

6. Explanatory Notes (For IE)

Disclaimer: The explanatory notes are intended to help Operators to fill in the necessary information in the Submission Forms. Examples provided here demonstrate possible ways of presenting the evidence and are not meant to be exhaustive. The Accreditation Panel will evaluate the evidence with respect to the particular circumstances of the Operator.

Initial Evaluation

Domain: IE-1 Organisational Governance and Management

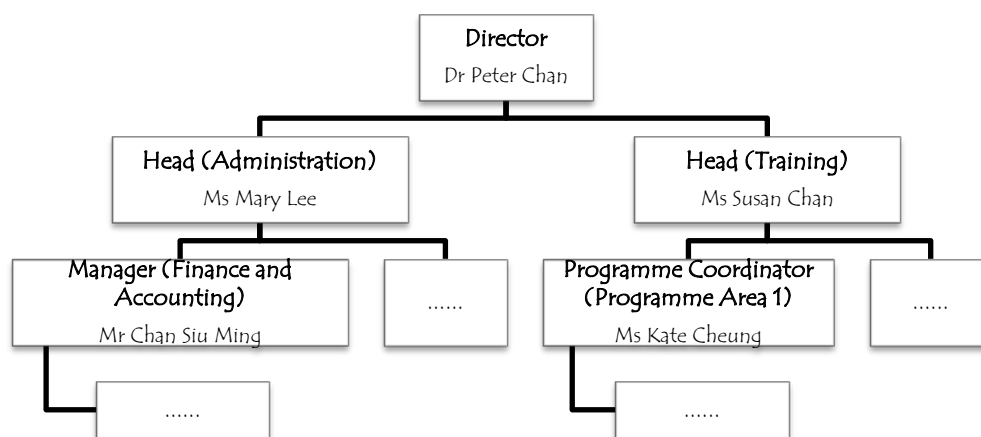
- 1.1:** Operators may provide the information according to the Business Registration, if applicable.
- 1.2-1.3:** Please choose the most appropriate answer(s) according to the nature of operations.
- 1.4:** If the Operator is a branch or a department/unit of an organisation, please provide the vision and mission of the branch or a department/unit.
- 1.5:** The information is for understanding the scale and nature of Operators' training and education services.

- 1.6-1.7:** It is to provide basic information on learning services offered by the Operators, below is an example of the presentation format:

| | |
|---|--|
| Year of establishment of the Operator | 2008 |
| Commencement year for operating learning programmes | 2008 |
| Number of learning programmes being operated | 3 |
| Area(s)/sub-area(s) of study / Industr(ies) involved | IT programmes |
| Target learners of existing programmes | F.3 school leavers without work experience |
| Total number of learners in the last 12 months | 168 |

- 1.8:** Where appropriate, Operators should specify the relationship with the Holding Company or Parent Organisation and their respective roles, if applicable.
- 1.9:** These are to illustrate Operators' scale of operation and the division of work within the organisation.

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



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

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

| Position/Job Title | Employment (F/T, P/T) | Major Functions and Responsibilities |
|--|-----------------------|---|
| Management Staff | | |
| Director | FT | • Strategic planning..... |
| Manager (Finance and Accounting) | FT | • Overseeing financial and accounting |
| ... | ... | ... |
| Programme Administration Staff | | |
| Programme Coordinator (Programme Area 1) | FT | • Programme development • Deliver learning programme..... |
| Administration Manager | FT | • Programme enrolment.... |
| ... | ... | ... |

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

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

1.11: Examples of common communication channels include staff orientation, staff handbook, staff meetings, email notifications, etc.

1.12: Examples of storing learners’ records include: computerized storage system, locked cabinet.

The policy should demonstrate only relevant staff is authorised to access the learners’ personal and training records. Example measures include: checking, employing security software, etc.

Domain: IE-2 Financial Viability and Resources Management

2.1: Holding companies/Parent organisation’s financial status may need to be verified.

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

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

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

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

2.4: For in-house learning programmes, please also provide policies/ procedures on resource allocation from the company, if applicable.

Domain: IE-3 Organisational Staffing

3.1: Below is an example of the presentation format:

| Position/ Job Title/ Rank | Head Count | Appointment Criteria | Name of existing staff fulfilling the appointment criteria | Employment term of the existing staff (Full-time, Part-time, Temporary, etc.) |
|---|---------------------------|---|--|---|
| Management Staff for the education and training provision | | | | |
| Director | Existing: 1 Planned: 0 | <ul style="list-style-type: none"> Master Degree or above; Certificate of Education holder or above; Over 10 years relevant experience in Education Industry At least 5 years work experience in management level | Dr Peter Chan | Full-time |
| Head (Training) | Existing: 1 Planned: 1 | <ul style="list-style-type: none"> Master Degree or above; Over 8 years relevant experience in Education Industry; At least 5 years work experience in programme quality assurance..... | Ms Susan Chan | Full-time |
| ... | ... | ... | | |
| Programme Development, Management, Quality Assurance Staff | | | | |
| Programme Coordinator (Programme Area 1) | Existing: 1 Planned: 2 | <ul style="list-style-type: none"> Master Degree in relevant field or above; Over 8 years relevant teaching/training experience..... | Ms Kate Cheung | Full-time |
| ... | ... | • | • | • |
| ... | ... | ... | | |
| Programme Administrative and Support Staff | | | | |
| Administration Manager | Existing: 1 Planned: 1 | • | | |
| ... | ... | ... | | |

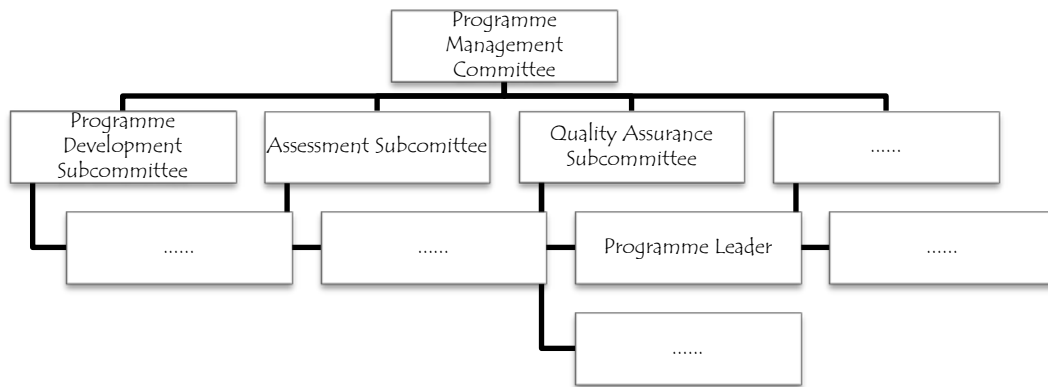
3.2-3.3: Policies mentioned should not be limited to teaching/ training staff and should cover both full-time and part-time staff.

This covers conflict of interests/ role conflicts policies applicable to all full-time/ part-time staff. Operators may provide information such as possible circumstances of conflicts of interests/ role conflicts, the declaration procedures and handling methods.

Domain: IE-4 Organisational Quality Assurance

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

For a clearer presentation, Operators may use a flow chart to demonstrate the interrelationship/reporting line of the abovementioned personnel and/or committees. Below is an example of possible presentation format:



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

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

| Process | Responsible Parties |
|--|---|
| <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Conducting need analysis / feasibility study...</div> <div style="text-align: center;">↓</div> | <ul style="list-style-type: none"> • Programme Leader.... • • Lecturer • • Programme Development Committee • • |
| <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Designing programme...</div> <div style="text-align: center;">↓</div> | |
| <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Internal approval on</div> <div style="text-align: center;">↓</div> | |
| <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">.....</div> | |

4.2: Below is an example of the presentation format:

| Responsible Staff / Committees / Units (Positions & Names) | Major Responsibilities (e.g. Programme Approval, Development, Monitoring, Review and Modification) |
|---|---|
| Programme Management Committee | <ul style="list-style-type: none"> • Develop the strategic direction • Receive QA reports |
| Programme Development Subcommittee | <ul style="list-style-type: none"> • Collect external inputs on industry training needs... • Review design of learning programmes • |
| Assessment Subcommittee | <ul style="list-style-type: none"> • Review assessment questions • Endorsement of assessment results ... • Review Examiners' reports |
| Quality Assurance Subcommittee | <ul style="list-style-type: none"> • Monitor the implementation of QA systems • |
| Kate Cheung, Programme Leader | <ul style="list-style-type: none"> • Conduct class visits • Monitor performance of trainers..... • |
| | |

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

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

Operators may provide relevant meeting notes for reference.

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