Explanatory Notes: Submission Form for Initial Evaluation

(Vocational and Professional Education and Training)

Disclaimer: The explanatory notes are intended to help Operators to understand the accreditation standards and possible evidence in addressing them. Examples provided here demonstrate possible ways of presenting the evidence and are not meant to be exhaustive. Panel will evaluate the evidence with respect to the particular circumstances of the Operator.

Part I  General Information

1.1: Operators may provide the information according to the Business Registration, if applicable.

1.2: If the Operator is a branch or a unit of an organisation, please provide the vision and mission of the branch/unit.

1.3: It is to provide basic information on learning services offered by the Operators, below is an example of the presentation format:

<table>
<thead>
<tr>
<th>QF Level Applied For</th>
<th>QF Level 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type(s) of Learning Programmes Being Operated</td>
<td>IT programmes</td>
</tr>
<tr>
<td>Target Learners of Existing Programmes</td>
<td>F.3 school leavers without work experience</td>
</tr>
<tr>
<td>Number of Learners (in the last 12 months)</td>
<td>168</td>
</tr>
<tr>
<td>Year of Establishment of Business</td>
<td>2008</td>
</tr>
<tr>
<td>Commencement Year for Operating Learning Programmes</td>
<td>2008</td>
</tr>
</tbody>
</table>

1.4 – 1.6: Please choose the most appropriate answer(s) according to the nature of operations.
Part II Accreditation Criteria

Part II of the Submission Form is designed to help Operators provide information and evidence to demonstrate their ability to meet the accreditation criteria. The Accreditation Panel may request further information and/or documents in writing before/or during a meeting with the Operator.

1. Organisational Management

The criterion contains two standards.

Information provided in 1.1 is to address the following standard:
The organisational structure supports the effective operation of learning programmes and services for learners.

1.1.1-1.1.2: These are to illustrate Operators’ scale of operation and the division of work within the organisation.

1.1.1 is about division of work at departmental / unit level. Operators may use an organisational chart to illustrate its structure (e.g. departments/units, job ranks and positions, headcount). Below is an example of the presentation format:

```
    Director
     |      |
     v      v
Registrar
     |      |
     v      v
Head of Admin
     |      |
     v      v
Programme Leader
     |      |
     v      v
Head of Admin
     |      |
     v      v
Head of Admin
```

To facilitate better understanding, Operators may provide brief descriptions on the functions/work scope of different departments/units.

1.1.2 is about the division of work among individual staff. Below is an example of the presentation format:

<table>
<thead>
<tr>
<th>Position/Job Title</th>
<th>Staff Name</th>
<th>Employment (F/T, P/T)</th>
<th>Major responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management Staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Director</td>
<td>Dr Peter Chan</td>
<td>FT</td>
<td>• Strategic planning……</td>
</tr>
<tr>
<td>2. Registrar</td>
<td>Ms Mary Lee</td>
<td>FT</td>
<td>• Quality assurance &amp; training evaluation……</td>
</tr>
<tr>
<td>3. …...</td>
<td>…...</td>
<td>…...</td>
<td>…...</td>
</tr>
</tbody>
</table>
Teaching/Training Staff

| 4. Programme Leader       | Ms Kate Cheung | FT | • Programme development ....  
|                           |                |    | • Deliver learning programme.... |

| 5. ...                     | ...            | ... | ...                           |

Programme Administrative and Support Staff

| 6. Administration Manager | Ms Rose Ho     | FT | • Programme enrolment and teaching materials preparation.... |

| 7. ...                     | ...            | ... | ...                           |

The categorisation of staff into “Management staff”, “Teaching/Training staff” and “Programme administrative and support staff” is for reference only. Operators may have a different categorisation according to their internal structure.

Operators may provide documents such as job descriptions as further elaboration.

1.1.3: It is to illustrate how Operators monitor their decision making processes and daily operation. It is essential that checks and balances are built into the various processes. However, depending on the scales and nature of operation, Operators may consider different types of governance structures, such as external advisors, governance boards/committees, etc. (For in-house learning programmes, Operators should only describe governance structures relating to the training and education services.)

Operators may also provide the terms of reference, membership composition, appointment criteria and current membership lists, etc. Operators may provide meeting notes (especially those containing decisions on important issues) to demonstrate the effectiveness of the governance structures.

1.1.4: It is to demonstrate how parties mentioned in 1.1.1 to 1.1.3 are involved in the programme development, monitoring and review processes. Operators may provide relevant meeting notes for reference.

1.1.5: The information is for understanding the scale and nature of Operators’ training and education services.

1.1.6: Where appropriate, Operators may specify the relationship with the Holding Company or Parent Organisation and their respective roles, if applicable.

Information provided in 1.2 is to address the following standard:

*Policies and procedures exist to ensure that the management of the organisation and the teaching/training operations are effective.*

1.2.1: This covers conflict of interests/role conflicts policies applicable to all full-time/part-time staff. Operators may provide information such as possible circumstances of conflicts of interests/role conflicts, the declaration procedures and handling methods.
1.2.2: Examples of common communication channels includes staff orientation, staff handbook, staff meetings, email notifications, etc.

2. **Financial and Physical Resources**

The criterion contains four standards.

**Information provided in 2.1 is to address the following standard:**
*The operator has adequate financial and physical resources to meet its teaching/training responsibilities.*

2.1.1: If the Operator is a new setup and the audited financial statements are not yet available, the management account information should be provided.

2.1.2: Please explain if other support documents are provided instead of the annual return.

2.1.3: Parent company’s financial status may need to be verified.

2.1.4: The financial support evidence should be available at the time of application. The amount should be reasonably adequate when compared with the financial projection.

2.1.5: The worst case scenario in financial projections and the corresponding contingency plan should also be presented.

**Information provided in 2.2 is to address the following standard:**
*Policies and procedures exist to appropriately allocate financial and physical resources for its teaching/training operations.*

2.2.1: For in-house learning programmes, please also provide polices/procedures on resources allocation from the company, if applicable.

*(For Higher Diploma programmes only)*
- Specific evidence is required to address the following standard: *The sufficiency of teaching/training space met the projected learner number.*
- Suggested evidence includes: handling methods for maximum enrolment.

3. **Staffing and Staff Development**

The criterion contains five standards.

**Information provided in 3.1 is to address the following standard:**
*Adequate and competent staff are employed to fulfil the functions of office administration, management and teaching/training.*
3.1.1: Below is an example of the presentation format:

<table>
<thead>
<tr>
<th>Position/Job Title</th>
<th>Head Count</th>
<th>Appointment Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Management Staff</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 1. Director | Existing: 1 Planned: 1 | • Master Degree or above;  
• Certificate of Education holder or above;  
• Over 10 years relevant experience in Education Industry  
• At least 5 years work experience in management level …… |
| 2. Registrar | Existing: 1 Planned: 1 | • Master Degree or above;  
• Over 8 years relevant experience in Education Industry;  
• At least 5 years work experience in programme quality assurance…… |
| **Teaching/Training Staff** | | |
| 3. Programme Leader | Existing: 1 Planned: 2 | • Master Degree in relevant field or above;  
• Over 8 years relevant teaching/training experience…… |
| 4. Programme Lecturer | Existing: 3 Planned: 3 | • ……. |
| **Programme Administrative and Support Staff** | | |
| 5. Administration Manager | Existing: 1 Planned: 1 | • ……. |
| 6. Programme Administrator | Existing: 1 Planned: 1 | • ……. |

3.1.2: This refers to measures adopted to ensure there is sufficient and appropriate staff to support the delivery of learning programmes, e.g. policies on workload, contingency plan for staff absence/turnover, etc.

*(For Higher Diploma programmes only)*

The following information is also required:
- Manpower plan relevant to the learning programme for the coming two academic years
- Maximum teaching/training hours per week
- Specification of which personnel are involved in leading and coordinating the programme

Information provided in 3.2 is to address the following standard:
*Programme development and teaching/training staff have relevant qualifications, industry experience and teaching/training experience.*

3.2.1 – 3.2.2: It is to demonstrate existing staff can fulfil the appointment criteria listed in 3.1.1. Below is an example of the presentation format:

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Full-Time / Part-Time</th>
<th>Relevant Qualifications</th>
<th>Relevant Work Experience</th>
<th>Other Skills (if any)</th>
<th>Modules Teaching (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Management Staff</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 1. Director | Dr Peter Chan | FT | • PhD in Education (Ab University 2005)  
• MBA (CPD) | 2005 – Present Director, XY Education Institute | Accredited Mediator, HKMAAL (2006)… | Module 1 |
Information provided in 3.3 is to address the following standard:
*Programme development and teaching/training staff have understanding of QF levels and QF standards.*

3.3.1: Common activities for acquiring QF knowledge include: workshops conducted by HKCAAVQ, seminars conducted by the Qualifications Framework Secretariat, internal sharing / briefing, etc.

Information provided in 3.4 is to address the following standard:
*Staff performance is monitored to ensure effective programme delivery.*

3.4.1 – 3.4.2: Policies mentioned should not be limited to teaching/training staff and should cover both full-time and part-time staff.

3.4.3: Common methods used include: trainer’s handbook/guides, session plans to ensure consistency in classroom activities, standardized teaching/training materials, briefing to new trainers, class visits, etc.

Information provided in 3.5 is to address the following standard:
*The knowledge and professional experience/skills of teaching/training staff are up-to-date.*

3.5.1 – 3.5.3: Activities/Policies mentioned should not be limited to teaching/training staff and should cover both full-time and part-time staff.

3.5.4: Below is an example of the presentation format:

<table>
<thead>
<tr>
<th>Teaching/Training Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ms Mary Lee FT 2008 – Present</td>
</tr>
<tr>
<td>…… …… …… ……</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Programme Administrative and Support Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>…… …… …… ……</td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>2. Registrar</th>
<th>Ms Mary Lee</th>
<th>FT</th>
<th>University 1998) • ……</th>
<th>2000 – 2005 Head of Department, GO College • ……</th>
<th>Member, HK Professional Counselling Association • ……</th>
<th>N/A</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>3. Programme Leader</th>
<th>Ms Kate Cheung</th>
<th>FT</th>
<th>Master in Education (MO University 2003) • ……</th>
<th>2013 – Present Programme Leader, XY Education Institute • ……</th>
<th>N/A</th>
<th>Module 1, 2, 3, 4</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>4. Programme Lecturer</th>
<th>……</th>
<th>……</th>
<th>……</th>
<th>……</th>
<th>……</th>
<th>……</th>
</tr>
</thead>
</table>

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<table>
<thead>
<tr>
<th>Position and Name (Organizer/Awarding body)</th>
<th>Name of activity</th>
<th>Duration</th>
<th>Completion Date (mm/yy)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Management Staff</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Director, Dr Peter Chan</td>
<td>Certificate programme in leadership (ABC Institute)</td>
<td>3 months</td>
<td>12/2014</td>
</tr>
<tr>
<td></td>
<td>Asian Education Forum 2015 (Asia Education Institute)</td>
<td>2 days</td>
<td>01/2015</td>
</tr>
<tr>
<td>...</td>
<td>...</td>
<td>...</td>
<td>...</td>
</tr>
<tr>
<td><strong>Teaching/Training Staff</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>...</td>
<td>...</td>
<td>...</td>
<td>...</td>
</tr>
<tr>
<td><strong>Programme Administrative and Support Staff</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>...</td>
<td>...</td>
<td>...</td>
<td>...</td>
</tr>
</tbody>
</table>

Operators may refer to professional bodies/associations in their industries for examples of development activities. Some common examples include: attending or delivering teaching/training activities (e.g. lectures, seminars, conference, and workshops), serving as members of committees relevant to the profession, writing of published research articles/papers, participating in competitions, etc.

(For Higher Diploma programmes only)
- Specific evidence is required to address the following standard: **Appropriate and adequate staff professional development activities are planned for the purpose of programme development.**
- Suggested evidence includes staff development plan for the programme development and teaching/training staff for the coming two academic years.

### 4. Quality Assurance (including Programme Development and Management)

The criterion contains three standards.

**Information provided in 4.1 is to address the following standard:**
**The operator ensures that the programmes address community/industry needs and are aligned with the internal programme development process and the GLD of the QF.**

#### 4.1.1:
It refers to methods used or activities conducted to consult external parties on needs of the community/industry. Common methods include: appointment of external advisors, meetings with stakeholders, questionnaires, etc.

For in-house learning programmes, “external input” may refer to information/comments obtained from sources outside the department/unit responsible for training services. Some examples are conducting company-wide training needs analysis, analysing consultancy reports or industry surveys, etc.

#### 4.1.2:
It refers to activities conducted by committees and internal staff on validating external inputs identified from 4.1.1. Operators may provide relevant meeting
records or reports to demonstrate that they have taken appropriate actions to address the needs of the community/industry.

(For Higher Diploma programmes only)
The following information is also required:
- Justification as to how the learning programmes address community/industry needs
- Internal Validation Report for the learning programmes

Information provided in 4.2 is to address the following standard:
The operator has effective mechanisms for developing, monitoring, reviewing and revising the programmes.
(for Higher Diploma programmes) There are clear and effective programme management and review processes with external input to ensure that the content, learning outcomes and assessments are current, valid and effective in meeting the programme objectives.

4.2.1: Operators may use a flowchart to demonstrate the programme development processes and parties involved in each step. Below is an example of the presentation format:

<table>
<thead>
<tr>
<th>Process</th>
<th>Responsible Parties</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conducting need analysis / feasibility study</td>
<td>• Programme Leader...</td>
</tr>
<tr>
<td>Designing programme</td>
<td>• ......</td>
</tr>
<tr>
<td>Internal approval on ....</td>
<td>• Lecturer ....</td>
</tr>
<tr>
<td>......</td>
<td>• ......</td>
</tr>
<tr>
<td>......</td>
<td>• Programme Development Committee ....</td>
</tr>
</tbody>
</table>

4.2.2: Common methods to benchmark programmes against relevant QF levels include: mapping with the Generic Level Descriptors (GLD), professional judgment by subject experts/training professionals, external benchmarking with similar learning programmes, etc.

4.2.3: Operators may refer to the “Operational Guidelines on Use of Credit” issued by the Education Bureau (http://www.hkqf.gov.hk/guide/HKQF_Credit1.asp) for details.

4.2.4: For a better understanding, Operators may elaborate on the implementation process, such as frequency of conducting review and follow-up actions (e.g. review meetings with teaching/training staff)

4.2.5: Below is an example of the presentation format:
Programme Review Activities | Frequency | Review Focus | Tools Employed | Follow-Up Procedures
--- | --- | --- | --- | ---
Course evaluation survey | • End of course for each module | • Learning outcomes  
• Teaching/Training  
• ...... | Questionnaire | • Performance review with trainers ......  
• Reporting to ......  
• ......
Class observations | • At least once per module | • Teaching/Training  
• ...... | Checklist | • Performance review with trainers ......  
• Reporting to ......  
• ......
Programme Team Meeting | • Monthly | • Issues arising from the learning programmes | / | • Compile QA reports and presented to ......  
• ......
QA Subcommittee Meeting | • Half-yearly | • Programme Structure ...... | Quantitative indicators:  
• Pass rate ......  
• Retention rate ...... | • Develop action plan ......  
• ......

4.2.6: Operators should clearly indicate the timeline for handling learners’ complaints and available channels for learners to file their complaints.

Information provided in 4.3 is to address the following standard: *Roles of staff in developing, managing and reviewing of the programme are clearly defined.*

4.3.1: Below is an example of the presentation format:

<table>
<thead>
<tr>
<th>Responsible Staff (Positions &amp; Names) / Committees / Advisors</th>
<th>Major Responsibilities (e.g. programme development, monitoring, review)</th>
</tr>
</thead>
</table>
| Programme Management Committee | • Develop the strategic direction ......  
• Receive QA reports ...... |
| Programme Development Subcommittee | • Collect external inputs on industry training needs ......  
• Review design of learning programmes ......  
• ...... |
| Assessment Subcommittee | • Review assessment questions ......  
• Endorsement of assessment results ......  
• Review Examiners’ reports ...... |
| Quality Assurance Subcommittee | • Monitor the implementation of QA systems ......  
• ...... |
| Kate Cheung, Programme Leader | • Conduct class visits ......  
• Monitor performance of trainers ......  
• ...... |

For a clearer presentation, Operators may use a flow chart to demonstrate the interrelationship/reporting line of the abovementioned personnel and/or committees. Below is an example of possible presentation format:
For detailed responsibilities of staff/committees/advisors, Operators may provide cross-referencing to other parts of the Submission Form (e.g. 1.1.3) for presentation in a concise manner.

4.3.2: This is to demonstrate external views have been sought in assuring the quality of learning programmes. External advisors should be those who are independent of the organisation, i.e. the persons do not have any official positions (boards/committees/staff member) in the organisation and do not have any partnership with the organisation. Operators may also describe briefly the scope of involvement of the external advisors.

4.3.3: This is to explain the justifications for engaging the third party. Useful information includes: the expected added-value from engaging the third party (e.g. the personnel is equipped with highly specialised skill sets), the appointment criteria and selection process, credentials of the selected party, etc.

(For Higher Diploma programmes only)
- Specific evidence is required to address the following standard: 
  *There is a clear and effective stakeholder feedback system for the continuous improvement of the programme.*
- Suggested evidence includes: mechanism for collecting feedback from stakeholders