

THE HONG KONG INSTITUTION OF ENGINEERS
NOTES ON COMPANY ASSESSMENT OR RE-ASSESSMENT FOR
SCHEME “A” GRADUATE TRAINING AND
FORMAL TRAINING SCHEME TO ASSOCIATE MEMBERSHIP

1. INTRODUCTION

The HKIE invites experts in various disciplines to establish and review our training policies, and depends on companies’ commitment to deliver structured training to trainees to achieve the training outcomes set out in Scheme “A” Graduate Training (Scheme “A”) or Formal Training Scheme to Associate Membership (AM Training). The HKIE also monitors the quality of the training schemes through assessment and re-assessments. These notes set out the procedures to help companies understand the procedures to apply for or to renew their approval status to operate Scheme “A” or AM Training.

2. ELIGIBILITY

Any company or organisation may apply to operate HKIE’s training schemes in one or more of the HKIE’s disciplines by (i) satisfying the requirements specified in the submissions detailed below, and (ii) accommodating a company visit by an HKIE visit team. Currently, applications are accepted from companies in Hong Kong. Companies in Macau and the PRC may be considered subject to the approval of the Training Committee.

To become a company approved for Scheme “A” or AM Training, a company should apply to the HKIE using Form TD1. The HKIE expects a company submitting an application to be capable of supporting most elements of the training scheme with its own internal resources, including training staff and projects. There are cases where external resources are included in the submission. These are considered on a case-by-case basis and these arrangements are detailed below.

3. PROCEDURES

3.1 Scheme “A” Workshop

The Training & Development Section of the HKIE organises a regular workshop to introduce (i) the training schemes administered by the HKIE to companies, and (ii) the procedures and requirements involved in the application and operation of Scheme “A”. The workshop is aimed at staff of companies that are preparing for the company assessment process, or support staff who would like to become familiar with the HKIE Scheme “A” requirements. A company must send representatives to attend this workshop before submitting its first assessment application to the HKIE. Details of this workshop are available from the Training & Development Section. Requirements for AM Training are similar and are also covered in this workshop.

3.2 Submissions

A company applying to become an approved company in Scheme “A” or AM Training must submit the following documents to the HKIE Training & Development Section:

- (a) Form TD1 – Application for Assessment or Re-assessment
- (b) Form TD7 – Nomination of Engineering Supervisor
- (c) Organisation Chart
- (d) Copy of business registration
- (e) Training Manual
- (f) Brief Company Profile
- (g) Training Programme

The above documents allow the HKIE to understand the company background and assess whether it has sufficient staff, resources and projects to support the training schemes in the years ahead. It is therefore important to provide as many details as possible.

3.2.1 Form TD1 – Application for Assessment or Re-assessment

This form has 10 sections. All information must be completed for the application to be processed.

Part A: General Information

The company should provide general details in this section including name, address, telephone number etc.

Part B: Disciplines and Training Quota Requested for Scheme “A” or AM Training in this application

This part summarises the number of discipline(s) and corresponding training quota that the company is applying for.

Part C: Training Personnel (General)

This part provides the general contacts related to Scheme “A” / AM Training for this company, including Head of Office, Contact Person and Administrator. For details and requirements of the roles of Training Personnel, please refer to TN-B - Notes on Training Personnel.

Part D: Company Information & Part E: Training Information

These two parts allow the company to provide basic background information to the HKIE.

The company should inform the HKIE of any other companies it may be associated with, or have close links to, with respect to

Scheme “A” or AM Training. These include, (i) companies which it has pre-approved secondment arrangements with, (ii) employers of External Engineering Supervisors, or (iii) other companies under the same management with shared training administration support (same Contact Person or Administrator) etc. The HKIE needs this information to help make a fair decision in the assessment process.

For pre-approved training secondments, the company should submit Form TD11PA for secondment arrangements which form part of the company’s training programme. If the HKIE approves an application for a pre-approved training secondment, the company does not need to submit an individual training secondment application (TD11) for approval at the time of actual secondment. For training programmes with compulsory secondments, the company must submit Form TD11PA and a written agreement between the company and the seconded company during assessment / re-assessment. For details of secondment, please refer to TN-E – Notes on Training Secondment.

Part F: Training Facilities

Training delivery is supported by the facilities available to the trainees, such as library, training rooms, plants, equipment, training facilities, software and computer programmes. Companies should list the available facilities and include photographs of the facilities as far as practicable.

Part G: Support to Continuing Professional Development (CPD)

CPD is an important element of Scheme “A” and AM Training. It is important for the company to provide details of their support and resources regarding CPD.

Part H: Relevant Awards / Certification

The company may choose to provide copies of certificates to demonstrate (i) its commitment to safety, quality etc.; and (ii) its achievement in relevant engineering fields.

Part I: Training Personnel (ES and TT)

The company should list the Engineering Supervisors (ES) and Training Tutors (TT) who are involved in the supervision and execution of the training schemes. It should ensure that the relevant requirements for ES and TT are met. For details, please refer to TN-B - Notes on Training Personnel.

Each nominated ES should complete Form TD7 whether or not they have been approved previously. This confirms their

service to the company as an ES.

The company should also include a company organisation chart with the positions of the HoO, ESs and TTs clearly included in relation to the trainees in the company.

Part J: List of Significant Company Projects / Work-in-hand

The list provides important information about the opportunities available for trainees to fulfil their training requirements in the coming years. Therefore the company should provide a brief description of each current and upcoming project or work and the relevant discipline(s). Major awarded projects or recurrent contracts in the past two to three years may also be included.

3.2.2 Copy of Business Registration Certificate

This document is needed to confirm the name to be registered as an approved company in Scheme “A” or AM Training. This is not applicable to government departments.

3.2.3 Training Manual

The Training Manual is a very important document, in particular for training personnel and trainees of the company, to understand the company’s views and policies, the training schemes and related matters. It should provide information on how training schemes work within the company, including the company’s guidance and support on fulfilling HKIE’s requirements, such as training staff and CPD. Please refer to a sample at Appendix A of these notes.

3.2.4 Brief Company Profile

The HKIE needs this information for a general understanding of the background and structure of the company.

3.2.5 Training Programme

The company should prepare the training programme using Form TD1-TP(SchA) or TD1-TP(AM) for the relevant discipline, including training details such as the location(s) and type(s) of activity which will enable the trainees to meet the objectives or specified outcomes. Companies should refer to the Consolidated Model Training Guide (CMTG) of the individual Disciplines for Scheme “A” or AM Training when preparing their programmes. One training programme should be submitted for one discipline in Scheme “A” or AM Training only. The CMTGs can be downloaded from the HKIE website.

In preparation of the competence-based professional assessment,

engineers seeking professional recognition as Corporate Members of the HKIE should have knowledge of good practice for professional engineering that is specific to Hong Kong. As such, companies are recommended to require their trainees to spend at least 50% of the training period in Hong Kong.

All documents should be submitted in an A4 envelope under the cover sheet “Assessment / Re-assessment Submission Checklist” which is provided on the last page of Form TD1. The name of the company and discipline(s) to be assessed or re-assessed should be clearly stated on the envelope and on each page of the submission document.

The company should submit only ONE printed copy of the each document. All submissions should be on A4, loose-leaf paper. The company’s name should be clearly stated at the top of EACH page. Digital copies (in Word or pdf format) should be submitted supplementary to the printed copy as far as practicable.

3.3 Checking and Follow-up

When the HKIE Training & Development Section receives the above documents, it will check whether the above documents are complete, and liaise with the company by email or by phone if more information is needed. Companies may submit supplementary documents via email. The initial checking of documents will normally be completed within three months from the date of receipt.

3.4 Company Visit

3.4.1 Visit Elements

An HKIE visit team will conduct a company visit. The HKIE visit team will consist of the Manager-Training & Development plus at least one expert in the discipline to be assessed. One additional member from the Training Review Sub-Committee may join the visit as an observer. Currently, a company visit would mainly be carried out for first-time application for assessments, at re-assessments, or at other times considered necessary by the HKIE. The visit will be arranged when all submissions are in order. Depending on the number of companies that are waiting for visits and availability of visit team members and company representatives, the visit date may be confirmed in two months’ time.

The purpose of the visit is for the HKIE visit team to obtain first-hand knowledge of the current situation related to the training staff, projects in hand and training facilities available to support the training scheme. The visit usually lasts about two to three hours and normally takes place at the company’s premises. If training outside Hong Kong is a significant and compulsory part of the training programme, the visit may take place in an

office outside Hong Kong.

A typical rundown of the company visit is enclosed in Appendix B. During the visit, the visit team should meet with the key personnel involved in the delivery of the training scheme, including Head of Office (or their representative), Engineering Supervisors, Training Tutors and relevant training staff.

To ensure that there is a good representation of the company's training staff to meet the HKIE visit team, the following number of Engineering Supervisors (ES) and Training Tutors (TT) are required to attend the meeting:

| Number of proposed ESs or TTs | Minimum number to be present during the meeting |
|-------------------------------|---|
| 1 – 2 | 1 |
| 3 – 6 | 2 |
| 7 – 10 | 3 |
| > 10 | 4 |

Remark: Representatives of both ESs and TTs for each discipline being assessed should be present at the meeting. If an ES also acts as a TT, it is preferable to have another TT representative at the meeting.

During the first assessment visit, the visit team may raise questions relating to the training programme proposed by the company, experience of the company in engineering training, projects, and other related matters. During the visit, the visit team should consider (i) the company's interest and commitment to deliver quality training to the trainees, and (ii) the company's ability to provide adequate opportunities to fulfil the training requirements. The visit team should also observe the environment and facilities available to the trainees, and the company's support for Continuing Professional Development.

For re-assessment visits, the main emphasis should be on major changes or updates since the last visit, problems encountered in operation of the training scheme, and the private interview with trainees.

3.4.2 Tour

The purpose of the tour is to see the facilities available to support Scheme "A"/ AM Training, such as library, trainees' working environment, training room and workshop facilities. Since it may not be practical to tour all the company's facilities during the visit due to time constraint, the company is encouraged to provide relevant photos and videos in the application, or give demonstrations during the visit.

3.4.3 Private Interview with Trainees (for re-assessments only)

Scheme “A” and AM Training are designed to help trainees follow a structured programme within their companies as a faster way to obtain full professional status with the HKIE. It is therefore important for the HKIE to see whether the company is delivering the programme as planned and whether the trainees are progressing as expected. The private interview with trainees is considered the most important part of the re-assessment visit. It enables the visit team to evaluate whether the company is delivering the training programme properly, and whether the support provided is sufficient for the trainee.

The HKIE will inform the company in advance of the names of the trainee(s) who will participate in a private interview with the visit team during the visit. Normally, at least one trainee of each discipline will be invited, and the interview will be conducted without the presence of company staff. The purpose of the private interview is to allow the HKIE visit team to communicate directly with the trainee(s) about (i) their experience with Scheme “A”/AM Training in the company, (ii) the company’s support of the training schemes, and (iii) any related matters. The trainees will be asked to show their training documents and any recent work to facilitate the discussion with the visit team.

3.4.4 Private Session and Debriefing

At the end of the visit, the visit team may need a private session to (i) discuss the findings and observations during the visit, and (ii) agree on the recommendations. Afterwards, there will be a short debriefing with the company representatives about their findings and proposed recommendations for the improvements to the training schemes. Any follow-up actions to help the visit team prepare the Company Assessment / Re-assessment Report (the Report) will also be discussed, if necessary.

4. RECOMMENDATION AND APPROVAL

When the visit is complete, the visit team will compile the Report including the details observed during the visit and the recommendations. The Report will be forwarded to the Training Review Sub-Committee (TRSC) for approval. The recommendations will include the company status, training quota and the length of the approval period. First time assessments will normally be recommended a “probationary” status with an approval period of not more than three years. The visit team may consider other approved schemes of the company when making a final recommendation on the training quota and approval period.

When the TRSC has approved the Report, the HKIE will prepare a decision letter

and a company certificate for the company. The company will be able to register new trainees to their approved training schemes until the approval period expires or until the quota is filled. If training quota is needed to be increased before the end of the approval period, the company may request such an increment by writing to the HKIE. For details, please refer to the Appendix C – Notes on Increase of Training Quota.

5. APPLICATION FOR RE-ASSESSMENT

Companies must ensure that (i) their schemes remain active, and (ii) they apply for re-assessment before the expiry of the approved schemes. After re-assessment, a new approval period will be given to the approved training schemes. If the re-assessment cannot be completed within the original approval period, it is entirely at the HKIE's discretion to propose measures to facilitate the registration of trainees to the schemes. Generally, all new trainee registrations received after the expiry date will not be processed and will be returned to the company. Companies must therefore submit re-assessment applications on time and allow sufficient time for processing.

Generally, re-assessment applications will include a visit to the company and an interview with trainees. If a visit had recently been held to the company for other training schemes, or if there are no trainees available to be interviewed, the HKIE may decide whether a visit would proceed. Usually, to facilitate future visits to the company, the HKIE will review other approved schemes of the company and will try to align the expiry dates as far as practicable. For re-assessments, a “confirmed” status will be recommended subject to a satisfactory trainee interview. The recommended approval period will not be more than six years. If the company applies for re-assessment but has not recruited any trainees since the last assessment / re-assessment, there may not be a company visit following the checking of submissions and only a paper evaluation will be conducted. An expert's advice will be sought for recommendation to TRSC on the extension of the scheme's status. Normally, the extended approval period will not be more than three years.

If no trainee interview was arranged at the last re-assessment visit and a trainee is subsequently recruited and has registered successfully, the company may ask the HKIE to conduct a private interview with the trainee to consider extending the approval period and changing its status to “confirmed”. This is subject to approval by the TRSC.

If a company has been granted an approval period of more than three years, it must provide an interim report to the HKIE about every three years with updates on its projects and training staff. This ensures that the company has sufficient work and resources for the scheme to continue to operate.

If the company has not registered trainees for over six years (i.e. two consecutive re-assessment applications), the HKIE may not consider further re-assessment application.

6. SUSPENSION OF AN APPROVED SCHEME

If a company is found having insufficient resources to operate the training scheme as approved, such as no active Engineering Supervisor (ES) for the scheme, the HKIE reserves the right to temporarily suspend the approved scheme.

7. FEES

The HKIE undertakes assessment and re-assessment visits as a service to its members, to the industry and to society. Therefore, no fee is charged. The only exception is when the visit is conducted outside Hong Kong. In such cases, all expenses incurred in relation to the visit, including transportation, meals, accommodation, and insurance for the visit team members, will be borne by the company applying for the assessment.

8. LIST OF APPROVED COMPANIES

The HKIE maintains a “List of Approved Companies” on its website where names of approved companies for Scheme “A” and AM Training and the approved schemes are updated regularly. Trainees are encouraged to refer to the list when seeking employment, or when being seconded to external companies as part of their training.

9. TRANSFER OF TRAINING SCHEMES

If a company’s approved schemes need to be transferred to a new company name due to company name change, merger, or other reasons, the company must provide a written statement to the HKIE within three months from the effective date confirming the change and include a full set of updated training documents. The HKIE will inform the company whether a new company assessment or an application for re-assessment is needed after reviewing the documents. Please refer to Appendix D for a sample letter.

10. UPDATES

A company should inform the HKIE in writing of any updates to documents after approval. For Training Personnel updates, please use Form TD1U. This can be downloaded from the HKIE website.

11. NEWS FROM THE HKIE

All approved companies for Scheme “A” and AM Training receive regular news and promotion from the HKIE, including Training News, CPD promotion, and other institutional events. Companies are also welcome to visit the HKIE website or Facebook Page for more information.

HKIE Scheme “A” Graduate Training / Formal Training Scheme to Associate Membership Company Training Manual (SAMPLE)

1. Introduction

Describe the company’s training philosophy, with particular regard to training professional engineers and the operation of the HKIE Scheme “A” Graduate Training / Formal Training Scheme to Associate Membership within the company.

2. Code of Conduct and Professional Ethics

Highlight (i) the company’s requirements and expectations, and (ii) trainees’ responsibilities with reference to HKIE requirements regarding conduct and professional ethics.

3. Training Aims

This section should explicitly state the overall aim of Scheme “A”/ AM Training, i.e. to enable trainees to develop the qualities a professional engineer/Associate Member required in the following areas:

- (a) Applying Engineering Knowledge*
- (b) Developing Technical Solutions*
- (c) Managing Engineering Work*
- (d) Upkeeping Professional Acumen.*

4. Health, Safety and Environmental Policy

Briefly describe the company’s health, safety and environment policy.

5. Quality Assurance Policy

Briefly describe the company’s quality assurance policy, or list relevant certificates obtained by the company (e.g. ISO 9001, ISO 14001 etc.)

6. Training Policy

Briefly describe the company’s graduate training scheme policy. This section may include the structure of the company’s training committee, if any.

7. Graduate Training Strategy

Explain how the company achieves the training aims. The training aims should be in line with the HKIE’s requirements for each of the four stages: planning, implementation, monitoring and assessment.

8. Trainee Registration

Describe the company’s internal procedures and conditions for registering trainees with the HKIE Scheme “A” or AM Training. For eligibility and

procedures to register, please refer to the HKIE website.

9. Training Programme

Describe the operation of the company's training programme. If desired, include here the training period, the company's arrangements on rotations, extensions, exemptions or secondments (if applicable) etc.

If desired, include a subsection listing the company's facilities which constitutes a significant part of training, such as computer equipment, software, plants, machinery etc.

10. Training Documents

Include details of HKIE's requirements on what trainees need to achieve throughout the training period: Record of Training Outcomes, Training Logbook, and Record of CPD. If desired, include here guidelines on the entries for the reports, and arrangements for meetings, assessments and signing.

11. Continuing Professional Development (CPD)

State or refer to the company's CPD policy, and describe the support in terms of time and financial assistance to the graduate trainees. If desired, include here (i) details of internal CPD for graduate trainees, if available; and (ii) procedures for Engineering Supervisors' endorsement of CPD activities, such as evidence or reports required.

This section should also include the CPD requirements for the training schemes.

12. Training Personnel

Describe the duties of the people involved in administrating and executing the training scheme. These may include colleagues from the Human Resources Department, the Head of Office, Engineering Supervisors, Training Tutors and the trainees. Do not include specific names.

13. Company Library / Information Centre

Describe the support available to trainees, such as access to company documents or government and international standards.

14. Final Training Report and Training Completion

Explain what 'completion of training' means and describe specific activities that the company may use to certify completion of training. If desired, include here procedures on how the company will submit the Final Training Report to the HKIE, and how the trainee collects his/her Training Completion Certificate.

15. Other Support and Conditions (Optional)

Describe other forms of company support or initiatives (peer support groups, awards, competitions etc.) that are relevant to graduate trainees.

16. Career Development (Optional)

Describe possible career advancement and opportunities for trainees who have completed training. Explain how the company will support further development (e.g. professional assessment).

Rundown of Company Visit

I. Assessments

| Activity | Time allocated (minutes) |
|---|--------------------------|
| 1. Welcome by the Company | 5 |
| 2. Welcome by the HKIE | 5 |
| 3. Introduction of Company Background | 20 |
| 4. Discussion on Company Submissions: - Training Manual - Training Programme - CPD - Projects - Company facilities | 45 |
| 5. Tour - Training facilities - Office | 15 |
| 6. Private Session (for visit team) | 20 |
| 7. Debriefing & Closing | 10 |
| Total | 120 min |

II. Re-assessments

| Activity | Time allocated (minutes) |
|---|--------------------------|
| 1. Welcome by the Company | 5 |
| 2. Welcome by the HKIE | 5 |
| 3. Introduction of Company Background | 20 |
| 4. Discussion on Company Submissions: - Updates on Training Schemes - Operation of Scheme “A” / AM Training - Supervision of trainees - Projects - Communication with the HKIE | 30 |
| 5. Tour - Training facilities - Office | 15 |
| 6. Private Interview with Trainee(s) | 45 |
| 7. Private Session (for visit team) | 15 |
| 8. Debriefing & Closing | 15 |
| Total | 150 min |

Note: The time of each activity is indicative only.

NOTES ON INCREASE OF TRAINING QUOTA

After approval by the Training Review Sub-Committee, a company may need to apply for an additional training quota before the next round of re-assessment if it recruits additional trainees or due to an increase in projects. In such circumstances, the company may request an increase in its training quota by writing to the HKIE.

Normally, request to increase training quota would not be accepted within the first year from the date of last approval of the training scheme, or from the last review of the request to increase training quota, or if there are still Final Training Reports issued to company but are not yet returned.

The company should submit a written request to the HKIE with the following information:

- (i) Reason for requesting an increase in training quota
- (ii) Updated project list, with latest projects highlighted
- (iii) Updated training staff list, including Engineering Supervisors (ES) and Training Tutors (TT) (with a minimum ratio of 12:1 for trainees to ES, and 4:1 for trainees to TT)
- (iv) Effective date of quota increase.

The request should be submitted at least six months before the proposed date of quota increase. The HKIE will prepare the case for an expert's review. Normally the expert will be either a visit team member during the last assessment exercise, or a current TRSC member. The expert's recommendation will be forwarded for TRSC's approval.

If the company proposes additional Engineering Supervisors and requires their approval as ES to meet the minimum trainee-to-ES ratio, the earliest effective date of the quota increase cannot be earlier than the date when the Training Committee approves the proposed ES.

If the company submits additional trainee registrations exceeding the original approved quota, the registration forms cannot be processed and will be returned. However, if the company has already requested an increase and is pending approval, the registrations will be processed once the quota request is approved. The proposed start date of these registrations cannot be earlier than the proposed effective date of the quota increase.

Remarks: If the company continually fails to submit the necessary documents on time, the HKIE reserves the right to cancel the request by notifying the company in writing.

SAMPLE LETTER FOR COMPANY NAME CHANGE

Dear **Manager of the HKIE Training & Development Section**,

**Notification of Change of Company Name
from **Old Company Name** to **New Company Name****

Please note that the name of **Old Company Name** has changed to **New Company Name** effective from **Date**. A copy of the Business Registration Certificate under the new company name is attached.

I confirm the following:

- All matters related to the HKIE Scheme “A” Graduate Training / Formal Training Scheme to Associate Membership previously operated under **Old Company Name** will remain unchanged. I request the transfer of all training scheme matters to **New Company Name**.
- All documents previously submitted to the HKIE under **Old Company Name** will be replaced with **New Company Name**.

All training personnel and trainees listed in the appendix have been informed and agree to the company name change.

A full set of updated training documents with the new company name is enclosed.

Yours sincerely,

Original Signature

Name

Position

c.c.: Training Personnel, Trainees

Encl.

1. Copy of the Business Registration Certificate
2. List of Training Personnel
3. List of Trainees
4. Updated training documents (i. Training Manual, ii. Training Programme(s))

Notification of Change of Company Name
 from **Old Company Name** to **New Company Name** (con't)

List of Training Personnel:

(please tick as appropriate for Scheme "A" or AM Training)

Engineering Supervisor:

| Name | Scheme "A" | AM Training | Discipline |
|------|--------------------------|--------------------------|------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | |

Training Tutors:

| Name | Scheme "A" | AM Training | Discipline |
|------|--------------------------|--------------------------|------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | |

List of Trainees:

Scheme "A" Graduate Training:

| Trainee Name (in alphabetical order) | Discipline | Projected Training Completion Date |
|---|------------|---------------------------------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| 6. | | |

Formal Training Scheme to Associate Membership:

| Trainee Name (in alphabetical order) | Discipline | Projected Training Completion Date |
|---|------------|---------------------------------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| 6. | | |