

**THE HONG KONG INSTITUTION OF ENGINEERS**  
**NOTES ON TRAINEE PROGRESS ASSESSMENT**

**1. INTRODUCTION**

The ongoing assessment of trainees is important to track the progress of the trainees and to ensure that they are i) following the approved training programme, and ii) achieving the aims of the HKIE scheme. These notes detail the assessment process leading to the issuing of the Training Completion Certificate.

**2. TRAINING PERSONNEL**

The Training Tutor (TT) and the Engineering Supervisor (ES) monitor the trainee's progress. Besides day-to-day or on-the-job contact, TTs and ESs should meet their trainees regularly on a formal basis and check their training documents as follows:

<b>Personnel</b>	<b>Should meet trainee at least:</b>	<b>Action required</b>
TT	Every month	Comment on and sign Monthly Reports.
ES (internal)	Once per quarter	Sign Detailed Training Record, comment on and sign Quarterly Reports
ES (external)	Every month	

For details of the roles and duties of Training Tutors and Engineering Supervisors, please refer to TN-B – Notes on Training Personnel.

**3. PROGRESS INTERVIEW**

TTs and ESs should discuss training matters with trainees at regular progress interviews. While group discussions are beneficial and encouraged, individual interviews should also be held to discuss individual progress with trainees.

The progress interview is an effective way for the TT and the ES to assess the trainee's progress. The interview probes the trainee's depth and breadth of knowledge and identifies specifically what he or she has gained since the last interview. It is also a good opportunity to review the trainee's own programme and evaluate whether the training programme needs to be updated or altered.

**4. TRAINING LOGBOOKS**

Trainees need to maintain three logbooks throughout the Scheme "A" period: the Scheme "A" Graduate Training Logbook, Record of Objectives / Record of Training Outcomes, and Record of Continuing Professional Development. These are available for purchase at the HKIE.

Once their training begins, trainees are encouraged to keep formal records in the logbooks, even if their registrations have not been confirmed. These are important documents and records of training that they are following in Scheme "A" manner.

The HKIE may request the logbooks as supporting documents to confirm the training start date for backdating during trainee registrations, or to prove that previous training or work was formally supervised when a trainee submits an exemption request.

#### 4.1 Scheme “A” Graduate Training Logbook

The Scheme “A” Graduate Training Logbook consists of Detailed Training Record, Monthly Reports and Quarterly Reports.

The Detailed Training Record is a summary of highlighted activities for each month and signed by ES at the end of each quarter.

The Monthly Reports and Quarterly Reports are records of work assigned, duties performed, and lessons learned in the respective periods. Trainees should record in the reports what they have learned and what they consider important. They may include examples of detailed analysis or a particular aspect of training during the period in question. Quarterly Reports should not merely replicate the three Monthly Reports. The contents may cover similar topics during the period in question, but there should be a clear difference between the Monthly and Quarterly Reports in terms of depth, breadth, perspective or appreciation of the subject matter.

The entries should be the trainee’s own work and not corrected by any training staff. Entries should be neat, and handwritten in pen. TTs and ESs should make comments directly on the logbook and discuss their comments with the trainees. TTs and ESs should ensure that trainees have learned the procedures or understood the matter properly at the level expected of a professional engineer.

The space available for each monthly and quarterly report is limited. Trainees should therefore learn to select material to record, and write concise, complete reports that make the best use of the space available. To help readers understand, trainees may attach photos, diagrams or graphs to the logbooks. ESs should sign these additional sheets to confirm that the additional sheets belong to the respective reports.

During the interview, TTs and ESs should discuss the logbooks thoroughly with trainees and suggest how they can be improved.

#### 4.2 Record of Objectives / Record of Training Outcomes

Before April 2019, the HKIE adopts the “Training-by-Objectives” approach. The level for each objective that the trainee needs to achieve is specified as “G”, “K”, “E” and “C” as detailed below. From 1 April 2019, all new trainees starting Scheme “A” must adopt the new competence-based approach. The training is essentially the same as the previous “Training-by-Objectives” approach except that the objectives are now written as competencies labelled “Training Outcomes”. These have been aligned to the HKIE’s competence standards. Trainees who have started their training using Record of Objectives and would like to switch to use

Record of Training Outcomes may do so when their company has submitted application for company re-assessment and has been approved for Scheme “A” training in competence-based format in their respective discipline.

#### 4.2.1 Training-by-Objectives Approach

The Training-by-Objectives approach consists of three types of objectives: Common Core Objectives, Core Objectives, and Specific Objectives.

Common Core Objectives are general objectives that all trainees should meet, irrespective of discipline or where they are employed. They cover topics such as professionalism, ethics, safety, health & environment etc.

Core Objectives apply to engineers of a specific discipline, regardless of the nature of business that they may be involved in. There is one set of Core Objectives for each HKIE engineering Discipline.

Common Core Objectives and Core Objectives are set by the HKIE.

Specific Objectives are set by the individual company, for each of their approved Scheme “A” Disciplines. They reflect the nature of the industry the company operates in and determine what experiences a potential professional engineer requires in that industry. The Visit Team sees and comments on the Specific Objectives during its visit. There are four levels for assessing these objectives:

General (G) – General observation and awareness of the specified subject. The aim is for the trainee to keep abreast of relevant information.

Knowledge (K) – Demonstrating a good understanding of the fundamental principles involved, and their importance to a professional engineer. Trainees can attain this level by reading appropriate literature and attending CPD courses.

Experience (E) – Demonstrating an understanding of how theory integrates with practical application. Trainees are likely to attain this level by getting sufficient on-the-job experience and undertaking real work under an appropriate level of supervision.

Capability (C) – Demonstrating being qualified and capable of undertaking tasks while taking an appropriate level of responsibility.

The assessment levels are progressive. Trainees will normally need to achieve levels (K) and (E) before achieving level (C):

Trainees need a good knowledge of the subject (K) before they are assigned to relevant working experience; and they need sufficient experience (E) before reaching the level of capability (C). The ES can sign the “G” or “K” columns in early assessments before trainees achieve level “E” or “C” to complete their training. Trainees must achieve all the objectives to complete their training.

#### 4.2.2 Competence-based Approach

The HKIE developed the competence-based approach from the Training-by-Objectives approach to align with competence-based professional assessment. The objective coding is now embedded in the objectives, which are now renamed as Training Outcomes:

Former name	New name
Common Core Objectives	Common Core Outcomes
Core Objectives	Discipline-Core Outcomes
Specific Objectives	Company-Specific Outcomes

ESs only need to initial and date against the training outcomes as a record of achievement of the trainees. Blank space is available on each page for assessment records to help ESs continuously assess trainees’ progress.

#### 4.2.3 Trainee Progress Interview

At each progress interview, the trainees should demonstrate to their ESs how they believe they have achieved the objectives or outcomes.

In the Training-by-Objectives format the ESs should initial and mark the date next to the achieved level, which may or may not be the ultimate level required to complete Scheme “A”. Trainees must achieve all objectives (Common Core Objectives, Core Objectives, and Specific Objectives) to the specified level before completing their training.

In the competence-based format, the ESs can simply initial and mark the date in the space provided when the trainees have achieved or demonstrated the outcome.

In this format, the previous Specific Objectives are now optional. The company should review whether its trainees should be eligible to collect their Training Completion Certificates before they achieve the Company-Specific Outcomes.

#### 4.3 Record of Continuing Professional Development

The CPD requirements for Scheme “A” trainees are 45 hours per year. This includes 18 hours each in Occupational Safety & Health, General & Professional Matters, and Other Technical Matters not directly related to trainee’s own discipline. For details, please refer to TN-G – CPD Requirements for Scheme “A” Trainees.

Trainees should record all CPD activities they attend in their Record of Continuing Professional Development. Engineering Supervisors should assess what the trainee has learned before endorsing the activities. This is normally done by trainees submitting a report or by discussion in an interview.

## **5. REPORTING TO THE HKIE**

The HKIE receives regular reports of trainees’ progress and confirmation of satisfactory training completion through the Six-Monthly Report and the Final Training Report.

### **5.1 Six-Monthly Report**

The HKIE sends Six-Monthly Report and Outstanding Final Report to each company at the end of June and December to (i) check the progress of active trainees, and (ii) update the status of issued Final Training Reports. The performance of active trainees during the preceding six months should be marked with “S” for satisfactory and “US” for unsatisfactory in the Six-Monthly Report and return it to the HKIE, and return the Final Training Report of those trainees listed in the Outstanding Final Report whose training should have completed. The HKIE will keep the Six-Monthly Reports for record.

Companies should check the accuracy of the information in the Six-Monthly Report, including company address, email, names of training personnel and list of active Engineering Supervisors and registered trainees. Companies should notify the HKIE of any updates in writing.

Please refer to Appendix A for a sample of the Six-Monthly Report.

### **5.2 Final Training Report**

At the end of the trainee’s training period, the HKIE will prepare a Final Training Report (FTR) and send it to the Company. The HKIE will issue one FTR for each trainee. It issues these reports twice a month to the company: once in the middle of the month and once at the end of the month, for trainees whose period ends in the first half or second half of the month respectively. When the company receives the FTR, they should forward it to the respective ES to assess (i) whether the trainee has successfully met all the requirements of the company’s Scheme “A” training programme; and (ii) whether a training completion certificate should be issued. The Head of Office must also sign the FTR to confirm that the trainee has successfully completed Scheme “A”. When the FTR is returned to the HKIE, the corresponding training quota will be released and the HKIE will prepare the

Training Completion Certificates for trainees to collect.

If the ES believes the trainee has not met the required standards to complete their training, he or she should indicate this, make recommendations directly on the FTR, and return it to the HKIE. The trainee will be notified accordingly.

Please refer to Appendix B for a sample of the Final Training Report.

## **6. TRAINING COMPLETION CERTIFICATE**

When the HKIE receives the FTR from the company, it will prepare Training Completion Certificates for trainees to collect from the HKIE headquarters. The HKIE will notify the trainees by letter explaining how to collect the certificates. The trainees must present the training documents at the HKIE for checking before the certificates are issued. Please refer to Appendix C for a checklist of the items required for collecting certificates. A trainee may send a representative to present his/her training materials and collect the certificate on his/her behalf by presenting an authorisation letter.

The HKIE will only issue a certificate if the FTR is returned within one year of the training completion date. The certificate will be destroyed if it is not collected within one year from the issuing date of the letter for certificate collection.

Training Completion Certificates are free of charge except for (i) late collection (more than two months from the letter issue date) and (ii) re-prints. For details, please refer to the Fee Table for updated fees.

For trainees who have switched to use Record of Training Outcomes during their training, they must ensure that all training outcomes are signed as required. The HKIE will only accept either Record of Objectives OR Record of Training Outcomes for collection of Training Completion Certificate. A combination or partial completion of either one is not acceptable.

**THE HKIE ENGINEERING SCHEME "A" GRADUATE TRAINING**  
**SIX-MONTHLY REPORT**

**SAMPLE**

D MMMM,YYYY

**To be completed and returned to the HKIE by the Engineering Supervisor**

Please check and confirm/comment on the accuracy of the following data: (use a "✓" where appropriate)

**Company Name** :

**Company Address** :

**Head of Office** :

**Contact Person** :

**Phone** :

**Fax** :

**Email** :

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<u>Engineering Supervisor</u>	<u>Discipline</u>	<u>Start Date</u>	<u>Remark</u>
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Trainees --- Currently active. If resigned, please mark effective date and reason.

--- Engineering Supervisors to grade (S/US) for each trainee according to his/her performance during the past six months.

<u>Name of trainees</u>	<u>Discipline</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>S/US</u>	<u>Remarks/Grading other than S/US</u>
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Signature :

Engineering Supervisor :

Date :

S = Satisfactory

US = Unsatisfactory

**THE HONG KONG INSTITUTION OF ENGINEERS**  
9/F Island Beverley, No 1 Great George Street, Causeway Bay, Hong Kong  
**SCHEME "A" GRADUATE TRAINING**

**SAMPLE**

**FINAL TRAINING REPORT**  
*DD MMMM, YYYY*

**Trainee Name** :  
**Discipline** :  
**Company Name** :  
**Company Address** :

**Head of Office** :

**Engineering Supervisor** :

**1st Start Date** :

**1st Completion Date** :

**2nd Start Date** :

**2nd Completion Date** :

**Please complete Part A, B or C and return within ONE month from the date of issue.**  
(Please mark "✓" where appropriate)

**Part A: Satisfactory Completion of Training. Training Completion Certificate to be issued.**

This is to certify that the above trainee has satisfactorily completed the Scheme "A" training.  
Please arrange to issue the Training Completion Certificate to the trainee.

**Part B: Extension of Training**

An extension is required for the trainee to complete Scheme "A" requirements:

Extension is less than one month.

Revised completion date: \_\_\_\_\_ (dd/mm/yyyy)

Extension is more than one month. (Form TD5 – Request for Extension to be submitted)

Revised completion date: \_\_\_\_\_ (dd/mm/yyyy)

Form TD5 submitted on: \_\_\_\_\_ (dd/mm/yyyy)

Please issue an updated Final Training Report after the revised training completion date.

**Part C: Unsatisfactory Completion of Training / Departure of Trainee**

NO Training Completion Certificate should be issued to the trainee due to:

Incompletion of the requirements of the Scheme "A" training.

Departure of the trainee. Effective date: \_\_\_\_\_ (dd/mm/yyyy)

Other reasons (please specify): \_\_\_\_\_

**Remarks (if any):**

\_\_\_\_\_  
Signature of Engineering Supervisor                      Date                      Signature of Head of Office                      Date

Note: No Training Completion Certificate would be issued and associated training quota would be deleted if the Final Training Report is not returned one year from date of issue.

## HKIE GRADUATE TRAINING SCHEME “A” CHECKLIST

I. Graduate Training Logbook	CHECK
1. Personal Particulars is filled.	<input type="checkbox"/>
2. Summary of Training Details is filled (if applicable)	<input type="checkbox"/>
3. Detailed Training Record for the Three Monthly Period:	
(a) Commencement date of the quarter is entered correctly.	<input type="checkbox"/>
(b) All columns must be completed for each month of training completed in the quarter.	<input type="checkbox"/>
i. Complete Reference Number in Model Training Guide (MTG) or Objective Code (OR) format (if applicable)	
ii. Indicate the exact start date and end date for each monthly period (if applicable)	
(c) One page (all 3 rows) of Detailed Training Record to be completed for each quarter during the training period, i.e. 8 or 12 pages total for 2 or 3 years training respectively. (For cases where extension or exemption has been approved, one entry (row) of the Detailed Training Records should be completed for each month within the training period.)	<input type="checkbox"/>
(d) Engineering Supervisor to sign and date at bottom of the each page with entries.	<input type="checkbox"/>
4. Monthly Report:	
(a) Commencement date of the month is entered correctly.	<input type="checkbox"/>
(b) Any additional sheet(s) attached on the Monthly Report page must have the Engineering Supervisor's signature across the affixed sheet onto the original page.	<input type="checkbox"/>
(c) Training Tutor to sign and date on bottom of each page of the Monthly Training Report, and provide comments (optional).	<input type="checkbox"/>
(d) One Monthly Training Report to be completed for each month during the training period, i.e. 24 or 36 Monthly Training Reports to be completed for 2 or 3 years training. (For cases where extension or exemption has been approved, Monthly Reports are required for each month within the training period only.)	<input type="checkbox"/>
5. Quarterly Report:	
(a) Commencement date of the quarter is entered correctly on first page of each report.	<input type="checkbox"/>
(b) Any additional sheet(s) attached on the Quarterly Report page must have the Engineering Supervisor's signature across the affixed sheet onto the original page.	<input type="checkbox"/>
(c) Engineering Supervisor to sign and date on bottom of each page of the Quarterly Report, and provide comments on last page of the report (mandatory).	<input type="checkbox"/>
(d) One Quarterly Report to be completed for every 3 months during the training period, i.e. 8 or 12 Quarterly Reports to be completed for 2 or 3 years training respectively. (For cases where extension or exemption has been approved, Quarterly Reports are required for every three-monthly period where training covers two or more months.)	<input type="checkbox"/>
6. All entries must be handwritten in pen.	<input type="checkbox"/>
II. Record of Objectives (RoO) / Record of Training Outcomes (RoTO)* (please delete as appropriate)	CHECK
1. Personal Particulars is filled.	<input type="checkbox"/>
2. RoO / RoTO must be in the same discipline as the one registered.	<input type="checkbox"/>
3. Specific Objectives have been approved by the HKIE (if applicable).	<input type="checkbox"/>
4. For Specific Objectives that are pasted onto the booklet, the Engineering Supervisor must sign across from the affixed sheet(s) to the booklet page.	<input type="checkbox"/>
5. For RoO: ES must initial and date for all objectives (Common Core Objectives, Core Objectives and Specific Objectives) in the appropriate column relevant to the required coding level to confirm trainee's attainment. RoTO, all outcomes (Common Core Outcomes and Discipline-Core Outcomes) must be signed.	<input type="checkbox"/>
6. All entries must be handwritten in ink.	<input type="checkbox"/>
III. Record of Continuing Professional Development (CPD Record)	CHECK
1. Personal Particulars is filled.	<input type="checkbox"/>
2. Each activity must contain date, activity name, activity organizer, category, CPD claimed (hours), and initial of Engineering Supervisor. (For any activity that is claimed for more than 6 hours, total no. of days and period of each session must be specified clearly.)	<input type="checkbox"/>
3. Scheme “A” Requirements (1):	
(a) A minimum average of 45 hours per year (i.e. 90 and 135 hours for 2 and 3 years training respectively).	<input type="checkbox"/>
(b) Additional CPD (at a minimum average of 45 hours per year) for any extension in training period of more than 6 months.	<input type="checkbox"/>
4. Scheme “A” Requirements (2):	
(a) A minimum of 18 hours in Occupational Safety & Health (OSH).	<input type="checkbox"/>
(b) A minimum of 18 hours in Other Technical Matters (OTM).	<input type="checkbox"/>
(c) A minimum of 18 hours in General Professional Matters (GPM).	<input type="checkbox"/>
Please mark “OSH”, “OTM”, and “GPM” next to the relevant CPD activity accordingly. Each activity may count towards one category only.	
5. In-house CPD must not be more than 50% of total CPD days claimed.	<input type="checkbox"/>
6. All entries must be handwritten in pen.	<input type="checkbox"/>