**Application for qualification approval**

Form 1B: version 1

Introduction

Prospective providers of unapproved qualifications in **Additional Supply (AS), Supplementary Prescribing (SP) and/or Independent Prescribing (IP)** should use this form and guidance notes to apply for qualification approval in accordance with the new **Requirements for Approved Qualifications in Additional Supply (AS), Supplementary Prescribing (SP) and/or Independent Prescribing (IP) (January 2022).**

Prospective providers should contact the GOC Education Team before completing this form for informal feedback and discussion. Please contact the GOC’s Education team at **education@optical.org** for more information.

How to complete and submit your application

**Composing your documentation:**

* This form should be completed with reference to the **Requirements for Approved Qualifications in Additional Supply (AS), Supplementary Prescribing (SP) and/or Independent Prescribing (IP) (January 2022)** (‘requirements’), accompanying **Evidence Framework** and **Submission Templates**.
* Please complete all questions in **section one** of this form and indicate whether this is a draft or final submission. If information is not yet available, please indicate in *italics* when such information will be ready to be submitted.
* Please complete the relevant templates for your stage of application as listed in **section two**. If information or evidence is not yet available, please indicate in *italics* when such information or evidence will be ready to be submitted.
* Please ensure to sign the **declaration** at the end of this form.
* This form must be submitted for each stage of the application and approval process, as described in our Quality Assurance and Enhancement Method including the relevant templates as listed in **section two**.
* Should your plans change, a revised form must be submitted and may result in any stage being repeated.

**Submitting your documentation:**

* Your completed ‘Form 1B’ along with all relevant templates and supporting documentation should be submitted via SharePoint, (email submissions also accepted at request).
* The GOC Education team will provide you with a SharePoint folder for you to load and submit your documentation electronically. When you are ready to start submitting, please contact the team via education@optical.org to make these arrangements.
* All queries prior to, during and after submission can be sent to education@optical.org.

**Please note – you may be required to submit further information at any stage of the application process, including a full set of submission templates or any other information required for us to assess your application for qualification approval.**

Section one:questionnaire

This form is for use by prospective providers of unapproved qualifications seeking full approval with the GOC. This section asks you about the GOC qualification you are seeking approval for:

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| --- | --- |
| **Q1. Proposed qualification title:**  |  |
| **Q2. Name and address of qualification provider / awarding organisation (AO):** |
|  |
| **Q3. Type of submission:** | [ ]  **Draft** | [ ]  **Final**  |
| **Q4. Date of submission:**  |  |

First point of contact for GOC (we will contact this person if we have any queries or need to request additional information):

|  |
| --- |
| **Q5. Name of first point of contact:** |
|  |
| **Q6. Job title:** |
|  |
| **Q7. Email:** |  |
| **Q8. Telephone/mobile:** |  |
| **Q9. Address:** (if different from above): |  |

Please indicate the relevant stage(s)\* of the application and approval process, as described in our Quality Assurance and Enhancement Method *(for more information please see page 30-35 of the* [*‘Requirements*’](https://optical.org/media/vcef0ow1/goc_outcomes-standards-and-qa-e-method-for-as-sp-and-ip_revised_date.pdf)*).*

*\* more than one stage can be submitted at once.*

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| **Q10. Stage:** *(please indicate)*  |
| **Stage one** | **Initial proposal for the proposed qualification** | [ ]  |
| **Stage two** | **Qualification design & resourcing** |[ ]
| **Stage three** | **Readiness to recruit as an “approved training establishment”** |[ ]
| **Stage four** | **To be repeated each year until first cohort graduates** |[ ]
| **Stage five** | **First graduating cohort** |[ ]

To help us understand your timescales, please list your key milestones/dates here:

|  |  |  |
| --- | --- | --- |
|  | **Date** | **Notes** |
| **Q11. Relevant date(s) of internal (provider) validation/approval to proceed:** (if applicable) |  |  |
| **Q12. Proposed date from which the qualification will be listed on the provider’s prospectus:** (if applicable) |  |  |
| **Q13. If you intend to transfer existing trainees onto the new qualification, date by which you will confirm transfer to affected trainees/cohorts?** (if applicable) |  |  |
| **Q14. Proposed date from which you intend to make offers to prospective trainees:**  |  |  |
| **Q15. Proposed date / academic year the first cohort will commence:**  |  |  |
| **Q16. Please list any other relevant dates/dependencies which may impact upon your ability to meet the timetable outlined above:** |  |  |

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| **Q17. Location/campus/centres from which the qualification will be taught:** (if different from details set out in Q1-8) |  |

Please tell us about your plans for number of cohorts, cohort size and date of entry for both your current qualification (if applicable) and your proposed qualification plans:

|  |  |  |
| --- | --- | --- |
|  | **Current**  | **Planned** |
| **Q18. Number of cohorts per academic year** (if applicable) |  |  |
| **Q19. Maximum total number of trainees per cohort** (if applicable) |  |  |
| **Q20. Date of entry per cohort** (if applicable) |  |  |
| **Q21. Total max. duration of the course** (in months, if applicable) |  |  |

Please tell us about the key risks you’ve identified specific to developing the proposed qualification and your plans for mitigation and/or control:

*Please either complete the table below or add your programme risk register or other relevant documentation as an appendix.*

|  |
| --- |
| **Q22. Key risks:**  |
| **Risk description**  | **Impact** | **Controls** | **Mitigation** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Please tell us about your contingency plans should the application fail, this should include details about contingency plans for trainees after offers have been made:

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| **Q23. Proposed contingency plans:**  |
|  |

Section two:information required for each stage of your application

Our risk-based staged approach for considering applications for new qualification approval is outlined in our **Quality Assurance and Enhancement Method** (pages 30-35 of the ‘requirements’).At each stage providers working towards GOC qualification approval should use the relevant submission templates as set out in this section (relevant templates can be found in the **Templates Library**), to record and submit evidence to demonstrate how a qualification meets, or intends to meet, the relevant parts of the **Standards for Approved Qualifications** and **Outcomes for Approved Qualifications** for your **stage** of application.

You may find that some documents or templates remain relatively unchanged at each stage, or a submission may simply build upon that submitted at a previous stage. If that is the case, you do not need to submit newly completed templates at each stage, simply signpost to any relevant documents that were previously submitted.

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| **Stage one:** Initial proposal for the proposed qualification  |
| This stage will explore the strategic intent for the proposed qualification, the rationale for its design, its proposed approach to integration and resourcing, the provider’s corporate form and management, and how the views of stakeholders, including patients, service-users, employers, commissioners and the public will inform the development, teaching and assessment of the proposed qualification, the draft business case and an outline of the investment necessary to ensure its success, and identification of key risks. The evidence to support stage one will normally be a written submission using the templates listed below, based on the evidence framework, and supported by a meeting with the GOC Education Team (at our offices or virtually) if necessary. Stage one may be repeated, particularly for applications stratified as medium or higher risk, until there is confidence and capacity that the requirements, outcomes and standards are on course to be met and the provider is ready to move on to stage two. **Information required at stage one will include:** |
| **Template 1** | **Introduction** (Standards for Approved Qualifications):which should include the strategic intent, rationale for design and business case  |
| **Template 2** | **Provider’s narrative for criteria** (Standards for Approved Qualifications):**S3.11, S3.12, S3.13** (proposed approach to integration) **S4.2, S4.3** (proposed corporate form and management) **S3.3, S3.14, S3.15** (how the views of stakeholders and Education Diversity and Inclusion (EDI) will inform the development of the proposed qualification) **S4.11** (identification of key risks) **S5.1, S5.2** (proposed resourcing) |
| **Template 7** | **List of Supplementary Documentation/Appendices** |

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| Stage two: Qualification design & resourcing |
| Stage two will examine the proposed qualification design and its resourcing in more depth (including, for applications stratified as medium or higher risk, investment in key appointments and infrastructure made between stage one and stage two). This stage will consider the business case, investment and proposed pedagogic approach, the development of learning, teaching and assessment strategies, the involvement of patients, service-users, employers, commissioners and the public in qualification design, delivery and assessment, and preparedness for delivery for the first cohort of trainees. By the end of stage two all arrangements with partners (if required) will be in place, as will the investment necessary to ensure the qualification’s successful implementation. Stage two may be repeated, particularly for applications stratified as medium or higher risk, until there is confidence the outcomes and standards are on course to be met and the provider is ready to move on to stage three. **Information required at stage two will include:** |
| **Template 1** | **Introduction** (Standards for Approved Qualifications)**:** which should include a report on progress since stage oneand preparedness for recruitment of the first cohort of trainees  |
| **Template 2** | **Provider’s narrative for criteria** (Standards for Approved Qualifications):**S3.3, S3.14, S3.15** (proposed qualification design) **S3.1-3.7, S3.11, S3.13** (proposed pedagogic approach, learning, teaching and assessment strategies) **S3.3, S3.14, S4.9** (how the views of the stakeholders will inform teaching and assessment) **S4.11** (identification of key risks) **S5.1, S5.2, S5.4** (proposed resourcing, including investment in key appointments and infrastructure)  |
| **Template 3** | **Qualification diagram** (Outcomes for Approved Qualifications) |
| **Template 4** | **Assessment strategy** (Outcomes for Approved Qualifications)*(this can be a first draft)* |
| **Template 5** | [Module / outcome map](#_Toc83296245) (Outcomes for Approved Qualifications) *(this can be a first draft)*  |
| **Template 7** | **List of Supplementary Documentation/Appendices** |

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| Stage three: Readiness to recruit as an “approved training establishment” |
| The purpose of stage three will be to assess the readiness of the provider to begin recruiting trainees as an ‘approved training establishment’ under section 8A(2) of the Act. The focus will be on detailed curriculum and assessment design, approach to recruitment and selection of trainees and preparedness to commence delivery of the approved qualification. Stage three will confirm that the resourcing of the qualification, as described in stages one and two, is in place (including, for applications stratified as medium or higher risk, investment in key appointments and infrastructure made between stages two and three). By stage three the provider will also be expected to evidence good progress in implementing plans approved at stage two. As stage three represents a higher risk to GOC in terms of its decision-making, the evidence to support stage three will normally be a written submission, based on the evidence framework, and a periodic review. The format of the periodic review, e.g., on-site or virtual, will be informed by the qualification’s risk profile. Stage three may be repeated, particularly for applications stratified as medium or higher risk, until there is confidence the outcomes and standards are likely to be met and the provider is ready to move onto stage four. The output of stage three will be permission to commence recruiting trainees to the new qualification as an ‘approved training establishment’ under section 8A(2) of the Act.**Information required at stage three will include:** |
| **Template 1** | **Introduction** (Standards for Approved Qualifications)in full, which should include a report on progress since stage twoand preparedness for recruitment of the first cohort of trainees. |
| **Template 2** | **Provider’s narrative for criteria**; full narrative for all criteria (Standards for Approved Qualifications) |
| **Template 3** | **Qualification diagram** (Outcomes for Approved Qualifications) |
| **Template 4** | **Assessment strategy** (Outcomes for Approved Qualifications) |
| **Template 5** | **Module / outcome map** (Outcomes for Approved Qualifications)Confirmed for first year; draft for all further years |
| **Template 7** | **List of Supplementary Documentation/Appendices** |

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| Stage four (a, b, c, etc.): To be repeated each year until first cohort graduates |
| Stage four is repeated each year until the first cohort of trainees, or trainees migrated across into the programme, reach the final year’s study. The focus of stage four is on the delivery and assessment of the qualification, including its staffing, resourcing and infrastructure, risk mitigation and progress in implementing plans approved at stage three, alongside preparedness for the delivery for the next, and most importantly, final, academic year. At stage four patient, service-user, employer, commissioner and public engagement in qualification delivery, assessment and review is expected, along with evidence of an increasing volume of inter-professional learning and patient-facing learning and experience as trainees progress through the qualification. At each stage four (a, b, c, etc.) the provider’s preparedness for, and implementation of, its plan for the integration of patient-facing learning and experience will be examined, as well as its reflections on implementing plans approved at stages two and three, and any changes it proposes to make to the qualification as a result of trainee and stakeholder feedback. **Information required at stage four will include:** |
| **Template 1** | **Introduction** (Standards for Approved Qualifications)in full, which should include a report on progress since the previous stage and preparedness for next academic year / cohort.  |
| **Template 2** | **Provider’s narrative for criteria**; full narrative for all criteria (Standards for Approved Qualifications) |
| **Template 3** | **Qualification diagram** (Outcomes for Approved Qualifications) |
| **Template 4** | **Assessment strategy** (Outcomes for Approved Qualifications) |
| **Template 5** | **Module / outcome map** (Outcomes for Approved Qualifications)Confirmed for forthcoming year; draft for all further years |
| **Template 7** | **List of Supplementary Documentation/Appendices** |

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| Stage five: First graduating cohort  |
| Stage five considers a provider’s ability to evidence their meeting of the outcomes and standards at the point of the final graduating cohort. It is the final stage of the process and takes place in the academic year in which the first cohort of trainees, or trainees migrated across into the programme, reach their final year of study. The evidence to support stage five will normally be a written submission based on the evidence framework, alongside a periodic review and our attendance at the provider’s final examination board (or equivalent).The specification for the periodic review will be based on the evidence framework and the risk stratification of the qualification, which includes factors such as, but not limited to: the results of stages one to four, discharge of previously applied conditions and/or any serious concerns reviews and will include a sample-based review of the outcomes. The prime purpose of a stage five periodic review is assurance, i.e., whether the outcomes and standards are met. Depending on whether the application is stratified as lower, medium or higher risk, the periodic review may be desk-based, involve an on-site visit or visits, and/or physical or virtual meetings.**Information required at Stage five will include:** |
| **Template 1** | **Introduction** (Standards for Approved Qualifications)in full  |
| **Template 2** | **Provider’s narrative for criteria**; full narrative for all criteria (Standards for Approved Qualifications) |
| **Template 3** | **Qualification diagram** (Outcomes for Approved Qualifications) |
| **Template 4** | **Assessment strategy** (Outcomes for Approved Qualifications) |
| **Template 5** | **Module/outcome map** (Outcomes for Approved Qualifications)in full for all years |
| **Template 6** | **Outcomes narrative** (Outcomes for Approved Qualifications) in full for all outcomes |
| **Template 7** | **List of Supplementary Documentation/Appendices** |

**Please note – this list is non-exhaustive. You may be required to submit further information at any stage of the notification process, including the submission template in full.**

Section three:declaration

Please tell us about the person with overall responsibility for the qualification and for authorising the submission of this form:

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| **Name of responsible person:**  |
|  |
| **Job title:** |
|  |
| **Email:** |  |
| **Telephone/mobile:** |  |
| **Address:** |  |
| **By signing this form, you declare that the GOC’s Requirements for Approved Qualifications will be met based on the plans outlined in this form, and commit to engage with the GOC’s quality assurance processes.** |
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**Section to be completed by GOC:**

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| --- | --- |
| Date form received by GOC:  |   |
| GOC reference number:  |   |
| Allocated GOC QA Officer: |   |
| Date outcome(s) sent to provider:  |  |
| Supporting notes: |
|  |