香港學術及職業資歷評審局
Hong Kong Council for Accreditation of
Academic & Vocational Qualifications

# GUIDELINES ON INSTITUTIONAL REVIEW

# FOR THE PURPOSE OF SEEKING CAP 320 REGISTRATION

**Version 1.2**

**October 2010**

# LIST OF CONTENTS

## 1.     PREAMBLE

1.1     The Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) is established under the HKCAAVQ Ordinance (Cap. 1150) as a statutory body responsible for conducting accreditation activities generally or as authorized under any other local enactment. In particular the HKCAAVQ has the statutory powers to perform the roles of the Accreditation Authority and Qualifications Register (QR) Authority under the Accreditation of Academic and Vocational Qualifications Ordinance (Cap. 592).

1.2     These Guidelines are for the use of educational institutions planning to undergo an Institutional Review (IR). This IR is an accreditation exercise for establishing evidence of an institution's competence to operate programmes at Bachelor degree level while meeting the standards at QF level 5 in accordance with Schedule 3 of Cap. 592 and for the purpose of seeking registration under the Post Secondary Colleges Ordinance (Cap. 320).

1.3     These Guidelines are by no means exhaustive. The Guidelines also supersede any prior guidance notes, other guidelines or handbook that the HKCAAVQ or the former Hong Kong Council for Academic Accreditation (HKCAA) has published or issued previously regarding related accreditation matters.

1.4     Accreditation work is done through a panel formed by the HKCAAVQ pursuant to the principle of 'peer review'. The panel will make reference to these Guidelines but will have the right to make judgments according to the panel members' expertise and the purpose of the accreditation and in accordance with the objectives of the institution under review.

1.5     Whilst the HKCAAVQ endeavours to ensure the accuracy of the information contained herein, the HKCAAVQ reserves the right to delete, suspend or edit all information at any time in its absolute discretion without giving any prior notice. To obtain the most up-to-date information, users may look up the electronic version of these Guidelines from the homepage of HKCAAVQ at **www.hkcaavq.edu.hk**.

## 2.     OVERVIEW OF THE ACCREDITATION PROCESS

### 2.1     Guiding Principles of the Accreditation Exercise

2.1.1.  The HKCAAVQ adopts the following four guiding principles for accreditation:
   - ➤     Peer review
   - ➤     Fitness for purpose
   - ➤     Evidence-based
   - ➤     Threshold standard

2.1.2   The principle of 'peer review' is to engage academic/professional experts who have the expertise and experience in institutional governance/management of academic institutions and/or quality assurance. The role of the panel is to assess the capability and capacity of the institutions, collect and evaluate evidence and form a judgment as to whether the institutions meet the required standards and stated aims. The HKCAAVQ has full authority in making decisions on the membership of the accreditation panel for a particular exercise, after seeking views from the institution concerned on any perceived conflict of interests of the potential panel members. The accreditation panel will include a HKCAAVQ professional staff member, in the capacity of member and secretary of the panel.

2.1.3   'Fitness for purpose' means that institutions are accredited against threshold standards and based on their stated aims and objectives. As institutions are different in size, complexity in operation and scope of expertise, the accreditation process will take these differences into account.

2.1.4   The accreditation process is evidence-based. Accreditation decisions are to be made with reference to evidence provided by institutions to support their claim that they meet the threshold accreditation standards and their own objectives. Judgment will be made independently of any other previous accreditation determination made about the same institution**.**

2.1.5   The accreditation process is conducted based on threshold standards. For an IR exercise, this means that assessment is based on the minimum criteria provided in Section 3 of these Guidelines. Whenever considered appropriate and necessary during the course of an assessment against the stipulated criteria, reference will be made to the requirements in Schedule 3 (paragraph 1) of Cap. 592.

### 2.2     Terms of Reference and Service Agreement

2.2.1   The purpose and scope of an accreditation exercise is defined by the terms of reference as agreed between the institution and the HKCAAVQ, stipulated in a

service agreement to be signed by both parties. The terms of reference of this IR exercise are to:

a)   ascertain whether the institution has an overall academic environment suitable for the delivery of programmes at Bachelor degree level at QF Level 5; and

b)   assess the institution's abilities to comply with the academic requirements for the purpose of registration as a Post Secondary College under Cap. 320.

2.2.2   The IR exercise will call for substantial evidence from the institution which should demonstrate a high level of institutional maturity in the development and implementation of a sound institutional structure and processes, financial resource and academic planning, appropriate staffing and quality assurance mechanisms for the planning, delivery and continuous improvement of degree-level programmes.

2.2.3   It is to be noted that the authority for registration under Cap. 320 rests with the Permanent Secretary for Education who may take into account the outcome of the IR accreditation report and other considerations as he deems necessary. A Post Secondary College registered under Cap. 320 may with the prior approval of the Chief Executive in Council award degrees; and award diplomas and certificates.

## 2.3   Accreditation Document

2.3.1    The institution should make reference to the terms of reference of the IR exercise and these Guidelines in preparing a comprehensive, self-evaluative and up-to-date accreditation document for the IR exercise.

2.3.2   The HKCAAVQ will conduct an initial screening to ascertain whether sufficient documentary evidence has been included in the accreditation document to enable the Panel to assess the readiness of the institution to proceed with the IR visit. If necessary, the institution may be requested to provide additional information by a stipulated deadline before the Council proceeds with further planning of the IR visit. The responsibility for information and evidence provision rests with the institution.

2.3.3   The accreditation panel will conduct a preliminary examination of the accreditation document which will form the basis of the on-site accreditation visit(s) to the institution. If the panel advises the HKCAAVQ that the information in the document is insufficient and/or that the state of readiness of the institution is such that it is unlikely that it will be possible to conduct a meaningful accreditation exercise within the scope of the terms of the reference of the exercise, the HKCAAVQ may decide **not** to conduct the on-site visit as

planned. Should this be the case, the accreditation exercise in question will be terminated. The HKCAAVQ will advise the institution of deficiencies in the submission. In the event of a termination of accreditation service, the institution may submit a fresh application for accreditation when ready. That application will be considered as a new accreditation exercise which will be charged at the prevailing fee level to be stipulated in a separate service agreement.

## 2.4    Preparation for Accreditation

Self-Evaluation

2.4.1    Accreditation is conducted by the HKCAAVQ on the assumption that the institution concerned is involved in a continuous process of self-evaluation. In preparation for accreditation, an institution should undertake an internal self-evaluation for the purpose of assessing its own readiness to meet the intended purpose of the exercise and undertaking any necessary reforms and changes to any aspects of institutional structure and processes, quality assurance    or resource planning.

2.4.2    The process of self-evaluation should be a constructive one, and should enable the institution to identify its own strengths and weaknesses having regard to the terms of reference of the exercise. The preparatory/self-evaluation stage can be shorter or longer depending on the circumstances of the individual institution, its stage of readiness, its plans for programme development, and the internal procedures adopted etc. The higher the level of preparedness, the greater the benefit of accreditation process.

2.4.3    The institution's self-evaluation should be undertaken by the existing personnel of the institution, with input from external stakeholders as appropriate. It is, however, important that the process should involve not only the senior management and senior members of staff but also other members of staff who will be affected by the changes brought about by the accreditation or the programme plans. It is also a good practice to involve advisers, students and other stakeholders, such as employers, in the self-evaluation.

## 3.    CRITERIA OF AN INSTITUTIONAL REVIEW

3.1    In an IR exercise, the HKCAAVQ is to determine whether the institution concerned has put in place a well-managed academic community, embracing all members of staff, guided by carefully formulated academic development plans, staffing and resource plans, with systematic and transparent processes including processes for the delivery and quality assurance of study programmes at Bachelor degree level and meeting QF standards at level 5.

3.2     The HKCAAVQ panel will consider the following criteria at the institutional level:

(i)      Governance, Management and Institutional Structure
(ii)     Academic Plans
(iii)    Programme Approval, Monitoring and Review
(iv)     Staffing
(v)      Staff Development
(vi)     Students Admission
(vii)    Students Services and Student Records
(viii)   Quality Assurance
(ix)     Resources

which are detailed in ANNEX 1. The criteria were developed by including considerations of the academic requirements of Cap. 320 which are listed in ANNEX 2 and any relevant regulations contained in Cap. 320A. When assessing whether a criterion has been met, the panel may also make reference to Schedule 3 (paragraph 1) of Cap. 592 and other prevailing policies and regulations from the Government, if considered appropriate and necessary.

3.3     Institutions should make reference to the 'Key Issues to be Considered' and 'Documentary Evidence' provided in ANNEX 1 when preparing their accreditation document, bearing in mind that these may not be exhaustive. An institution may include other information as it deems relevant to the purpose of the IR exercise.

## 4.    OUTCOME OF THE INSTITUTIONAL REVIEW

4.1    The HKCAAVQ's determination, based on the accreditation panel's recommendations, will be one of the following:

    (i)    The institution has met the accreditation criteria and can be granted HKCAAVQ IR status without any pre-conditions and/or requirements; or

    (ii)    The institution will have met the accreditation criteria and can be granted HKCAAVQ IR status, upon the fulfillment of pre-conditions and/or requirements; or

    (iii)    The accreditation criteria are not met.

Upon granting of the IR status, an institution will be considered as:

    a)    having an overall academic environment suitable for the delivery of programmes at Bachelor degree level at QF Level 5; and

    b)    having demonstrated the abilities to comply with the academic requirements for the purpose of registration as a Post Secondary College under Cap. 320.

The HKCAAVQ IR status, if granted, will have a validity period normally of five years. Within the validity period, the institution can apply to have a Bachelor degree learning programme validated under Programme Validation by the HKCAAVQ. If an institution continues to have its Bachelor degree learning programme(s) validated by the HKCAAVQ, the IR status does not expire.

4.2    It is the responsibility of the institution to inform the HKCAAVQ of any significant changes which might have an impact on its competency to continue to meet the accreditation criteria. In case of doubt, the institution should consult the HKCAAVQ on the need for seeking approval on substantial change(s) as soon as feasible.

4.3    Upon registration under Cap. 320, it is also the responsibility of the institution to inform the Education Bureau of any substantial change which may affect the continued compliance of any registration requirements stated in Cap. 320 or Cap. 320A.

## ANNEX 1: CRITERIA OF AN INSTITUTIONAL REVIEW

Institutions should make reference to 'Key Issues to be Considered' and 'Documentary Evidence' contained herein, (bearing in mind that these may not be exhaustive) in preparing a self-contained accreditation document. The institutions may also include all other relevant document and information relevant to the terms of reference of the exercise. Template for preparation of some of the quantitative information is at ANNEX 3. The Accreditation Document should as a minimum include the 'Documentary Evidence' which is marked with a * in this Annex.

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### 1. Governance, Management, and Institutional Structure

The institution should have a governing body whose composition should have appropriate representation to ensure satisfactory academic and general standards and conduct; and the authority and duty to ensure that the mission of the institution is implemented. The governing body should be an active policy-making group which is ultimately responsible for making management and academic decisions, for ensuring sufficient resources for viable and sustainable development of the institution on an on-going basis.

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Key Issues to be Considered

☐ What is the role of the institution in Hong Kong in terms of its mission/objective and philosophy?

☐ What are the structure of the governing body and its terms of references? Is the governing body effective in guiding the development of corporate, management and academic policies?

☐ Are there other senior management teams or committees responsible for the governance of the institution? What are the committees' terms of reference and composition? What are the policies to guide the operation of the institution?

☐ Are the management committees and boards properly accountable?

☐ Is the management structure effective?

☐ Does the institution have adequate processes for internal review?

☐ Are there appropriate management tools for decision-making?

Documentary Evidence

☐ The regulations, statutes or other instruments that govern the institution.*

☐ Institutional mission and vision statements and strategic plans) for the next 3 to 5 years*.

☐ Terms of reference, composition and membership of the governing bodies, the academic board and major committees responsible for academic/management/finance decisions.*

☐ Minutes of regular meetings of the various governing groups/committees.

☐ Duty statements of the senior management/personnel.

☐ Procedures for appointment and dismissal of members of the governing body.

## 2. Academic Plans

The institution should have an appropriate academic plan as well as an operating plan and evaluation processes, which identify and integrate projected educational development and incorporate procedures for development of outcomes-based learning programmes in line with the QF, new work and organisational improvement.

Key Issues to be Considered

☐  Are academic development plans guided by institutional philosophy or mission?

☐  Is there a systematic and integrated approach to academic and resource decisions?

☐  Is academic planning responsive to the changes in institutional profile and educational philosophy and vice versa?

☐  Are there opportunities for staff and students to contribute and participate in the evolution of academic plans?

☐  Are there mechanisms to allow input from the academic/professional community external to the institution?

☐  What strategies and mechanisms are in place to develop learning programmes at Bachelor degree level (at QF level 5).

Documentary Evidence

☐  Academic plan for the next 3 to 5 years (detailed academic development proposals for the proposed programmes, including projected student intake, projected staffing and resource plans, projected sources of income).*

☐  Long-term academic development plans (long term plans to develop into new areas, changes to level or nature of programmes in tandem with planned, changes to structure/governance/ financial basis of the institution etc).

☐  Information on the process in the formulation of academic plans, in particular how the academic planning process is augmented by resource planning.

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**3. Programme Approval, Monitoring and Review**

The institution should have well defined policies and academic regulations governing the approval of new programmes and the continuous monitoring and review of existing programmes. The mechanisms should ensure that the programmes will meet a community need and the intended outcome standards at appropriate QF levels and are subject to continuous review of their effectiveness. All stakeholders should have the opportunities to contribute and/or participate in the academic decision-making processes. These stakeholders include academic and non-academic staff of the institution, students, government administrators, associates from industry and professional bodies, external advisers and examiners, and the wider community.

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Key Issues to be Considered

☐  What are the policies and procedures for programme approval, determination of outcome standards and QF level, monitoring, management and review?

☐  What are the processes to determine that the proposed programme will meet a community need?

☐  Through what means do the academic staff make a full contribution to the design and development of new course and programmes?

☐  What are the institutional policies on the structure and requirements of programmes?

☐  What are the processes for benchmarking the outcome standards of proposed programmes, including benchmarking against the QF Generic Level Descriptors (GLD)? How is the effectiveness of these processes being reviewed?

Documentary Evidence

☐  Institutional policy and procedures on programme design. (including structures, personnel & processes for approval/validation of programme proposal and mapping against the QF GLD)*

☐  Academic policies and regulations relating to curriculum design (e.g. credit and weighting), assessment, progression, graduation, grading system, disciplinary actions and appeal mechanism.*

☐  Institutional processes for the monitoring and review of programmes. (including the review of learning resources to support the delivery of the programmes)

☐  Processes in internal and external benchmarking of outcome standards of the programmes, including benchmarking against the QF GLD.

☐  Analysis to demonstrate that the proposed programmes serve a community need.

☐  Statements on roles/duties of departmental heads, course team leaders etc.

☐  Membership structure and terms of reference of advisory committees, external advisers.

☐  Evidence of the work of boards/committees/departments pertaining in particular to the planning of academic programmes, such as programme evaluation reports and minutes of meetings.

## 4. Staffing

The institution should have a clear staff employment and development policy readily accessible by existing and potential employees. It should also have a medium-term to long-term staffing plan that fits its current and planned purposes. There should be sufficient number of academic staff with appropriate qualifications and experience to provide effective teaching and educational services. Administrative, counseling and academic support staff should be adequate with appropriate background and qualifications teaching courses at degree level and to support the development of the institution and to ensure effective delivery of its educational services.

Key Issues to be Considered

☐ What are the staffing strategies of the institution and how do they support the attainment of the institution's strategic goals?

☐ Are there established mechanisms, criteria, and processes for the appointment, appraisal, and promotion of staff? Do these processes involve appropriate personnel at different levels? Are these mechanisms and criteria transparent to all staff?

☐ Is there an appropriate staffing structure with competitive remuneration package and terms of service to attract, retain and motivate qualified staff members?

☐ Is the staffing situation in the institution healthy and robust to sustain its present activities and long-term development?

☐ Are academic staff qualified and experienced to teach at degree level and / or higher education studies as appropriate?

☐ Is there appropriate academic leadership?

☐ Is there a sufficient pool of full-time staff to provide the appropriate level of teaching, tutoring and counselling for students?

☐ Is there a sound system to ensure the quality of part-time academic staff?

☐ What are the quality criteria for the teaching staff and how are they monitored and maintained?

☐ Are administrative, counseling and academic support staff qualified and experienced to meet its stated purposes?

Documentary Evidence

☐ Staffing plans for the coming three to five years in tandem with the institution's Strategic Plan and Academic Plan.*

☐ Information on procedures and criteria for the appointment, appraisal, promotion and dismissal of staff. The membership and terms of reference of any boards/committees involved.

☐   Current and planned staff establishment (academic and administrative staff). Staff student ratio (for academic/teaching staff). Number and percentage of academic staff at different ranks holding higher (master/doctoral) degrees by discipline.

☐   Policy on teaching load in terms of assigned teaching duties, teaching duty weighting (e.g. any factor to account for new subjects taught in comparison with repeated subject teaching) and administrative/counseling/mentoring/student service responsibility. Actual teaching duty assignment to each academic staff by subject by programme and by level of study as well as their other responsibilities (including academic leadership) should also be included.

☐   Name list by post and current CVs of all academic staff (full-time and part-time) of the institution. The CVs should include qualifications, teaching and other work experience, publications and scholarly activities. *

☐   Number and ratio of full-time and part-time academic staff and other staff. *

☐   Remuneration and conditions of service of staff for each rank.

☐   List of administrative / support staff and their duty statements.

☐   Staff Handbook.*

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### 5. Staff Development

The institution should actively encourage and facilitate its academic staff to engage in scholarly and professional activities, including publications, higher degree studies, academic exchange, conference participation, research and consultancies, and other forms of professional development. There should be institutional policies requiring academic staff to involve in developmental activity which could contribute to the teaching function. Other staff members should also be encouraged to develop their expertise in respective areas of responsibilities via appropriate scholarly and professional activities that will contribute to the institutional development.

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Key Issues to be Considered

☐   What are the institutional policies and measures for providing orientation/training to existing staff/newly appointed staff?

☐   Does the institution encourage scholarly and developmental activity, including research and innovation?

☐   Are there staff development policies to ensure that staff are appropriately trained/ upgraded? What incentives are given to staff? What is the staff's record in this respect?

☐   Does the institution encourage consultancy and collaboration with industry and/or professional collaboration with local and non-local operators of higher education in research and development work?

☐   How is developmental activity used to the benefit of the students and the development of the programmes/the institution?

☐   Do staff members have an avenue for influencing staff development policies?

Documentary Evidence

☐   Institutional policy on staff engagement in scholarly / professional activities and staff development.*

☐   Forms of institutional support for staff development and scholarly activities (policies for research grants, study leave, financial and other support; procedures and criteria for application).

☐   Lists of selected publications of staff.

☐   Structures/committees/personnel having a responsibility for formulating policies and implementation of policies on staff development/research and scholarly activities.

☐   Staff development activities, e.g. training workshops etc.

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### 6. Students Admission

The institution should have published student admission policies on the conditions as to age and attainment of students qualifying for admission. The admission requirements should be in line with the relevant prevailing local admission requirements. These policies should be compatible with its stated purpose having regard to the maintenance of standard, facilities available and community needs.

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Key Issues to be Considered

☐ What are the admission requirements and what is the level of compliance with the admission requirements?

☐ How are the students selected for entry to the institution and programmes?

☐ How the resource support and community need have been taken into consideration with due regard in the student number projections for the proposed programmes?

Documentary Evidence

☐ Student admission policy, detailing entry qualifications and language proficiency requirements, if any.*

☐ Credit transfer and exemption policy (including policy on advanced standing and the rules governing the acceptance of prior qualifications).

☐ The process of student admission.

☐ Non-standard routes of entry and the allowable percentage of these.*

☐ Planned student numbers of proposed programmes for the next 3 years.

☐ Remedial / bridging courses for students admitted through the non-standard routes of entry.

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### 7. Students Services and Student Records

The institution should have policies and regulations governing students' rights and responsibilities, and should have provision for student facilities/services, pastoral care and counselling services, as well as learning support.

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<u>Key Issues to be Considered</u>

☐  How are students guided in relation to their academic programmes and learning experience with the institution?

☐  What are the standards of student counselling, financial assistance, career advisory, and recreational and other communal facilities/services and life skills development?

☐  Are student records accurate, up-to-date and readily accessible to students and their advisers? Records should show clearly each student's academic requirements and the student's progress toward meeting those requirements.

☐  Are there adequate provisions being made for the encouragement of corporate and social life and for recreation?

<u>Documentary Evidence</u>

☐  Description of facilities available for students including learning support and recreation facilities.

☐  Description of any pastoral guidance/counselling services.

☐  Description of the provisions and means to encourage corporate and social life of students and for recreation.

☐  Regulations on student discipline, appeal system etc.

☐  Student Handbook.*

☐  Student records including student data, attendance records, academic reports, transcripts and certificates.

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## 8. Quality Assurance

The institution should have clear policies or procedures to monitor the quality of its activities and quality and standards of its programmes. The institution should have mechanisms in place to ensure that these procedures are effective for maintaining quality of its activities and effective and appropriate for maintaining the programme at the outcome standards befitting the qualification. These policies and procedures should be approved through appropriate institutional processes, be published in documents accessible to those affected by the policies and procedures, and be implemented and enforced by the institution.

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Key Issues to be Considered

☐ What are the institutional policies and processes for monitoring the quality of the institution's educational provisions and the effectiveness of its operation?

☐ Are there internal processes and systems for new proposal, for regular review and for change to programmes?

☐ Are there mechanisms and processes to obtain feedback from students on the quality of teaching and on programmes, student support and facilities? Are there mechanisms whereby these feedbacks are acted upon for the improvement of teaching and the enhancement of programmes?

☐ Are there processes for collating feedback from staff/external advisors/external examiners/employers and do processes exist for action to be taken and results to be monitored?

☐ Are there senior personnel or committees that take responsibility for the monitoring, control, review and continuous enhancement of the quality of programmes and its educational services?

☐ If past reviews had been conducted, has the institution taken account of advice given or recommendations made following these past reviews (either internal or external)?

Documentary Evidence

☐ Quality Assurance Policy. *
☐ Quality Assurance Handbook.*
☐ Information    on    structure    and    terms    of    reference    of committees/boards/departments involved in the approval/validation/ re-validation and changes of programmes, and their monitoring.
☐ Terms of reference of any external bodies invited to advise on quality issues of the institution External bodies may include external advisors/external examiners/external advisory committees, consultants, etc. Profile of serving members and their contribution to ensuring the quality of programmes.
☐ Appointment criteria for external advisors and external examiners.

☐ Evidence of the work of these structures/committees such as programme review reports/records of meetings.

☐ Composition of Boards of Examiners.

☐ Description of the types of processes used in collecting feedback from various stakeholders (e.g. staff, students, graduates, employers) and monitoring of quality, e.g. student questionnaires, student representation on committees etc. Samples of analysis reports of the feedback obtained, and samples of external advisors/external examiners' reports. Records of follow-up actions taken.

☐ Description in processes in ascertaining the standard of instructions and the final examination standards.

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## 9. Resources

The institution should have an adequate financial and physical resource base to support its programmes of study at an acceptable level of quality on a continuing basis. The institution should provide financial resource plans which can demonstrate adequate resource support for the planned programmes of study and planned student numbers. Such resource plan should include consideration of adequate and appropriate campus space, equipment, laboratories, library and general facilities for effective teaching and learning.

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Key Issues to be Considered

☐ Are there sufficient and appropriate financial and physical resources to support teaching and learning? Are spaces, equipments, library resources, information technology, student services at the appropriate level and sufficiently up-to-date?

☐ Are there established mechanisms for staff and students to propose changes to resource provision?

☐ Is resource administration and management of an appropriate standard?

☐ Are there suitable office accommodation and facilities for staff?

☐ Are the estimates of recurrent expenditure sufficient and apportioned appropriately? Do they match the future development of the institution?

☐ Does the institution have a contingency plan in place including strategies for termination of programmes and a sufficient financial reserve?

Documentary Evidence

☐ A brief description of the institution's present and projected accommodation with specific details, listing classrooms, lecture theatres, office and so on, in terms of quantity, usable floor area and capacity (e.g. for teaching facilities – the number of students housed per session), opening hours and timetabling slots per day per week, layout plans, accommodation lease validity for lease premises as reflected in tenancy agreement, etc.

☐ An outline of various aspects of resources e.g. classroom facilities, computers, library holdings, student amenities and other equipments and facilities, student learning portal? etc, which should include the quantity/capacity and the rationale for such provision in tandem with the institution's operation and developmental plan.

☐ Planned increases to any of the resources, in particular in respect of proposed programmes.

☐ Budgeted facility upgrading and replenishing plans and evidence of support by the governing body.

☐ Procedures for input of staff/student views on resources e.g. acquisition of books.

☐ Audited financial statements for the most recent 3 years, and/or evidence of start-up funds.

☐ Budgets and estimates for the next 3 to 5 years.

☐ Management information such as unit cost per student at programme level and at institutional level, tuition fee per programme, breakeven number per programme, breakeven number at institutional level, direct cost and indirect cost, planned student enrolment including FTE for the next 3-5 years by programme by year of study and by mode of study, planned attrition rate by programme, employment and articulation rate, etc.

☐ Contingency Plan

## ANNEX 2: ACADEMIC REQUIREMENTS STIPULATED IN THE POST SECONDARY COLLEGES ORDINANCE (CAP 320)

HKCAAVQ in its capacity as an academic accreditation body will be able to evaluate through the Institutional Review whether an education institution has an overall appropriate academic structure and environment and the Council is therefore able to offer advice on the fulfillment of the following academic requirements listed in Cap 320 Section 4:

a.     The composition of the Board of Governors, College Council and teaching staff being such as to ensure satisfactory academic and general standards and conduct;

b.     The constitution, statutes or other instruments which govern the Post Secondary College;

c.     The courses offered being suitable in all respects for Post Secondary Colleges meeting a community need and including major courses extending over at least four years;

d.     The equipment, laboratories, library and general facilities being adequate for the courses offered;

e.     The number, qualifications, remuneration and conditions of service of the Post Secondary College staff;

f.     The premises being adequate for the purposes of a Post Secondary College and being in all ways suitable (and safe for such purposes), but the Council is not to comment on whether the campus 'is safe' for the intended purpose. [Note 1]

g.     The conditions as to age and attainments of the students qualifying for admission, the standard of instruction and the final examination standards;

h.     The number of students being admitted having regard to the maintenance of status and standards, facilities available and community need;

i.     Adequate provision being made in the Post Secondary College for the encouragement of corporate and social life and for recreation;

j.     The finances of the Post Secondary College (based on an assessment of the institution's financial viability and the provisions of physical resources to support the programmes). [Note 2]

Note:

1.     The Council is not to comment on whether the campus 'is safe' for the intended purpose.

2.     The Council can advise on matters pertaining to the finances of the college based on an assessment of its financial viability and the provisions of physical resources to support the programmes.

The Council **<u>will not</u>** provide advice on the fulfillment of the following non-academic requirements listed in Cap 320 Section 4:

a.      Students being admitted without favour being shown on grounds of race, nationality or religion save where on the application of the Post Secondary College the Permanent Secretary approves of an exception in favour of a class of persons holding a particular religious faith; (Amended 3 of 2003 s.25)

b.      The Post Secondary College being free from affiliation with or control by any government other than the Government of the Hong Kong Special Administrative Region or any organisation outside Hong Kong or any political group and the students, teachers and officers refraining from political propaganda and from any undesirable political activity and from any other activity whatsoever which the Permanent Secretary considers inimical to the interests of the College; (Amended 53 of 2000 s. 3; 3 of 2003 s. 25)

c.      The legal status of the Post Secondary College which shall be a corporation unless other arrangements are made, to the approval of the Permanent Secretary, for the proper discharge of legal obligations and safeguarding of rights of the Colleges; (Amended 3 of 2004 s. 25)

d.      The College complying in all respects with the provisions of this Ordinance.


Furthermore, the Education Bureau has confirmed that the institutions seeking registration under Cap 320 are <u>not required</u> to offer 4-year degrees at the time an application for registration under Cap 320 is lodged. The requirement is that the provider has a plan to offer 4-year degree programmes.

## ANNEX 3: TEMPLATE FOR PREPARATION OF QUANTITATIVE INFORMATION

**Important notes:**

This first level of information will enable a quick overview of the institution by the Panel. Gross figures will be sufficient. The institution is at liberty to provide other information or to qualify information submitted with explanatory notes. The Panel may also request other additional information and documents for the purpose of the accreditation exercise.

If the institution is newly established without any operational record, estimated or planned figures are acceptable.

**Institutional Level Report**

| | Academic Year x-3 | Academic Year x-2 | Academic Year x-1 | Academic Year x ** | Academic Year x+1 |
|---|---|---|---|---|---|
| Student enrolment (Headcount) | | | | | |
| Student enrolment (FTE) * | | | | | |
| | | | | | |
| Income | | | | | |
| Tuition fee | | | | | |
| Other income | | | | | |
| Total Income | | | | | |
| Expenses | | | | | |
| Staff costs (all inclusive except staff development and training) | | | | | |
| Staff development and training | | | | | |
| Accommodation, facility and equipment (all inclusive except library provision) | | | | | |
| Library provision | | | | | |
| Other expenses | | | | | |
| Total expenses | | | | | |

*Note:*
*       *Full-time equivalent.*
**       *"Year x" refers to current year.*