together for a total of 20. This total is divided by the total number of fields available, in this case five, giving a Centre Score of four.

Table 1: OPITO Centre score example

	Management System and Health and Safety [Sections 1 & 5 – OPITO Criteria]	Equipment and Facilities [Section 2 – OPITO Criteria]	Staff Resources [Section 3 – OPITO Criteria]	Training and Assessment [Section 4 – OPITO Criteria]	Self-Assessment
1	1 or more safety critical concern(s) showing a systematic breakdown.	1 or more safety critical concern(s) showing a systematic breakdown.	1 or more safety critical concern(s) showing a systematic breakdown.	1 or more safety critical concern(s) showing a systematic breakdown.	Failure to complete, or new Centre.
2	The majority of the Criteria reviewed failed to meet the requirements.	The majority of the Criteria reviewed failed to meet the requirements.	The majority of the Criteria reviewed failed to meet the requirements.	The majority of the Criteria reviewed failed to meet the requirements.	Completed after the deadline and has been completed poorly, omitting areas of the Criteria and failing to close out concerns.
3	The majority of the Criteria reviewed meet the requirements with minor concerns identified.	The majority of the Criteria reviewed meet the requirements with minor concerns identified.	The majority of the Criteria reviewed meet the requirements with minor concerns identified.	The majority of the Criteria reviewed meet the requirements with minor concerns identified.	Completed, however no concerns had been closed out prior to OPITO's visit. Some concerns had been omitted from the Self-Assessment.
4	Meets all of the OPITO requirements, potentially exceeding in some areas.	Meets all of the OPITO requirements, potentially exceeding in some areas.	Meets all of the OPITO requirements, potentially exceeding in some areas.	Meets all of the OPITO requirements, potentially exceeding in some areas.	Completed and all concerns had been resolved prior to the OPITO visit. Some concerns had been omitted from the Self-Assessment.
5	The majority of the Criteria reviewed exceed the requirements.	The majority of the Criteria reviewed exceed the requirements.	The majority of the Criteria reviewed exceed the requirements.	The majority of the Criteria reviewed exceed the requirements.	Completed and all concerns had been resolved prior to the OPITO visit. No areas of the OPITO requirements missed.
Individual Scores	**4**	**4**	**5**	**3**	**4**
Total	**20**				

Total: Divided by No. Fields	**4**	
Rounded off	**4**	**Centre Score**

Table 2: Visit frequency

The Centre Score calculated as shown in Table 1 is then used to determine the visit frequency as shown in Table 2. Please note that if a Centre scores a 1 in any field excluding Self-Assessment, then their total score will be considered as 1 as these are 'safety critical concern(s) or findings showing a systematic breakdown', and they will be assigned the corresponding visit frequency for a Centre Score of 1.

Score	Visit Frequency
1	3 – 6 months
2	7 – 10 months
3	11 – 14 months
4	15 – 24 months (emphasis on lower-end of scale)
5	15 – 24 months (emphasis on higher-end of scale)

Utilising this approach, OPITO hopes to ensure a consistent, global approach to the conduct of site visits. This also allows for Centres regularly exceeding the requirements to be recognised with fewer site visits. Additionally, this allows Centres who require more regular quality assurance and support, this opportunity.

INITIAL APPROVAL

In instances where an Initial Site Visit is carried out, for an additional Approval, the Centre will be scored again using the same scoring matrix detailed above. This therefore could have an effect on the visit frequency previously identified at the latest site visit.

APPENDIX 2: RISK-BASED APPROACH TO INITIAL APPROVAL FOR CENTRES

1.0 INTRODUCTION

The Risk-Based Approach to Initial Approval for Centres (Global Qualifications) provides information and guidance on OPITO's approach to determining the minimum Desktop Submission and site visit requirements, when a new or existing Centre seeks Initial Approval.

The information has been split into two sections, defining the requirements at the Desktop Submission stage and the Initial Site Visit stage. These sections outline both the requirements for those seeking first initial OPITO Approval and those seeking additional Product Approval(s).

2.0 DESKTOP SUBMISSION REQUIREMENTS

The following table outlines how the OPITO Criteria required for submission at the desktop stage of the process are selected.

The risk of the Qualification being applied for does not affect the evidence required at the desktop stage of the process. The first consideration is that of the existing OPITO Centre Score. For those who are seeking their first initial OPITO Approval, this is shown as Not Yet Scored.

The second consideration is whether the Centre holds any applicable Industry Recognised Approvals. Evidence of these is to be submitted with the application.

The above considerations dictate which OPITO Criteria require evidence to be submitted as a part of the Desktop phase of the process.

Risk Indicator		
LOW	MEDIUM	HIGH

Table 1 – Desktop Submission requirements

Desktop Requirements			
Qualification Risk	**OPITO Centre Score**	**Recognition**	**Desktop Requirements**
N/A	3 – 5	Approved with a recognised Qualification.	Product Criteria only and omitting the recognised Criteria.
	3 – 5	Not currently approved with a recognised Qualification.	All Product Criteria only.
	1 – 2 or Not Yet Scored	Approved with a recognised Qualification.	Product Criteria and Systems Criteria, omitting the recognised Criteria*.
	1 – 2 or Not Yet Scored	Not currently approved with a recognised Qualification.	All Systems and Product Criteria*.

** Where a new Centre is seeking Centre Only Approval, the Product Criteria will not be required for submission at this stage.*

The following Criteria outlines the recognised Criteria identified in Table 1:

- 1.2 **Malpractice, Grievances and Complaints (Systems Criteria)**
- 1.6 **Learner Assessment, Feedback and Appeals (Systems Criteria)**
- 5.1 **Accident/Incident and Near-Miss (Systems Criteria)**
- 5.2 **Health and Safety (Product Criteria)**

3.0 IDENTIFYING THE SCOPE OF THE INITIAL SITE VISIT

Tables 2 – 5 outline the considerations when identifying the scope for an Initial Site Visit.

Risk Indicator	
LOW	HIGH

Qualification risk considers the risk status which has been awarded to the specific Qualification being applied for. Table 2 shows how these have been identified.

Table 2 – Qualification risk – risk bands – Initial Site Visit

Risk Band	Consideration
	Qualification Risk
LOW	The Product contains only theory elements.
HIGH	The Product contains a combination of both theory and practical elements.

Product Delivery Experience considers whether or not the Centre holds any existing OPITO Approvals as outlined in Table 3.

Table 3 – Product delivery experience – risk bands – Initial Site Visit

Risk Band	Consideration
	Product Delivery Experience
LOW	The Centre is approved for a different OPITO Qualification or holds OPITO Centre only Approval.
HIGH	The Centre currently holds no other OPITO Approvals.

OPITO Centre Score considers the current score, as identified at the last site visit, where applicable, as shown in Table 4.

Table 4 – OPITO Centre score – risk bands – Initial Site Visit

Risk Band	Consideration
	OPITO Centre Score
LOW	3 – 5
HIGH	1 – 2 or Not Yet Scored.

Recognition considers whether the Centre holds any applicable recognised Qualifications from another Industry recognised awarding body, as outlined in Table 5.

Table 5 – Recognition – risk bands – Initial Site Visit

Risk Band	Consideration
	Recognition
LOW	The Centre is approved by an appropriate awarding body for a similar recognised Qualification.
HIGH	The Centre does not hold Approval with another body for a similar recognised qualification.

Once the risk bands have been established for the Centre, OPITO will provide the precise scope of the Initial Site Visit in terms of observation of Product delivery and guidance on the minimum Criteria OPITO will review during the visit. Table 6 outlines how this scope is identified, taking into consideration the aforementioned risk bands. Further evidence may be requested by the Quality Assurance Manager.

Table 6 – Minimum Criteria assessed, and observation of Product delivery required for the Initial Site Visit

Risk Bands from Tables 2, 3, 4 and 5				Minimum requirements to be assessed		
Table 2. Qualification Risk	Table 3. Product Delivery Experience	Table 4. OPITO Centre Score	Table 5. Recognition	OPITO Criteria	Observation of Product Delivery (Theory)	Observation of Product Delivery (Practical)
LOW	LOW	LOW	LOW	Core System and Core Product Criteria (minimum)	None	N/A
LOW	LOW	LOW	HIGH	Core System and Core Product Criteria (minimum)	Outcomes sampled from 1 – 2 units (as outlined in the Site Visit Plan)	N/A
LOW	LOW	HIGH	LOW	Core System and Core Product Criteria (minimum)	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)	N/A
LOW	LOW	HIGH	HIGH	Core System and Core Product Criteria (minimum)	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)	N/A
LOW	HIGH	HIGH	LOW	All Systems and all Product Criteria	Outcomes sampled from 3 – 5 units (as outlined in the Site Visit Plan)	N/A
LOW	HIGH	HIGH	HIGH	All Systems and all Product Criteria	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)	N/A
HIGH	LOW	LOW	LOW	Core System and Core Product Criteria (minimum)	None	None
HIGH	LOW	LOW	HIGH	Core System and Core Product Criteria (minimum)	Outcomes sampled from 1 – 2 units (as outlined in the Site Visit Plan)	Outcomes sampled from 1 – 2 units (as outlined in the Site Visit Plan)
HIGH	LOW	HIGH	LOW	Core System and Core Product Criteria (minimum)	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)
HIGH	LOW	HIGH	HIGH	Core System and Core Product Criteria (minimum)	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)	Outcomes sampled from 3 – 5 units (as outlined in the Site Visit Plan)
HIGH	HIGH	HIGH	LOW	All Systems and all Product Criteria	Outcomes sampled from 3 – 5 units (as outlined in the Site Visit Plan)	Outcomes sampled from 2 – 3 units (as outlined in the Site Visit Plan)
HIGH	HIGH	HIGH	HIGH	All Systems and all Product Criteria	Outcomes sampled from 3 – 5 units (as outlined in the Site Visit Plan)	Outcomes sampled from 3 – 5 units (as outlined in the Site Visit Plan)

** These are the minimum evidence requirements. Further evidence may be required for submission at the discretion of the Quality Assurance Manager.*

The following Criteria are core Criteria identified in table 6:

Core Systems Criteria

- 1.1 **OPITO Policy, Scope, Roles, and Responsibilities**
- 1.5 **Management Review**
- 1.6 **Learner Assessment Requirements**
- 2.1 **Welfare Facilities**
- 5.1 **Accident/Incident and Near-Miss**

Core Product Criteria

- 1.7 **Internal Audit**
- 2.2 **Facilities**
- 2.3 **Equipment**
- 2.4 **Maintenance and Inspection Regime**
- 3.2 **Organisation Chart, Staff Competency Matrix, and Qualifications**
- 4.2 **Training and Assessment Procedures**
- 4.3 **Achievement of Outcomes**
- 4.4 **Validation Procedure**
- 5.4 **Health and Safety**
- 5.5 **Safety Briefings**
- 5.4 **Risk Assessment**

APPENDIX 3: MAINTAINING CENTRE APPROVAL – SAMPLING

1.0 INTRODUCTION

Approved Centres will be required to maintain a high level of quality and part of the QA process will be to produce evidence in the form of learner portfolios.

Evidence Sampling of Portfolios

Where an Associate is present at an Ongoing Site Visit, additional time may be allocated to allow for evidence sampling of any learner portfolios which are currently in progress.

The outcomes of this review, alongside the completion level of the portfolios, will then be considered when the final evidence sampling/external verification is required for the appropriate cohort of learners.

The Risk-Based Approach Sampling Matrix shown below uses the completion rate of learner portfolios and assessor/verifier status to determine the required level of sampling of learners and units based on Centre Score.

2.0 SAMPLING MATRIX

Risk Indicator		
LOW	MEDIUM	HIGH

No.	Portfolios Sampled % Completion (within the completed course cohort)	Assessor & Verifier Status	Sampling Required		Sampling Required		Sampling Required	
			% of Learners	% of Units	% of Learners	% of Units	% of Learners	% of Units
			OPITO Score of 3 to 5		OPITO Score of 1 to 2		New Centre with no ongoing quality assurance visits to date	
1	No sampling available as new Centre	Assessor(s) and/or verifier(s) not previously sampled by OPITO	N/A	N/A	N/A	N/A	25%	100%
2	None of the portfolios within the submitted cohort sampled	Assessor(s) and/or verifier not previously sampled by OPITO or previously sampled however with **concerns** raised	10%	75%	25%	100%		
		Assessor(s) and verifier(s) previously sampled by OPITO with **NO concerns** raised	10%	50%	20%	100%		
3	Portfolios were previously sampled at less than 50% completion	Assessor(s) and/or verifier not previously sampled by OPITO or previously sampled however with **concerns** raised	10%	50%	15%	100%		
		Assessor(s) and verifier(s) previously sampled by OPITO with **NO concerns** raised	10%	25%	15%	50%		
4	Portfolios were previously sampled at 50 to 75% completion	Assessor(s) and/or verifier not previously sampled by OPITO or previously sampled however with **concerns** raised	10%	30%	15%	75%		
		Assessor(s) and verifier(s) previously sampled by OPITO with **NO concerns** raised	5%	15%	10%	30%		
5	Portfolios were previously sampled at greater than 75% completion	Assessor(s) and/or verifier not previously sampled by OPITO or previously sampled however with **concerns** raised	5%	10%	10%	50%		
		Assessor(s) and verifier(s) previously sampled by OPITO with **NO concerns** raised	5%	5%	10%	30%		

To use the Sampling Matrix for an Approved Centre with an OPITO Centre Score, cross reference the relevant column for their Centre Score with the level of completion of previous sampling of portfolios. If a Centre has no Centre score, then they are considered a new Centre for sampling requirements.

No.	Portfolios Sampled % Completion (within the completed course cohort)	Assessor & Verifier Status	Sampling Required	
			% of Learners	% of Units
			New Centre with no ongoing quality assurance visits to date	
1	**No sampling available as new Centre**	Assessor(s) and/or verifier(s) not previously sampled by OPITO	25%	100%

In the example above, a new Centre with no OPITO Centre Score, no previous portfolios sampled for evidence and the status 'Assessor(s) and Verifier(s) not previosusly sampled by OPITO' is assigned a required sampling level of 25% of learners and 100% of units.

No.	Portfolios Sampled % Completion (within the completed course cohort)	Assessor & Verifier Status	Sampling Required	
			% of Learners	% of Units
			OPITO Score of 3 to 5	
5	**Portfolios were previously sampled at greater than 75% completion**	Assessor(s) and verifier(s) previously sampled by OPITO with **NO concerns** raised	5%	5%

In the example above, an OPITO Approved Centre with a Centre Score between three and five where portfolios were previously sampled at greater than 75% completion and a status of 'Assessor(s) and Verifier(s) previously sampled by OPITO with **NO** concerns' is assigned a required sampling level of 5% of learners and 5% of units.

2.1 Completed Portfolios

Once a cohort of learners has completed an OPITO Global Qualification(s), a request for evidence sampling/external verification to be conducted will be submitted through the Learner Booking Form.

All learners in the booking should have completed the course/portfolio to 100%, prior to placing this request. In instances where a learner has been issued additional time, for example due to illness, this is to be detailed within the request. The Booking Form will need to be re-submitted for award, at the later date, upon completion of the learner's portfolio.

2.2 Completion of Evidence Sampling/External Verification

The OPITO Associate will carry out the evidence sampling/external verification and reflect the outcomes, with the appropriate feedback in the Sampling Request Form.

Note: on occasion it may be identified that action is to be taken prior to allowing the learner(s) to be certified. If this is the case, the action is to be raised in the feedback section of the Sampling Request Form.

Upon completion of the evidence sampling/external verification, the OPITO Associate will send the completed form(s) to the relevant Quality Assurance Manager (cc Quality Assurance Coordinator) for review and Approval, or close-out of any action(s), where applicable.

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