Notification of Changes and Events (NTF-FRM) – Completion Guidance

NTF-FRM/CG v2.0

This document includes guidance and tips to help you complete the *Notification of Changes and Events Form (NTF-FRM)*. The *NTF-FRM* should be completed by providers and awarding organisations (AOs) of approved or provisionally approved qualifications.

- **IMPORTANT:** The *NTF-FRM* **<u>should not</u>** be completed if:
  - you are responding to conditions or recommendations that have been set as part of GOC quality assurance or quality assurance and enhancement activity;
  - a qualification is closing, being suspended, or taught out (please complete the ***Declaration of Closure Form (DCN-FRM))***.

- As outlined in the **requirements** (handbook or 'HB' [pre-2021] and Education and Training Requirements or 'ETR' [post-2021] – for further details see 2.6), Providers and AOs are required to notify the GOC of any major changes and/or events to ensure the GOC maintains adequate oversight of approved and provisionally approved qualifications. We must be assured by providers and AOs, in a timely manner, that:
  - risks and issues are identified;
  - mitigating actions are planned and implemented;
  - outcomes are recorded (as relevant); and/or
  - enhancements or changes to the qualifications are appropriately managed.

- Providers and AOs are not required to report all changes to or events in their qualification(s). Please see section 2.5 below for further information on what constitutes as a reportable change or event.

- Check that you have completed all the relevant questions in **section one – qualification details** and **section two – details of change(s) and/or event(s)** of the *NTF-FRM*.

- Providers and AOs **should not** complete **section three – GOC triage** or **annexes one-four** of the *NTF-FRM*; these are for **GOC internal use only**.

- Please submit your completed *NTF-FRM* to **education@optical.org**.
- Once a notification has been submitted, the GOC Education Department will review the notification, and any supporting information provided. In response, the GOC will either confirm that sufficient assurance has been provided, or may seek further assurance by:
    - requesting further information;
    - conducting a desk-based information review;
    - holding a telephone conference or meeting with you; and/or
    - conducting a quality assurance visit.

We may also report the change(s) and/or event(s) to the Advisory Panel and/or Council.

- Should you have any questions or wish to discuss your change(s) and/or event(s), please contact the GOC's Education team via **education@optical.org**.

Section one – Provider or Awarding Organisation details	
1.1	**Provider / Awarding Organisation (AO) name** Give the full name and address of the GOC approved provider/AO, this should be the primary location/campus or head office. Please see 1.1a-1.1d for definitions of providers and AOs.
1.1a	**Provider** This type of provider may work completely independently or may utilise other organisations or stakeholders (such as NHS groups, professional bodies, commercial entities) to contribute to aspects of the delivery on the course, but this provider remains the entity solely responsible for the entire route to registration. A provider may have 'sub sites' or multiple campuses which are part of the same entity and deliver the qualification as a 'duplicate' of the primary site. Additional sites or campuses have no autonomy over the design, delivery, or quality assurance of the qualification.
1.1b	**Awarding Organisation (AO)** This type of provider designs and develops qualifications to be delivered by themselves or via independent entities. Independent entities choosing to deliver the AO's qualification will have the freedom to deliver the qualification however they see fit provided they meet the AO's regulations. These entities are usually referred to as 'Centres' (see 1.1c). The AO will be responsible to the GOC, ensuring that its own qualification meets the GOC requirements as well as having responsibility for each of its centres. The AO will need to have adequate mechanisms in place to satisfy itself and the GOC that each of its centres meets its own and the GOCs requirements. The AO has the responsibility for the entire route to GOC registration including the management of compliance of centres delivering the AOs qualification(s).
1.1c	**Centre affiliated with an approved Awarding Organisation (AO)** This type of provider delivers qualification(s) that are created and owned by another entity known as an AO. Centres can deliver the qualification however they wish providing it is in agreement with the AO and meets the AO's requirements. Centres of AO's **do not hold GOC approval** (unless they offer other approved qualifications in their own capacity) and whilst they must meet the GOC requirements, the AO is responsible for ensuring this. The centre is responsible to the AO and must comply with the AO's regulations and quality assurance activities.

	Please note, for any reportable changes or events from centres, these should be submitted by the relevant AO with the centre qualification lead(s) copied in.
1.1d	**Partnering Provider** This refers to providers who are jointly delivering a qualification. Which aspects are delivered by which provider are pre-agreed. The route to registration is shared jointly and both entities are responsible for meeting the GOC requirements. The GOC will need details of both entities and the lines of communication to be clear so that we can ensure both/all parties are kept informed. For changes and events notifications received from partnering providers, the GOC contacts from both providers should sign the form and be included in the email correspondence.
1.2 1.3 1.4	**Main contact** Give the name of the person dealing with the change(s) and/or event(s) and their contact details. This should be the main and first point of contact for the GOC when discussing the notification and we will contact this person if we have any queries or need to request additional information. This person may differ from the qualification lead(s).
1.5	**Qualification lead(s)** Give the name of the qualification lead(s) for the qualification(s) the notification relates to. This person may differ from the main contact.
1.6	**For AOs with centres* only** Please list the name(s) of all centres where the qualification is delivered and where the change/event is applicable. Copy and paste the table provided as many times as required. *Please see the definitions of AOs and centres in section 1.1a-1.1d.
Section two – Details of change(s) and/or event(s)	
2.1	**Notification number** Our notification of changes and events form can be used to submit multiple changes and/or events. Please indicate the number of each notification consecutively to ensure accurate triaging and processing of your notification(s).
2.2	**Date form submitted** Enter the date that the notification has been submitted to the GOC.
2.3	**Qualification code(s)** Enter the code given to your qualification(s): • Qualifications being delivered under the education handbooks (pre-2021) should have a code such as *ABN-OP*.

	• Qualifications being delivered under the education and training requirements (post-2021) should have a code such as *ABN-OP1-ETR*. If you are not sure what the code is, please state so in the box.
2.4	**Qualification title(s)** Please include the titles for all qualifications the notification applies to. For example, if the notification covers more than one qualification, list both: BSc (Hons) Optometry and Master of Optometry (MOptom).
2.5	**Type of notification** Please indicate whether the notification is referring to a change or event. See definitions of reportable changes and events in section 2.5a-2.5c
2.5a	**Reportable planned or actual changes** Providers must notify the GOC as soon as practicable of any **planned or actual changes** to the structure, delivery, resourcing, staffing and accommodation of the programme that are likely to impact: • the quality of the programme; • the delivery of the programme; • public protection; and/or • the ability of the programme to meet the GOC's requirements and standards.
2.5b	**Planned changes** Planned changes should only be reported where it is very likely, or definite that the change(s) will take place in the future. Examples of reportable planned or actual changes may include, but are not limited to, the following types of changes (when they may have a material risk to or impact on the programme, GOC requirements and/or patient safety): • programme finances; • management; • title of the programme or qualification; • level of the programme or qualification; • franchise agreements; • validation agreements; • the length of the programme and/or the mode of its delivery; • clinical provision; • staffing, teaching or supervision personnel; • assessment; • Recognition / Accreditation of Prior Learning (RPL/APL) arrangements; • student entry requirements;

	• student numbers (an increase or decline of 10 per cent or more versus the maximum number of students approved by the GOC should be reported); • patient numbers passing through the student clinic; • teaching, learning and clinical accommodation; • clinical assessment accommodation; • practice-based learning arrangements; and/or • IT, library and other learning resource provision If you are intending to cease delivery if the qualification (and a desire to administratively withdraw GOC approval at a planned time in future) please complete a **discontinuation form** (DCN-FRM) and submit this to **education@optical.org**.
2.5c	**Reportable events** Providers and Awarding Organisations must notify the GOC as soon as practicable of any events that have an **actual or potential impact** on the delivery of the qualification and the management response. This may include (but is not limited to): • breaches of the GOC requirements; • exam regulation breaches; • student misconduct; • non-registrations; • supervision breaches; • referrals to GOC fitness to practise team, or; • cases where serious concerns have been raised regarding the programme or its delivery.
2.6	**Applies to** Please indicate which requirements the qualification(s) related to the change(s) and/or event(s) are following: • Accreditation and Quality Assurance Handbook: Routes to Registration in Optometry (2015) • GOC's Guidelines for the Approval & Quality Assurance of Routes to GOC Registration for Dispensing Opticians (2011) • Handbook for Optometry Specialist Registration in Therapeutic Prescribing (2008) • Visit Handbook Guidelines for the Approval of A) Training Institutions and B) Providers of Schemes for Registration for United Kingdom Trained Contact Lens Opticians (2007) • Requirements for approved qualifications in optometry or dispensing optics (2021) • Requirements for Approved Qualifications in Additional Supply (AS), Supplementary Prescribing (SP) and/or Independent Prescribing (IP) (2022)

	• Requirements for Approved Qualifications for Contact Lens Opticians (2022)
2.7	**Notification relates to** Please state, in a short sentence, what the notification relates to e.g., change in assessment, staff sickness, increase in student numbers etc.
2.8	**Current arrangement** Please provide details of the current arrangement prior to the change or event taking place.
2.9	**Description** Please provide a more detailed description of the change or event, including details of how this differs from your current arrangement and why the change or event came about.
2.10	**Date change will commence from / the event took place** Please indicate when the change will be implemented or will commence from / Please indicate when the event took place or what first identified.
2.11	**Review date(s)** Please indicate when the change or event will be reviewed.
2.12 2.13	**Is the change or event temporary or permanent?** Please indicate whether the change or event is permanent or temporary. **If temporary, when will the change or event cease?** If the change or event is temporary, please provide the date for when it will cease.
2.14	Please list all HB requirements and/or ETR standards (as explained within the documents linked in 2.6) that may be affected by this change or event.
2.15	**Please indicate how you will ensure the above requirements or standards continue to be sufficiently met as a result of this change or event** Refer to how you have assured yourselves that the GOC requirements / standards will continue to be met. You may need to support this with documentation that demonstrates or supports how you will do this. This could include risk analyses, communications, details of individuals involved, etc.
2.16	**Does the change or event impact any external organisations and if so, how is this being managed?** Please describe the impact, organisations responsibility, whether this has changed, when it will be reviewed and whether all organisations are in agreement/aware of this notification.
2.17	As per 2.16, please ensure that any supporting evidence or documentation is included in your submission as this will help to minimise requests for further information. Please clearly label and refer to any evidence documents where relevant.

Section three – GOC triage (internal use only)
You do not need to complete this part of the form. Section three of the form is for internal GOC use only.
Annex one – Further action template table **Annex two –** Education Visitor Panel (EVP) review and recommendation **Annex three –** Telephone conference or meeting with provider or AO **Anex four –** Triggered quality assurance activity
You do not need to complete these sections of the form. Annexes 1-4 are for internal GOC use only.