

**Guidelines**

**on**

**Initial Evaluation and  
Programme Validation -**

**QF Levels 4 to 7**

**For Operators Seeking Accreditation from  
HKCAAVQ for the First Time**

Version 1.0

May 2008

## 1. Who should read these Guidelines?

- 1.1 Operators who do not have the valid HKCAA Institutional Review (IR) / HKCAAVQ Initial Evaluation (IE) status (list of institutions with IR / IE status can be found in Appendix 5), need to go through two separate stages of accreditation, namely, *Initial Evaluation* (IE) and *Programme Validation* (PV). After the operators meet the quality standard required at IE and successfully granted the IE status, they are allowed to enter the PV.
- 1.2 Operators who wish to have the qualifications of their learning programmes recognised under the QF must apply for *Programme Validation* and be validated.

## 2. What is Initial Evaluation?

- 2.1 *Initial Evaluation* is Stage 1 of the Four-stage Quality Assurance Process which supports Qualifications Framework (QF).
- 2.2 *Initial Evaluation* is an upfront quality test for operators who are required to meet a minimum quality standard. Operators must demonstrate that they have the abilities to effectively manage and resource the development, delivery, assessment and quality assurance of their learning programmes and educational services.
- 2.3 Operators applying for *Initial Evaluation* must specify the corresponding QF level at which their learning programmes are intended to be offered. Within QF Levels 4 to 7, an IE status can cover programmes at the same level, or lower. Operators are required to go through IE again if the intended QF level of a programme submitted in PV is not covered by the approved IE status.
- 2.4 *Initial Evaluation* has a validity period of two years. Within the two-year period, operators must apply to have at least one learning programme validated under *Programme Validation*. Evaluated operators who have not yet applied for *Programme Validation* within the two-year validity period will have to apply to extend their obtained status. If operators continue to have their programmes validated the IE status does not expire.

## 3. How much does the HKCAAVQ charge for Initial Evaluation?

- 3.1 The HKCAAVQ's fees for *Initial Evaluation* are available at <http://www.hkcaavq.edu.hk/fourstage>. The fee level varies according to the QF level of the learning programmes operators intend to offer.

#### 4. What are the procedures and how long do they take?

- 4.1 It normally takes about **15 weeks** to complete the *Initial Evaluation* process after operators have submitted their accreditation document. The time schedule will be specified in the Service Agreement signed by the HKCAAVQ and the operator.
- 4.2 The HKCAAVQ will regularly hold seminars about the various accreditation exercises and the preparation required. Operators are strongly encouraged to attend these Providers' Seminars before preparing an accreditation document. The Providers' Seminar is to brief operators about the process of the accreditation exercises and the preparation required. The factual clarifications provided should enable operators to decide for themselves their readiness to undergo the IE.
- 4.3 Interested operators should return a signed Statement of Intent (Appendix 2) to the HKVAAVQ indicating that they are ready to undergo the *Initial Evaluation* of the QA process. Furthermore operators are required to sign a Service Agreement with the HKCAAVQ that sets out the purpose, the time schedule and the fee for the exercise before submitting an accreditation document to the HKCAAVQ.
- 4.4 If operators are not able or ready to provide sufficient information to substantiate that they meet the required standards of *Initial Evaluation*, but still decide to submit the formal accreditation document, they will be fully informed about the possible consequences. One of the possibilities is that the accreditation panel, once it is formed by the HKCAAVQ, could decide not to proceed with the accreditation if they considered the operators not yet ready for accreditation.
- 4.5 The following indicative timeline outlines the main steps in *Initial Evaluation*.

Providers' Seminar

- ❖ The Seminars are organised periodically by the HKCAAVQ to brief operators about the process of the accreditation exercises and the preparation required. **Operators are strongly encouraged, but not required, to attend Providers'**

**Seminar before the negotiation of service required.**

- ❖ Once operators understand the accreditation process, they have to indicate their intention to seek accreditation service by returning a signed Statement of Intent.
- ❖ HKCAAVQ will then issue a Service Agreement. After signing the Service Agreement and making payment of the initial accreditation fee, operators should send in the accreditation document on or before the date specified in the Service Agreement.

	<u>Weeks</u>	
Preliminary Assessment	1 - 5	<ul style="list-style-type: none"> <li><input type="checkbox"/> Accreditation document confirmed as to have all the necessary information to proceed with accreditation</li> <li><input type="checkbox"/> HKCAAVQ panel members are nominated</li> <li><input type="checkbox"/> Panel members confirmed after checking conflict of interest with operators</li> <li><input type="checkbox"/> Preliminary assessment of the accreditation document</li> <li><input type="checkbox"/> Panel provides initial comments to operators and requests additional evidence or information as needed</li> <li><input type="checkbox"/> Operators provide requested evidence or information</li> <li><input type="checkbox"/> Preparation for on-site visit</li> </ul>
On-site Visit	6 - 7	<ul style="list-style-type: none"> <li><input type="checkbox"/> On-site visit</li> <li><input type="checkbox"/> Post-visit follow-up, if applicable</li> </ul>

Report Writing	8 – 15	<input type="checkbox"/>	Panel report preparation
Notification of Outcome	15	<input type="checkbox"/>	Based on the panel's recommendations, HKCAAVQ makes a decision on the outcome
		<input type="checkbox"/>	Notification of outcome to the operators
Follow-up Actions		<input type="checkbox"/>	If pre-conditions and/ or requirements are imposed, operators provide evidence of meeting them by specified timeframe

## 5. What information is required?

5.1 To complete *Initial Evaluation* successfully, operators have to demonstrate that they have attained the threshold standard of Initial Evaluation in the **four** areas enumerated below. The evaluation will be based on the accreditation document and other relevant information gathered through the entire accreditation process, according to the guiding principle of 'fitness for purpose'.

**a. Organisational Management**

Operators' management including structure and processes and quality assurance arrangements must be sufficient to manage their operations.

**b. Staffing and Staff Development**

Operators must have adequate teaching and supporting staff with the qualities, competence, qualifications and experience necessary for the effective delivery of their programmes.

**c. Financial and Physical Resources**

Operators must have adequate financial and physical resources for the delivery of their programmes.

**d. Quality Assurance (including Programme Development and Management)**

Operators must (i) develop learning programmes by addressing the needs of the community, employees and employers and aligning them with the GLD (Appendix 3) of QF; and (ii) monitor and review the performance of all their programmes on an ongoing basis to ensure that the programmes remain current and valid and that the learning outcomes, teaching and learning activities and student assessments are effective.

- 5.2 A guide for preparing an accreditation document at Initial Evaluation can be found in Appendix 4 (a).

## 6. What comes after submission of documents?

- 6.1 If the HKCAAVQ considers that operators' accreditation document contains all the necessary information to proceed with accreditation, it will establish an accreditation panel comprising sector/subject/QA specialists and a staff member of the HKCAAVQ. The HKCAAVQ has full authority in making decisions on the programme of the on-site visit and the membership of accreditation panels after seeking views from the operators on any perceived conflict of interest. The HKCAAVQ staff member will liaise with the operator about the arrangement of an on-site visit. At the on-site visit, the panel will typically meet appropriate management representatives and other key staff; inspect the facilities; and examine records and other supporting documents.
- 6.2 The panel will evaluate the evidence submitted in the accreditation document and the information collected at the on-site visit. It will form a judgement as to whether the operator meets the required standards and identify areas for improvement. After the on-site visit, the HKCAAVQ will prepare a report based on panel's recommendations and send it to the operator to check factual accuracy. The accreditation outcome will then be finalised by the HKCAAVQ and the outcome will be conveyed in writing to the operator.

## 7. What are the possible outcomes?

- 7.1 The possible outcomes are approval, approval with pre-condition(s) and/or requirement(s), and non-approval. The accreditation report prepared by the HKCAAVQ will include the following:
- Pre-condition(s) and/or requirement(s), if any, and
  - QF level of the IE.
- 7.2 Where pre-condition(s) and/ or requirement(s) are stipulated, the fulfilment of the pre-condition(s) and/or requirement(s) within a specified timeframe is **mandatory to obtain and to maintain valid accreditation status.**

- 7.3 If the operator is aggrieved by the decision of the HKCAAVQ, the operator can lodge a notice of appeal with the Appeal Board established under the Accreditation of Academic and Vocational Qualifications Ordinance. Details of the Appeal Procedure are published in accordance with Part 3 (Section 13) of the Ordinance and can be accessed at the HKCAAVQ website.

## 8. What to do before the IE validity period expires?

- 8.1 Operators who are accredited for *Initial Evaluation* must proceed to the next stage, *Programme Validation*, if they want to operate and enter the qualification of their learning programme into the Qualifications Register (QR) and to be recognised under the QF. Operators' intention for learning programmes to be validated must be received by the HKCAAVQ within the two-year validity period of *Initial Evaluation*.
- 8.2 If operators choose not to or are not yet ready to move onto *Programme Validation*, they can apply to extend the obtained IE status at least three months before the two-year validity period expires. The further two-year status of being evaluated will only be approved if the operators can demonstrate their capabilities and operational plan to offer learning programmes in the extended period. Please refer to Appendix 1 (b).
- 8.3 An extension will be granted **ONCE** only. The *Initial Evaluation status* will automatically lapse when the two-year extended validity period expires.

## 9. What is Programme Validation?

- 9.1 *Programme Validation* is the second stage of the Four-stage Quality Assurance Process, through which the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) assures the quality of learning programmes. Only qualifications of the validated programmes are eligible to enter into the Qualifications Register (QR) and recognised under the Qualifications Framework (QF). Therefore, operators must apply for Programme Validation for each programme that they wish to enter into the QR.
- 9.2 Validation of learning programmes is intended to ensure that:
- learning outcomes and standards of the learning programmes are appropriate for the qualifications to which they lead;
  - content and design of the learning programmes and the methods of delivery are likely to achieve their purposes;

- content and assessment are based on academic and vocational standards, as appropriate;
- delivery arrangements, including management, facilities, staffing and student services are appropriate for the learning programmes and will enable their successful delivery at the QF level proposed; and
- operators have systems and resources in place to effectively manage, quality assure and improve their programmes.

## 10. How much does the HKCAAVQ charge for Programme Validation?

- 10.1 The HKCAAVQ's fees for *Programme Validation* are available at <http://www.hkcaavq.edu.hk/fourstage>. The fee level varies according to the QF level of the learning programme operators intend to offer.

## 11. What are the procedures and how long do they take?

- 11.1 It normally takes about **17 weeks** to complete the *Programme Validation* process for programmes from QF Levels 4 to7, after operators have submitted their accreditation document. The time schedule will be specified in the Service Agreement signed by the HKCAAVQ and the operator.
- 11.2 The HKCAAVQ will regularly hold seminars about the various accreditation exercises and the preparation required. Operators are strongly encouraged to attend these Providers' Seminars before preparing an accreditation document. The Providers' Seminar is to brief operators about the process of the accreditation exercises and the preparation required. The factual clarifications provided should enable operators to decide for themselves their readiness to undergo the PV.
- 11.3 Interested operators should return a signed Statement of Intent (Appendix 2) to the HKCAAVQ indicating that they are ready to undergo the *Programme Validation* of the QA process. Furthermore operators are required to sign a Service Agreement with the HKCAAVQ that sets out the purpose, the time schedule and the fee for the exercise before submitting an accreditation document to the HKCAAVQ.
- 11.4 If operators are not able or ready to provide sufficient information to substantiate that they meet the required standards of *Programme Validation*, but still decided to submit the formal accreditation document, they will be fully informed about the possible consequences. One of the possibilities is that the accreditation panel once that it is formed by the HKCAAVQ could decide

not to proceed with the accreditation if they considered the operators not ready for accreditation.

11.5 The following indicative timeline outlines the main steps in *Programme Validation*. It applies to programmes from QF Levels 4 to 7.

Providers' Seminar
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- ❖ The Seminars are organised periodically by the HKCAAVQ to brief operators about the process of the accreditation exercises and the preparation required. **Operators are strongly encouraged, but not required, to attend Providers' Seminar before the negotiation of service required.**
- ❖ Once operators understand the accreditation process, they have to indicate their intention to seek accreditation service by returning a signed Statement of Intent.
- ❖ The HKCAAVQ will then issue a Service Agreement. After signing the Service Agreement and making payment of the initial accreditation fee, operators should send in the accreditation document on or before the date specified in the Service Agreement.

Weeks

Preliminary Assessment
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- |       |   |
|-------|---|
| 1 – 3 | <ul style="list-style-type: none"> <li>□ Accreditation document confirmed as to have all the necessary information to proceed with assessment</li> <li>□ HKCAAVQ panel members are nominated</li> <li>□ Panel members confirmed after checking conflict of interest with operators</li> </ul> |
| 4 – 7 | <ul style="list-style-type: none"> <li>□ Preliminary assessment of the accreditation document</li> <li>□ Panel provides initial comments to</li> </ul>  |

		operators and requests additional evidence or information as needed
		<input type="checkbox"/> Operators provide requested evidence or information <input type="checkbox"/> Preparation for on-site visit
On-site Visit	8 – 9	<input type="checkbox"/> On-site visit <input type="checkbox"/> Post-visit follow-up, if applicable
Report Writing	10 – 17	<input type="checkbox"/> Panel report preparation
Notification of Outcome	17	<input type="checkbox"/> Based on the panel's recommendations, HKCAAVQ makes a decision on the outcome <input type="checkbox"/> Notification of outcome to the operators
Follow-up Actions		<input type="checkbox"/> If pre-conditions and/ or requirements are imposed, operators provide evidence of meeting them by specified timeframe

## 12. What information is required?

12.1 Operators are to send in an accreditation document for individual programmes. To complete *Programme Validation* successfully, operators have to demonstrate that the learning programme and the capacity of operators to deliver the programme have attained the threshold standard of Programme Validation in the **ten** areas enumerated below. The validation will be based on the accreditation document and other relevant information gathered through the entire accreditation process, according to the guiding principle of 'fitness for purpose'.

**a. Financial and Physical Resources for Learning Programmes**

Operators must have adequate financial and physical resources for the delivery of their programmes.

**b. Staffing and Staff Development for Learning Programmes**

Operators must have adequate teaching and supporting staff with the qualities, competence, qualifications and experience necessary for the effective programme management, planning, delivery and monitoring of their programmes. There must be adequate staff development scheme and activities to ensure that the teaching and supporting staff are kept updated for the quality delivery of the programmes.

**c. Programme Objectives and Learning Outcomes**

The learning outcomes should reflect the stated programme objectives, which are tested through assessment. The evidence from assessments must show that the QF level of the learning outcomes correspond to the GLD (Appendix 3) and other relevant documents.

**d. Programme Content and Structure**

The content and structure of the learning programmes must be coherent, integrated and effective in enabling students to achieve the stated learning outcomes and the required standards. The learning outcomes, teaching and learning activities and assessments must be coherent, balanced, enable progression and be pitched at the appropriate level in QF.

**e. Admission Requirements and Student Selection**

The minimum admission requirements for the programmes must be clearly outlined for students and staff. These requirements and the student selection processes must ensure that students enrolling in the programmes have the knowledge and skills to be able to undertake the learning activities proposed in the programmes.

**f. Teaching and Learning**

The teaching and learning activities designed for the programmes must be effective in delivering the intended learning outcomes and programme content. A range of appropriate teaching methods must be employed to effectively engage students in the learning process.

**g. Workplace Attachment and Student Support Services**

Operators must provide students with clear, accurate information and dependable access to workplace attachment and support services that give students optimum opportunity for successful completion of the programme.

**h. Student Assessment**

Assessments must support effective learning and enable students to demonstrate achievement of the learning outcomes and the required standards. The assessment methods and techniques used for the programmes must be valid, reliable, fair and sufficient to reflect the learning outcomes at the claimed QF levels.

**i. Quality Assurance (including Programme Development and Management)**

Operators must (i) develop learning programmes by addressing the needs of the community, employees and employers and aligning them with the GLD (Appendix 3) of the QF; and (ii) monitor and review the performance of all their programmes on an ongoing basis to ensure that the programmes remain current and valid and that the learning outcomes, teaching and learning activities and student assessments are effective.

**j. Student Records and Information Management**

Operators must have effective administration and management systems and procedures in place to ensure integrity, security, accuracy and currency of their record.

- 12.2 A guide for preparing an accreditation document for Programme Validation can be found in Appendix 4(b).

<b>13. What comes after submission of documents?</b>
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- 13.1 If the HKCAAVQ considers that operators' accreditation document contains all the necessary information for accreditation, it will establish an accreditation panel comprising sector/subject/QA specialists and a staff member of the HKCAAVQ. The HKCAAVQ has full authority in making decisions on the programme of the on-site visit and the membership of accreditation panels after seeking views from the operators on any perceived conflict of interest. The HKCAAVQ staff member will liaise with the operator about the arrangement of an on-site visit. At the on-site visit, the panel will typically meet appropriate management representatives, other key staff and students; inspect the facilities; observe classes; and examine records and other supporting documents. An on-site visit typically might consist of:

- Meeting with Board members/senior management
- Meeting(s) with relevant committees/staff of the programmes
- Meeting(s) with advisory committee members/ employers/ external examiners, if any
- Meeting with students/graduates
- Tour of facilities

- Scrutiny of documents such as minutes of meetings and students' work

13.2 The panel will evaluate the evidence provided in the accreditation document and the information collected at the on-site visit. It will form a judgement as to whether the learning programmes meet the required standards and identify areas for improvement. After the on-site visit, the HKCAAVQ will prepare an accreditation report based on the panel's recommendations and provide it to the operator to check for factual accuracy. The accreditation outcome will then be finalised by the HKCAAVQ and the outcome will be conveyed in writing to the operator.

#### 14. What are the possible outcomes?

14.1 The possible outcomes are approval, approval with pre-condition(s) and/or requirement(s), and non-approval. The accreditation report prepared by the HKCAAVQ will include the following:

- Validity period, which will vary subject to circumstances, such as by the length of the learning programmes and the maturity level of the operator,
- Pre-condition(s) and/or requirement(s), if any,
- Discipline/area of study,
- QF level, and
- Student numbers, as appropriate, of the accredited learning programmes

14.2 Where pre-condition(s) and/ or requirement(s) are stipulated, the fulfilment of the pre-condition(s) and/or requirement(s) within a specified timeframe is **mandatory to obtain and to maintain valid accreditation status**.

14.3 If the operator is aggrieved by the decision of the HKCAAVQ, the operator can lodge a notice of appeal with the Appeal Board established under the Accreditation of Academic and Vocational Qualifications Ordinance. Details of the Appeal Procedure are published in accordance with Part 3 (Section 13) of the Ordinance and can be accessed at the HKCAAVQ website.

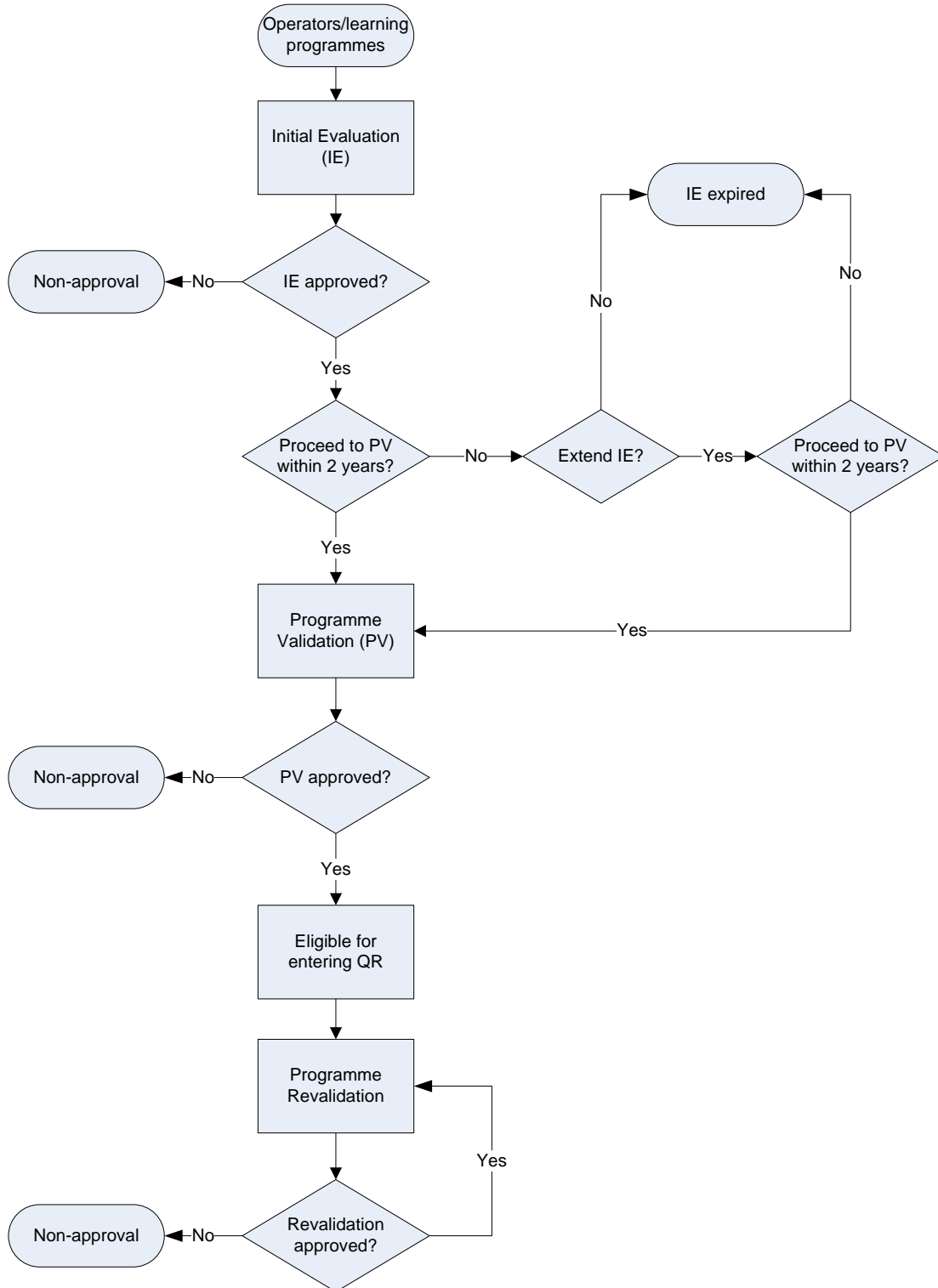
#### 15. What to do before the validity period expires?

15.1 Operators must apply to have their learning programmes revalidated by the HKCAAVQ at least **six months** before the expiry date of the validity period. If revalidation is not completed by the expiry date, the validation status will automatically lapse and the registration of the related qualifications of the learning programmes on the QR will be indicated as expired. The revalidation process is the same as for Programme Validation.

**Appendixes**

- Appendix 1: (b) Flow Chart of the Four-stage Quality Assurance Process - For Operators without valid HKCAA IR/ HKCAAVQ IE status (with Stage 1 and Stage 2 only)
- Appendix 2: Statement of Intent
- Appendix 3: Generic Level Descriptors
- Appendix 4: Guide for Preparing Accreditation Document at  
(a) Initial Evaluation  
(b) Programme Validation
- Appendix 5: List of the Operators with valid HKCAA IR / HKCAAVQ IE Status
- Appendix 6: Schedule 1 of Cap 493 Non-local Higher and Professional Education (Regulation) Ordinance

**Flow Chart of the Four-stage Quality Assurance Process  
For Operators Seeking Accreditation  
from the HKCAAVQ for the First Time  
(with Stage 1 and Stage 2 only)**



**Hong Kong Council for Accreditation of Academic and Vocational Qualifications**  
**Four-stage QA Process**

**Statement of Intent**

*Notes to Operators:*

1. This Statement of Intent is for Operators to indicate their intention to seek accreditation service from the HKCAAVQ at any stage described in the Guidelines on the Four-stage QA Process. Operators can submit this form by email ([info@hkcaavq.edu.hk](mailto:info@hkcaavq.edu.hk)), fax (no. 2845 9910) or post to the HKCAAVQ.
2. This Statement of Intent is applicable to Operators seeking accreditation service at any level under the QF.
3. Based on the information provided in the Statement of Intent, the HKCAAVQ will determine and if necessary discuss with the Operators the exact scope of the specific accreditation exercise and the timeframe. A draft Service Agreement with the accreditation fee for the exercise will be sent to Operators for consideration and signature where appropriate.
4. The actual conduct of the exercise will take effect upon the return to the HKCAAVQ of the signed Service Agreement and the settlement by the Operators of the accreditation fee as specified in the Service Agreement.

Address: 10/F, Cambridge House, Taikoo Place, 979 King's Road, Quarry Bay, Hong Kong  
 General line: 3658 0000

**I. Details of Operator** <sup>[1]</sup>

Name in English	
Name in Chinese	
<p><b>Status of Operator</b> (Please tick the appropriate box(es))</p> <p>With valid accreditation status:</p> <p><input type="checkbox"/> self-accrediting <sup>[2]</sup></p> <p><input type="checkbox"/> accredited by the HKCAAVQ/ HKCAA since _____ with <input type="checkbox"/> Institutional Review (IR) status <input type="checkbox"/> Initial Evaluation (IE) status at QF Level _____ / <input type="checkbox"/> Programme Area Accreditation (PAA) status at QF Level _____</p> <p>With registration status of educational provision under:</p> <p><input type="checkbox"/> CAP 279 Education Ordinance</p> <p><input type="checkbox"/> CAP 320 Post Secondary Colleges Ordinance</p> <p>Offering courses:</p> <p><input type="checkbox"/> reimbursable by Continuing Education Fund (CEF)</p> <p><input type="checkbox"/> under Employees' Retraining Scheme (ERS)</p> <p><input type="checkbox"/> under Skills Upgrading Scheme (SUS)</p> <p><input type="checkbox"/> under the Continuing Professional Development (CPD) Programmes assessed by HKCAAVQ</p>	

**II. Stage to enter** (Please tick the appropriate box)

- Stage 1 Initial Evaluation (IE) <sup>[3]</sup> at QF level(s) \_\_\_\_\_ (Please complete parts VI and VII only)
- Stage 2 Programme Validation (PV) <sup>[4]</sup> (Please complete parts III, VI and VII only)
- Stage 1 and 2 Combined (IE and PV) <sup>[5]</sup> (Please complete parts III, VI, and VII only)
- Stage 3 Programme Area Accreditation (PAA) <sup>[6]</sup> (Please complete parts IV, VI and VII only)
- Stage 4 Periodic Review (PR) <sup>[7]</sup> (Please complete parts V, VI and VII only)

**Proposed visit date:** \_\_\_\_\_ (Month) \_\_\_\_\_ (Year) (Please refer to the indicative timelines of the accreditation services stipulated in the respective Guidelines on the Four-stage QA Process.)

**III Details of the Learning Programme(s)** <sup>[8]</sup> (If not enough space please attach an additional sheet)

<b>Programme 1</b>	<input type="checkbox"/> No formal qualification as this is an interest course					
Programme Title (English)						
Programme Title (Chinese)						
All Exit Award Titles (English)	Proposed QF level <sup>[9]</sup>	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	Length
All Exit Award Titles (Chinese)		5 <input type="checkbox"/>	6 <input type="checkbox"/>	7 <input type="checkbox"/>		

Mode of Study	Full-time <input type="checkbox"/> Distance learning <input type="checkbox"/>	Others (please specify):	
	Part-time <input type="checkbox"/>		
Will apply for <input type="checkbox"/> Continuing Education Fund (CEF) registration upon successful accreditation	Will apply for Continuing Professional Development (CPD) Programme of: - <input type="checkbox"/> Insurance <input type="checkbox"/> Estate Agents		
This is a joint programme with other body/ bodies <input type="checkbox"/> Yes, please specify the name of the body and the nature of collaboration. _____			
<input type="checkbox"/> No			
Proposed <b>implementation date</b> (for new programme)			

<b>Programme 2</b>	<input type="checkbox"/> No formal qualification as this is an interest course				
Programme Title (English)					
Programme Title (Chinese)					
All Exit Award Titles (English)	Proposed QF level <sup>[9]</sup>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	5 <input type="checkbox"/> 6 <input type="checkbox"/> 7 <input type="checkbox"/>	Length	
All Exit Award Titles (Chinese)					
Mode of Study	Full-time <input type="checkbox"/> Distance learning <input type="checkbox"/>	Others (please specify):			
	Part-time <input type="checkbox"/>				
Will apply for <input type="checkbox"/> Continuing Education Fund (CEF) registration upon successful accreditation	Will apply for Continuing Professional Development (CPD) Programme of: - <input type="checkbox"/> Insurance Estate Agents				
This is a joint programme with other body/ bodies <input type="checkbox"/> Yes, please specify the name of the body and the nature of collaboration _____					
<input type="checkbox"/> No					
Proposed <b>implementation date</b> (for new programme)					

**IV.** Please state the Intended **Programme Area(s)** <sup>[10]</sup> for a Programme Area Accreditation Exercise (If not enough space please attach an additional sheet)

Area of Study and Programme Area 1:		Area of Study and Programme Area 3:	
Proposed QF level(s):		Proposed QF level(s):	
Proposed Effective Date:		Proposed Effective Date:	
Area of Study and Programme Area 2:		Area of Study and Programme Area 4:	
Proposed QF level(s):		Proposed QF level(s):	
Proposed Effective Date:		Proposed Effective Date:	

**V. Please state the Programme Area(s) <sup>[10]</sup> for a Periodic Review Exercise (If not enough space please attach additional sheet)**

Area of Study and Programme Area 1 with current PAA status:		Area of Study and Programme Area 2 with current PAA status:	
QF level(s):		QF level(s):	
PAA Status expiring on (dd/mm/yyyy):		PAA Status expiring on (dd/mm/yyyy):	
Area of Study and Programme Area 3 with current PAA status:		Area of Study and Programme Area 4 with current PAA status:	
QF level(s):		QF level(s):	
PAA Status expiring on (dd/mm/yyyy):		PAA Status expiring on (dd/mm/yyyy):	

**VI. Contact Information**

Executive head or an authorized person of the Operator	Other contact person (e.g. Programme Leader/ Co-ordinator)
Name	Name
Title (e.g. Mr, Ms, Dr)	Title (e.g. Mr, Ms, Dr)
Position	Position
Contact Phone No.	Contact Phone No.
Email	Email

**VII. Declaration**

I, being the Operator of the above learning programme(s), confirm and declare that:

- a. The information provided in this Statement of Intent is true and accurate.
- b. I have read and fully understood all the information required to be submitted for the purpose of accreditation and the accreditation procedures described in the Guidelines on the Four-stage QA Process.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name in block letter

\_\_\_\_\_  
Designation (Executive head or an authorized person of the Operator)

\_\_\_\_\_  
Date

Acknowledgement of receipt of the Statement of Intent will be provided by the Council after the receipt.

**Notes:**

- [1] Operator – a person, school, institution, organization or other body which operates any learning programme or any part of a learning programme.
- [2] Self-accrediting – operators specified under Schedule 2 of the CAP 592 Accreditation of Academic and Vocational Qualifications Ordinance with recognised self-accrediting status. They are the seven UGC-funded universities, The Open University of Hong Kong and The Hong Kong Institute of Education (excluding learning programmes which are not learning programmes in teacher education).
- [3] Initial Evaluation (IE) – for new Operators, i.e. without any IR, IE or other prior status of HKCAAVQ.
- [4] Programme Validation (PV) – for Operators with any of the following statuses: (i) IR status, (ii) IE status, (iii)

CAP 320 Registrants, (iv) Local Institutions of Higher Education listed in Schedule 1 of CAP 493, they can proceed directly to PV.

- [5] For Operators with any of the prior status: (i) CAP 279 Registrants, (ii) Current CEF or CPD Operators assessed by HKCAAVQ, (iii) Current SUS/ ERS Operators seeking QA process for non-SUS/ ERS courses, they can select both IE and PV as combined exercise. Operators can choose to undergo IE and PV as two separate processes so as to ascertain that IE has been passed before proceeding to PV.
- [6] Programme Area Accreditation (PAA) – for Operators with established track record in the applied programme area(s).
- [7] Periodic Review (PR) – for Operators who already obtained PAA status.
- [8] Learning Programme – a programme of studies or training defined by a curriculum (which may consist of one or more modules, units, subjects or courses or any combination of those elements) and includes, where context permits, any proposed programme of such studies or training. Different exit awards from the same learning programme, if any, should be specified.
- [9] QF Level – the level of the learning programme pitched against the Generic Level Descriptors (GLD) published by the Government at [http://www.hkqf.gov.hk/media/HKQF\\_GLD\\_e.pdf](http://www.hkqf.gov.hk/media/HKQF_GLD_e.pdf)
- [10] Programme Area – the area shown in the Areas of Study and Training for the Qualifications Register. Please refer to the list at <http://www.hkqr.gov.hk/hkqr/areasOfStudy.htm> .

7 July 2008

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
1	<ul style="list-style-type: none"> <li>- Employ recall and demonstrate elementary comprehension in a narrow range of areas with dependency on ideas of others</li> <li>- Exercise basic skills</li> <li>- Receive and pass on information</li> <li>- Use, under supervision or prompting, basic tools and materials.</li> <li>- Apply learnt responses to solve problems</li> <li>- Operate in familiar, personal and/or everyday contexts</li> <li>- Take some account, with prompting, of identified consequences of actions.</li> </ul>	<ul style="list-style-type: none"> <li>- Operate mainly in closely defined and highly structured contexts</li> <li>- Carry out processes that are repetitive and predictable</li> <li>- Undertake the performance of clearly defined tasks</li> <li>- Assume a strictly limited range of roles.</li> </ul>	<ul style="list-style-type: none"> <li>- The ability to perform tasks of routine and repetitive nature given clear direction</li> <li>- Carry out directed activity under close supervision</li> <li>- Rely entirely on external monitoring of output and quality</li> </ul>	<ul style="list-style-type: none"> <li>- Use very simple skills with assistance — for example:</li> <li>- Take some part in discussions about straightforward subjects</li> <li>- Read and identify the main points and ideas from documents about straightforward subjects</li> <li>- Produce and respond to a limited range of simple, written and oral communications, in familiar/routine contexts</li> <li>- Carry out a limited range of simple tasks to process data and access information</li> <li>- Use a limited range of very simple and familiar numerical and pictorial data</li> <li>- Carry out calculations, using whole numbers and simple decimals to given levels of accuracy.</li> </ul>

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
2	<ul style="list-style-type: none"> <li>- Apply knowledge based on an underpinning comprehension in a selected number of areas</li> <li>- Make comparisons with some evaluation and interpret available information</li> <li>- Apply basic tools and materials and use rehearsed stages for solving problems.</li> <li>- Operate in familiar, personal and/or everyday contexts</li> <li>- Take account the identified consequences of actions.</li> </ul>	<ul style="list-style-type: none"> <li>- Choose from a range of procedures performed in a number of contexts, a few of which may be non-routine</li> <li>- Co-ordinate with others to achieve common goals.</li> </ul>	<ul style="list-style-type: none"> <li>- The ability to perform a range of tasks in predictable and structured contexts</li> <li>- Undertake directed activity with a degree of autonomy</li> <li>- Achieve outcomes within time constraints</li> <li>- Accept defined responsibility for quantity and quality of output subject to external quality checking.</li> </ul>	<ul style="list-style-type: none"> <li>- Use skills with some assistance — for example:</li> <li>- Take active part in discussions about identified subjects</li> <li>- Identify the main points and ideas from documents and reproduce them in other contexts</li> <li>- Produce and respond to a specified range of written and oral communications, in familiar/routine contexts</li> <li>- Carry out a defined range of tasks to process data and access information</li> <li>- Use a limited range of familiar numerical and graphical data in everyday contexts</li> <li>- Carry out calculations, using percentages and graphical data to given levels of accuracy.</li> </ul>

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
3	<ul style="list-style-type: none"> <li>- Apply knowledge and skills in a range of activities, demonstrating comprehension of relevant theories</li> <li>- Access, organise and evaluate information independently and make reasoned judgements in relation to a subject or discipline</li> <li>- Employ a range of responses to well defined, but sometimes unfamiliar or unpredictable, problems</li> <li>- Make generalisations and predictions in familiar contexts.</li> </ul>	<ul style="list-style-type: none"> <li>- Operate in a variety of familiar and some unfamiliar contexts, using a known range of technical or learning skills</li> <li>- Select from a considerable choice of predetermined procedures</li> <li>- Give presentations to an audience</li> </ul>	<ul style="list-style-type: none"> <li>- The ability to perform tasks in a broad range of predictable and structured contexts which may also involve some non-routine activities requiring a degree of individual responsibility</li> <li>- Engage in self-directed activity with guidance/evaluation</li> <li>- Accept responsibility for quantity and quality of output</li> <li>- Accept well defined but limited responsibility for the quantity and quality of the output of others</li> </ul>	<ul style="list-style-type: none"> <li>- Use a wide range of largely routine and well practiced skills — for example:</li> <li>- Produce and respond to detailed and complex written and oral communication in familiar contexts, and use a suitable structure and style when writing extended documents.</li> <li>- Select and use standard applications to obtain, process and combine information</li> <li>- Use a wide range of numerical and graphical data in routine contexts, which may have some non-routine elements.</li> </ul>

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
4	<ul style="list-style-type: none"> <li>- Develop a rigorous approach to the acquisition of a broad knowledge base, with some specialist knowledge in selected areas</li> <li>- Present and evaluate information, using it to plan and develop investigative strategies</li> <li>- Deal with well defined issues within largely familiar contexts, but extend this to some unfamiliar problems</li> <li>- Employ a range of specialised skills and approaches to generate a range of responses.</li> </ul>	<ul style="list-style-type: none"> <li>- Operate in a range of varied and specific contexts involving some creative and non-routine activities</li> <li>- Exercise appropriate judgement in planning, selecting or presenting information, methods or resources</li> <li>- Carry out routine lines of enquiry, development of investigation into professional level issues and problems.</li> </ul>	<ul style="list-style-type: none"> <li>- The ability to perform skilled tasks requiring some discretion and judgement, and undertake a supervisory role</li> <li>- Undertake self-directed and a some directive activity</li> <li>- Operate within broad general guidelines or functions</li> <li>- Take responsibility for the nature and quantity of own outputs</li> <li>- Meet specified quality standards</li> <li>- Accept some responsibility for the quantity and quality of the output of others.</li> </ul>	<ul style="list-style-type: none"> <li>- Use a wide range of routine skills and some advanced skills associated with the subject/discipline — for example:</li> <li>- Present using a range of techniques to engage the audience in both familiar and some new contexts</li> <li>- Read and synthesise extended information from subject documents; organise information coherently, convey complex ideas in well-structured form</li> <li>- Use a range of IT applications to support and enhance work</li> <li>- Plan approaches to obtaining and using information, choose appropriate methods and data to justify results &amp; choices</li> <li>- Carry out multi-stage calculations.</li> </ul>

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
5	<ul style="list-style-type: none"> <li>- Generate ideas through the analysis of abstract information and concepts</li> <li>- Command wide ranging, specialised technical, creative and/or conceptual skills</li> <li>- Identify and analyse both routine and abstract professional problems and issues, and formulate evidence-based responses</li> <li>- Analyse, reformat and evaluate a wide range of information</li> <li>- Critically analyse, evaluate and/or synthesise ideas, concepts, information and issues</li> <li>- Draw on a range of sources in making judgments.</li> </ul>	<ul style="list-style-type: none"> <li>- Utilise diagnostic and creative skills in a range of technical, professional or management functions</li> <li>- Exercise appropriate judgement in planning, design, technical and/or supervisory functions related to products, services, operations or processes.</li> </ul>	<ul style="list-style-type: none"> <li>- Perform tasks involving planning, design, and technical skills, and involving some management functions</li> <li>- Accept responsibility and accountability within broad parameters for determining and achieving personal and/or group outcomes</li> <li>- Work under the mentoring of senior qualified practitioners</li> <li>- Deal with ethical issues, seeking guidance of others where appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>- Use a range of routine skills and some advanced and specialized skills in support of established practices in a subject/discipline, for example:</li> <li>- Make formal and informal presentations on standard/mainstream topics in the subject/discipline to a range of audiences</li> <li>- Participate in group discussions about complex subjects; create opportunities for others to contribute</li> <li>- Use a range of IT applications to support and enhance work</li> <li>- Interpret, use and evaluate numerical and graphical data to achieve goals/targets.</li> </ul>

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
6	<ul style="list-style-type: none"> <li>- Critically review, consolidate, and extend a systematic, coherent body of knowledge</li> <li>- Utilise highly specialised technical research or scholastic skills across an area of study</li> <li>- Critically evaluate new information, concepts and evidence from a range of sources and develop creative responses</li> <li>- Critically review, consolidate and extend knowledge, skills practices and thinking in a subject/discipline</li> <li>- Deal with complex issues and make informed judgements in the absence of complete or consistent data/information.</li> </ul>	<ul style="list-style-type: none"> <li>- Transfer and apply diagnostic and creative skills in a range of situations</li> <li>- Exercise appropriate judgement in complex planning, design, technical and/or management functions related to products, services, operations or processes, including resourcing and evaluation</li> <li>- Conduct research, and/or advanced technical or professional activity</li> <li>- Design and apply appropriate research methodologies.</li> </ul>	<ul style="list-style-type: none"> <li>- Apply knowledge and skills in a broad range of professional work activities</li> <li>- Practice significant autonomy in determining and achieving personal and/or group outcomes</li> <li>- Accept accountability in related decision making including use of supervision</li> <li>- Demonstrate leadership and /or make an identifiable contribution to change and development.</li> </ul>	<ul style="list-style-type: none"> <li>- Communicate, using appropriate methods, to a range of audiences including peers, senior colleagues, specialists</li> <li>- Use a wide range of software to support and enhance work; identify refinements to existing software to increase effectiveness or specify new software</li> <li>- Undertake critical evaluations of a wide range of numerical and graphical data, and use calculations at various stages of the work.</li> </ul>

Level	Generic Level Descriptors			
	Knowledge & Intellectual Skills	Processes	Application, Autonomy & Accountability	Communication, IT and Numeracy
7	<ul style="list-style-type: none"> <li>- Demonstrate and work with a critical overview of a subject or discipline, including an evaluative understanding of principal theories and concepts, and of its broad relationships with other disciplines</li> <li>- Identify, conceptualise and offer original and creative insights into new, complex and abstract ideas and information</li> <li>- Deal with very complex and/or new issues and make informed judgements in the absence of complete or consistent data/information</li> <li>- Make a significant and original contribution to a specialised field of inquiry, or to broader interdisciplinary relationships.</li> </ul>	<ul style="list-style-type: none"> <li>- Demonstrate command of research and methodological issues and engage in critical dialogue</li> <li>- Develop creative and original responses to problems and issues in the context of new circumstances.</li> </ul>	<ul style="list-style-type: none"> <li>- Apply knowledge and skills in a broad range of complex and professional work activities, including new and unforeseen circumstances</li> <li>- Demonstrate leadership and originality in tackling and solving problems</li> <li>- Accept accountability in related decision making</li> <li>- High degree of autonomy, with full responsibility for own work, and significant responsibility for others</li> <li>- Deal with complex ethical and professional issues.</li> </ul>	<ul style="list-style-type: none"> <li>- Strategically use communication skills, adapting context and purpose to a range of audiences</li> <li>- Communicate at the standard of published academic work and/or critical dialogue</li> <li>- Monitor, review and reflect on own work and skill development, and change and adapt in the light of new demands</li> <li>- Use a range of software and specify software requirements to enhance work, anticipating future requirements</li> <li>- Critically evaluate numerical and graphical data, and employ such data extensively.</li> </ul>

## **Guide for Preparing Accreditation Document**

### **Appendix 4(a)**

#### **Stage 1 – Initial Evaluation**

To complete *Initial Evaluation* (IE) successfully, operators have to demonstrate that they have attained the threshold standard of IE in the four areas enumerated below. According to the guiding principle of ‘fitness for purpose’, the operators may demonstrate that they are meeting the standards by a variety of evidences submitted in the accreditation document.

#### **a. Organisational Management**

**Operators’ management including structure and processes and quality assurance arrangements must be sufficient to manage their operations.**

Operators may demonstrate that through:

- a) their legal status, mission, aims and objectives are appropriate to the delivery of their learning programmes;
- b) they have educational, quality assurance and resource allocation policies that are related to their mission, aims and objectives and are appropriate for their size and scope;
- c) they have effective systems in place to monitor the implementation of their policies and the performance of their programmes; and
- d) they have complied with all statutory requirements of the Government necessary for the conduct of learning programmes at their proposed QF level/s.

Possible documentary evidence:

- Evidence of legal status, such as a business, a company, an association or a statutory body
- Evidence of Post Secondary Colleges Ordinance (Cap 320) registration in case of operator wishing to offer degree granting awards at QF level 5 or above,.
- Mission statement and educational objectives
- Current organisational chart showing the structure, names of staff, positions and lines of responsibility
- Terms of reference, membership composition and current members of the management group
- Educational, quality assurance and resource allocation policies

#### **b. Staffing and Staff Development**

**Operators must have adequate teaching and supporting staff with the qualities, competence, qualifications and experience necessary for the effective delivery of their programmes.**

Operators may demonstrate that through:

- a) they engage capable teaching staff with appropriate academic, vocational or professional qualifications and occupational experience for their learning programmes;
- b) they have adequate and competent staff to support their educational functions

- and services; and
- c) they have a fair and transparent human resources system including policies such as appointment, appraisal, promotion and termination.

Possible documentary evidence:

- Staff manual
- Indication of anticipated staff-to-student ratios for the planned teaching and learning activities.
- Policies and plans for staff development

**c. Financial and Physical Resources**

**Operators must have adequate financial and physical resources for the delivery of their programmes.**

Operators may demonstrate that through:

- a) they have sound financial policies and practices supported by sufficient financial resources to ensure that students admitted to a learning programme will be fully supported until completion of their studies; and
- b) they have suitable teaching facilities, such as seminar rooms, workshops, laboratories and other instructional facilities for the planned modes of delivery.

Possible documentary evidence:

- Audited accounts, tax return and tax demand note, budget and bank statements
- Description of accommodation and teaching facilities
- Documented approval for the use of premises or facilities which fully comply with statutory requirements of the Government

**d. Quality Assurance (including Programme Development and Management)**

**Operators must (i) develop learning programmes by addressing the needs of the community, employees and employers and aligning them with the GLD of QF; and (ii) monitor and review the performance of all their programmes on an ongoing basis to ensure that the programmes remain current and valid and that the learning outcomes, teaching and learning activities and student assessments are effective.**

Operators may demonstrate that through:

- a) they accurately identify the market need for the programme and prospective student groups;
- b) They undertake consultation with and seek feedback from relevant professional and industry bodies, community groups, student groups and academics;
- c) they set learning outcomes at appropriate QF levels and match them to appropriate standards;
- d) they have in place effective arrangements for regularly monitoring and reviewing the performance of all their programmes;
- e) they ensure that student assessment is valid, reliable, and effective; and
- f) they identify areas for improvement, take actions and make improvements.

Possible documentary evidence:

- A written description or procedure for developing and approving learning programmes
- Terms of reference and membership of relevant external committees or advisory bodies involved in the development, monitoring and review of the learning programmes
- Membership of the management group and the internal committees involved in the development, monitoring and review of the learning programmes
- Copies of quality assurance and continuous improvement policies and procedures
- Details of relevant bodies and individuals consulted during the development of the programmes

## **Appendix 4(b)**

### **Stage 2 – Programme Validation**

To complete *Programme Validation* (PV) successfully, operators have to demonstrate that they have attained the threshold standard of IE in the ten areas enumerated below. According to the guiding principle of ‘fitness for purpose’, the operators may demonstrate that they are meeting the standards by a variety of evidences submitted in the accreditation document.

**a. Financial and Physical Resources for Learning Programmes**  
**Operators must have adequate financial and physical resources for the delivery of their programmes.**

Operators may demonstrate that through:

- a) they have sound financial policies and practices and sufficient financial resources to ensure that they can sustain and further develop the delivery of programmes;
- b) they have suitable teaching facilities, such as seminar rooms, workshops, laboratories and other instructional facilities for the planned modes of delivery;
- c) they have adequate facilities, learning resources, equipment, library resources and access to information technology resources to support effective and independent learning; and
- d) they have access to specialist facilities and equipment required to deliver their programmes.

Possible documentary evidence:

- Initial and annual income and expenditure for the learning programmes
- Description of the accommodation and teaching facilities for the learning programmes.
- A detailed list of the specialist facilities and equipment required to deliver the learning programmes
- An indication of the type and extent of library collection relevant to the learning programmes

**b. Staffing and Staff Development for Learning Programmes**  
**Operators must have adequate teaching and supporting staff with the qualities, competence, qualifications and experience necessary for the effective programme management, planning, delivery and monitoring of their programmes. There must be adequate staff development scheme and activities to ensure that the teaching and supporting staff are kept updated for the quality delivery of the programmes.**

Operators may demonstrate that through:

- a) they engage capable teaching staff with the appropriate academic, vocational or professional qualifications and occupational experience for the learning programmes they deliver;
- b) they have adequate and competent staff to support the educational functions and services they offer;

- c) they have a fair and transparent human resources system including policies such as appointment, appraisal, promotion and termination;
- d) they have effective processes in place to orientate and develop staff in areas relevant to their learning programmes and services; and
- e) their teaching staff adopt a professional approach to their teaching responsibilities, such as, they work to clear and well-structured instructional plans and provide effective guidance, feedback and general supervision of student learning.

Possible documentary evidence:

- A staff manual
- CVs of all teaching staff which include academic and/or professional qualifications, and work experience
- An indication of anticipated staff-to-student ratios for each programme
- Policies and plans for staff development

**c. Programme Objectives and Learning Outcomes**

**The learning outcomes should reflect the stated programme objectives, which are tested through assessment. The evidence from assessments must show that the QF level of the learning outcomes correspond to the GLD and other relevant documents.**

Operators may demonstrate that their learning programmes have:

- a) clearly stated learning outcomes that contribute to the fulfillment of the programme objectives;
- b) adequate formative assessment tools to develop the expected learning outcomes;
- c) adequate summative assessment tools to accurately evaluate students' attainment;
- d) Proposed QF level of the programmes and a rationale as to why the level is appropriate as per the QF Generic Level Descriptors.

Possible documentary evidence:

- Mapping of learning outcomes against Generic Level Descriptors (GLD) and relevant documents
- Samples of formative and summative assessments
- Samples of students' work

**d. Programme Content and Structure**

**The content and structure of the learning programmes must be coherent, integrated and effective in enabling students to achieve the stated learning outcomes and the required standards. The learning outcomes, teaching and learning activities and assessments must be coherent, balanced, enable progression and be pitched at the appropriate level in the QF.**

Operators may demonstrate an integrated programme design and structure setting out:

- a) Proposed title of the learning programmes
- b) Proposed title of qualification

- c) Rationale and the need for the programmes
- d) Programme objectives in terms of educational or occupational outcomes for graduates
- e) Duration of the programmes
- f) Core subjects, any elective subjects/ modules and any pre-requisite or co-requisite subjects/ modules, as appropriate
- g) Learning outcomes for each subject/ module (these should be clear, measurable written objectives)
- h) Modes of study (full-time or part-time)
- i) Delivery methods
- j) Attendance requirements
- k) Planned class or group size for each method of delivery

Possible documentary evidence:

- Definitive course documents
- Samples of teaching material and learning activities
- Samples of assessment material and activities
- A recommended reading list

**e. Admission Requirements and Student Selection**

**The minimum admission requirements for the programmes must be clearly outlined for students and staff. These requirements and the student selection processes must ensure that students enrolling in the programmes have the knowledge and skills to be able to undertake the learning activities proposed in the programmes.**

Operators may demonstrate that through:

- a) they have appropriate admission requirements;
- b) they have appropriate procedures for selecting and enrolling students in the programmes;
- c) they provide prospective and enrolled students with clear, accurate and timely information on the programmes, enrolment details, fees and refund policies, timetabling, assessment arrangements, student rights and responsibilities and support services; and
- d) they have ethical marketing materials and programme promotion practices.

Possible documentary evidence:

- Brochures, prospectuses or website information showing admission requirements and procedures
- Student selection and enrolment procedures
- Data on student recruitment, entry profiles and completion rates

**f. Teaching and Learning**

**The teaching and learning activities designed for the programmes must be effective in delivering the intended learning outcomes and programme content. A range of appropriate teaching methods must be employed to effectively engage students in the learning process.**

Operators may demonstrate that through :

- a) a range of appropriate teaching methods, materials and activities are used to

- deliver the programmes;
- b) the teaching and learning methods employed result in the achievement of the stated learning outcomes;
- c) any employers or other parties who contribute to student learning, such as in industry placement, are effectively engaged in the process and fully informed of their responsibilities.

Possible documentary evidence:

- A description of the teaching and learning methods, sequence of learning and assessment activities, mode of teaching (e.g. lectures, tutorials, laboratories, practical demonstration, work placement, etc.) and contact hours for each mode
- Samples of teaching and learning materials
- A recommended reading list
- Guidance materials for employers or other parties involved in student learning, if relevant

**g. Workplace Attachment and Student Support Services**

**Operators must provide students with clear, accurate information and dependable access to workplace attachment and support services that give students optimum opportunity for successful completion of the programme.**

Operators may demonstrate that through:

- a) they have support services available to students, including orientation for commencing students, assistance in developing learning skills, academic support, support for finding work placement if required, financial planning advice and counselling;
- b) they monitor student under-achievement and provide effective guidance, feedback and general supervision of student learning;
- c) they have fair and consistent policies and procedures for dealing with complaints about academic and disciplinary matters, such as progression, assessment appeals and plagiarism
- d) they have a system in place to incubate workplace attachment and monitor students' performance during attachment.

Possible documentary evidence:

- Student handbook, brochure or website information outlining programme information, support services and relevant student policies
- Procedure for monitoring student under-achievement and evidence of appropriate counseling
- Copy of relevant academic, disciplinary and complaints policies as provided to students
- Memorandum of understanding or agreement with organization/company providing workplace attachment
- Student and supervisor manual for workplace attachment
- Assessment criteria for workplace attachment

**h. Student Assessment**

**Assessments must support effective learning and enable students to demonstrate achievement of the learning outcomes and the required standards. The assessment methods and techniques used for the programmes must be valid, reliable, fair and sufficient to reflect the learning outcomes at the claimed QF levels.**

Operators may demonstrate that through:

- a) Assessment methods and criteria are appropriate to judge the learning outcomes of a subject/ module, for achieving the required standards;
- b) Assessments test knowledge and skills at each stage of the programmes and allow for progressive development of the required outcomes;
- c) Any grading of assessment results is based on clear and valid criteria for different classes of performance;
- d) Reviews of assessment are undertaken to ensure a consistent application of assessment criteria.

Possible documentary evidence:

- An outline of assessment methods and assessment criteria for each subject/ module
- Criteria and guidelines for activity-based assessment
- System of assessment verification or moderation and external examination, as appropriate
- Policies and procedures for grading assessment results (if using graded assessment)
- Samples of assessment materials

**i. Quality Assurance (including Programme Development and Management)**

**Operators must (i) develop learning programmes by addressing the needs of the community, employees and employers and aligning them with the GLD of the QF; and (ii) monitor and review the performance of all their programmes on an ongoing basis to ensure that the programmes remain current and valid and that the learning outcomes, teaching and learning activities and student assessments are effective.**

Operators may demonstrate that their process of programme development, approval, and management:

- a) accurately identifies the market need for the programme and prospective student groups;
- b) includes consultation with and feedback from relevant professional and industry bodies, community groups, student groups and academics;
- c) ensures the setting of learning outcomes at appropriate QF levels, by making reference to relevant documents;
- d) identifies adequate physical and human resources to support the programmes;
- e) ensures that programme content and structure are coherent and appropriate to the specific objectives of the programmes;
- f) ensures that programmes include content necessary to develop understanding and acquisition of knowledge, as well as practical skills and abilities, as stated in the intended outcomes of the programmes;

- g) ensures that programme content and design are informed by recent developments in occupational and professional practice, by current scholarship and by developments of teaching and learning techniques;
- h) effectively monitors and reviews the performance of all their programmes;
- i) ensures that student assessment is valid, reliable, and effective; and
- j) effectively identifies areas for improvement, take actions and make improvements.

Possible documentary evidence:

- A written description or procedure for developing and approving learning programmes
- Details of learning programmes proposed to be offered including projected intake and student numbers
- Terms of reference and membership of relevant committees or advisory bodies involved in the development of the programmes
- Details of relevant bodies and individuals consulted during the development of each individual programme
- Indications of support for the proposed programmes from external bodies and from any relevant internal bodies or committees
- Terms of reference and membership of course review committee
- Consultation reports from external examiner, external advisor and employers.

**j. Student Records and Information Management**  
**Operators must have effective administration and management systems and procedures in place to ensure integrity, security, accuracy and currency of their record.**

Operators may demonstrate that through:

- a) they have effective systems and procedures to collect and maintain information on student enrolments, fees paid, student progress and results, qualifications issued, learning programmes, staff qualifications, employment records and other data as needed, in a secure and confidential manner;
- b) they have systems for verifying student admission information and staff qualifications and experience; and
- c) they engage competent staff to manage their administration and records management systems.

Possible documentary evidence:

- Documented administration and record-keeping procedures
- Sample forms such as enrolment forms, class results forms or certificates
- Actual records of student enrolments, student assessments, qualifications issued, staff CVs and verified qualifications
- CVs and statement of duties of key administration staff

**Institutions with HKCAA IR status (as at May 2008)**  
持有有效「院校評審」資格的營辦者名單（截至 2008 年 5 月）

		Specific QF levels 所屬資歷級別
1	Caritas Bianchi College of Careers 明愛白英奇專業學校	1-4
2	Caritas Francis Hsu College 明愛徐誠斌學院	1-4
3	Chu Hai College of Higher Education 珠海學院	1-5
4	Hang Seng School of Commerce 恆生商學書院	1-4
5	Hong Kong Art School 香港藝術學院	1-4
6	Hong Kong College of Technology 香港專業進修學校	1-4
7	Hong Kong Central College 香港中伸書院	1-4
8	The Hong Kong Institute of Education* 香港教育學院*	1-5
9	Hong Kong Institute of Technology 香港科技專上書院	1-4 (for local programmes only/ 只適用於本地進修 課程)
10	Kung Lee College – The Hong Kong Council of Church of Christ in China 公理高中書院	1-4
11	The Hong Kong Management Association College of Further Education 香港管理專業協會持續進修書院	1-3 (for local programmes only/ 只適用於本地進修 課程)
12	Vocational Training Council (VTC) Hong Kong Institute of Vocational Education 職業訓練局香港專業教育學院	1-4
13	VTC School of Business and Information Systems 職業訓練局工商資訊學院	1-4
14	VTC Training and Development Centres 職業訓練局訓練及發展中心	1-3
15	Yew Chung Community College 耀中社區書院	1-4

- \* Except teacher education programmes which are self-accredited by the HKIEd.
- \* 香港教育學院之教師培訓課程為自行評審之課程

**Operators with HKCAAVQ IE status (as at May 2008)**  
**獲得「初步評估」資格的營辦者**  
**(截至 2008 年 5 月)**

Specific QF levels  
所屬資歷級別

1	Pivot Point College Hong Kong 標榜髮型美容教育學院	1 - 3
2	Hong Kong Confederation of Trade Unions Training Centre 香港職工會聯盟培訓中心	1 - 3
3	Wella Hong Kong Limited 威娜香港有限公司	1 - 3
4	Hong Kong Hair Dressing & Make-Up Trade Workers General Union 香港理髮化妝業職工總會 (美髮美容培訓中心)	1 - 3
5	DKSH Hong Kong Ltd 大昌華嘉 (香港) 有限公司	1 - 3
6	Monita Hair & Beauty Academy 蒙妮坦美髮美容學院	1 - 3
7	Fardia Hair & Beauty Education Centre 胡芬妮髮型美容教育中心	1 - 3
8	Leo Hair & Beauty Training Center 麗奧美髮美容訓練中心	1 - 3
9	FTU Employment Development Service Limited 工聯會職業發展服務處有限公司	1 - 3
10	Hong Kong Employment Development Service Limited 香港職業發展服務處有限公司	1 - 3
11	The Hong Kong Association of Hair Design 香港髮型協會	1 - 3
12	Hong Kong College of Technology 香港專業學校	1 - 3
13	New Territories Association Retraining Centre Ltd. 新界社團聯會再培訓中心有限公司	1 - 3
14	Vocational Development Programme Office (VDPO) of the VTC Youth College (YC) 職業訓練局青年學院職業發展計劃辦事處	1 - 3

15	Caritas Community and Higher Education Service 明愛社區及高等教育服務	1 - 3
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**Schedule 1 of Non-local Higher and Professional Education (Regulation)**

**Ordinance**

**非本地高等及專業教育(規管)條例(附表一)**

<b>Item 項</b>	<b>Local Institutions of Higher Education 本地高等教育機構</b>
1.	Hong Kong Shue Yan University registered under the Post Secondary Colleges Ordinance (Cap 320) 根據《專上學院條例》(第 320 章)註冊的香港樹仁大學。
2.	Lingnan University established by the Lingnan University Ordinance (Cap 1165) 由《嶺南大學條例》(第 1165 章)設立的嶺南大學。
3.	The Hong Kong Institute of Education established by The Hong Kong Institute of Education Ordinance (Cap 444) 由《香港教育學院條例》(第 444 章)設立的香港教育學院。
4.	University of Hong Kong established by the University of Hong Kong Ordinance (Cap 1053) 由《香港大學條例》(第 1053 章)設立的香港大學。
5.	The Hong Kong Polytechnic University established by the Hong Kong Polytechnic University Ordinance (Cap 1075) 由《香港理工大學條例》(第 1075 章)設立的香港理工大學。
6.	The Chinese University of Hong Kong established by The Chinese University of Hong Kong Ordinance (Cap 1109) 由《香港中文大學條例》(第 1109 章)設立的香港中文大學。
7.	Hong Kong Baptist University established by the Hong Kong Baptist University Ordinance (Cap 1126) 由《香港浸會大學條例》(第 1126 章)設立的香港浸會大學。
8.	City University of Hong Kong established by the City University of Hong Kong Ordinance (Cap 1132) 由《香港城市大學條例》(第 1132 章)設立的香港城市大學。
9.	The Hong Kong Academy for Performing Arts established by The Hong Kong Academy for Performing Arts Ordinance (Cap 1135) 由《香港演藝學院條例》(第 1135 章)設立的香港演藝學院。
10.	The Hong Kong University of Science and Technology established by The Hong Kong University of Science and Technology Ordinance (Cap 1141) 由《香港科技大學條例》(第 1141 章)設立的香港科技大學。
11.	The Open University of Hong Kong established by The Open University of Hong Kong Ordinance (Cap 1145) 由《香港公開大學條例》(第 1145 章)設立的香港公開大學。