Is Capacity Building the Ultimate Solution to Professionalising QA Practitioners?

A Case Study on the Capacity Building Model for Reviewers at the HKCAAVQ

Susanna Lee
Head and Senior Registrar, RDT Unit

April, 2011
Content

• Background to the development of the capacity building function in HKCAAVQ
• Capacity Building Strategy
• Training Activity - planning, delivery and feedback
• Challenges and Limitation
• The Way Forward
HK Qualifications Framework

- **Platform for lifelong learning covering**
  - Mainstream education
  - Vocational education and training
  - Continuing education

- **Qualifications**
  - Characterised by outcome-based Generic Level Descriptors (GLD)

- **Quality Assurance**

- **Voluntary**

- **Function**
  - Rationalisation of qualifications
  - Recognition
  - Articulation

**QF Levels**

<table>
<thead>
<tr>
<th>QF Levels</th>
<th>Academic Qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>e.g. Ph.D; doctoral ..</td>
</tr>
<tr>
<td>6</td>
<td>e.g. Master’s degree</td>
</tr>
<tr>
<td>5</td>
<td>e.g. Bachelor’s degree</td>
</tr>
<tr>
<td>4</td>
<td>e.g. AD, HD</td>
</tr>
</tbody>
</table>
Accreditation Model
Four-stage QA Process

Stage 1: Initial Evaluation
首階段：初步評估

Stage 2: Programme Validation
階段二：課程甄審

Stage 3: * Programme Area Accreditation
階段三：學科範圍評審

Stage 4: Periodic Review
階段四：定期覆審

*For mature operators with track record of quality assuring outcome-based learning Programmes. Normally, the operator should have already gone through at least two cycles of successful Programme Re-validation in relevant programme area before it is eligible to apply for PAA.
Specialist Distribution

- **Overseas to local**
  - 355 overseas
  - 1177 local

- **Industry to academia**
  - 699
  - 833

- **36 Industries / Sectors**: 699
- **12 Disciplines / Subjects**: 833
- **total (As of 22 March 2011)**: 1,532

*Migration to 21 Areas of Study and Training is in progress.*
Organisational Chart of RDT Unit

Head and Senior Registrar
Ms. Susanna Lee

Registrar
Ms. Ruby Lee

Assistant Registrar
Ms. Ava Ki

Executive Officer
Ms. Joey Kwok
Ms. Joey Kwok

Executive Assistant
Ms. Sharon Chow

Executive Assistant
Ms. Winky Lam
Capacity Building Function

- To meet the HKCAAVQ’s mission
- Developmental and evolving
- To strengthen QA capability of its stakeholders including the Specialists

Working Assumption

- Specialists appointed for the expertise in training, education and industry operation.
- Focus of training
  - Conceptual understanding of HKQF, accreditation stds (know-why)
  - Operational competency (know-how)
Training design and material development

- Training Objectives
- Strategies and Actions
- Training Need Identification, Target Trainees’ Motivation and Learning Styles
- Determination of Intended Learning Outcomes for respective training programme
- Training Design and Material Development
- Training Effectiveness Evaluation

Feedback loop and refinement
Training Activities

- **Development**
  - Profile survey
  - Capacity building needs analysis

- **Target trainees**
  - Overseas
    - Induction thru paper brief and / or face-to-face briefing before on-site visit
  - HK (specialists from target disciplines / industries with forthcoming exercises)
    - Panelists confirmed to be engaged in accreditation exercises
    - Newly appointed Specialists, esp the VET
    - Experienced panelists identified with training needs by accreditation divisions
    - Specialists with no prior accreditation experience / training
    - Others - self enrolment
## Competencies matrix of panel members

### Areas of competencies required of Panel Members

<table>
<thead>
<tr>
<th>Working in a team environment</th>
<th>Applying the generic skills and values</th>
<th>Applying the principles of quality assurance</th>
<th>Applying the subject / industry expertise</th>
</tr>
</thead>
<tbody>
<tr>
<td>... should be able to:</td>
<td>... should be able to: Generic skills</td>
<td>... should be able to: Operators</td>
<td></td>
</tr>
<tr>
<td>Comply with roles and code</td>
<td>Identify the core essence of the subject matters under investigation</td>
<td>Recognise quality culture</td>
<td></td>
</tr>
<tr>
<td>of conduct of panel members</td>
<td>Prioritise issues</td>
<td>Identify key quality indicators</td>
<td></td>
</tr>
<tr>
<td>Accept responsibilities</td>
<td>Interpret data and synthesise massive amount of information for further investigation</td>
<td>Articulate the HKCAAVQ’s accreditation model</td>
<td></td>
</tr>
<tr>
<td>Differentiate factual information from opinion,</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Competencies for panel chairperson

- Leading discussion
- Focusing on issues of concern
- Directing discussion and evaluation
- Managing team work
- Managing operators’ expectations
- Drawing conclusion
Capacity Building Activities

• **Training**
  – Outcome-based
  – Generic Workshops
  – Workshop for panels
  – Panel briefing before the on-site visit

• **Professional Support**

  Training manual
Training workshop

- One-day
- Voluntary, certificate of attendance from 2010
- Training materials
  - Simulation on case study (generic)
  - Accreditation document (for panel training)
- Programme rundown
  - HKCAAVQ’s Four-stage QA Process (presentation, discussion)
  - Roles of Panel Members in accreditation exercises (presentation, discussion)
  - Panel’s Initial Comments and Panel’s pre-visit meeting (simulated exercise)
  - Do’s and don’ts in an accreditation exercise and questioning techniques (video)
  - Simulated on-site visit meeting (simulated exercise)
  - Debriefing and discussion
- Capacity per class: max. - 30; min. - 18 - 12
## Capacity Building Events held since late 2008

<table>
<thead>
<tr>
<th>Types of activities</th>
<th>No. of sessions</th>
<th>No. of participating Specialists</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Workshop</td>
<td>6</td>
<td>118</td>
</tr>
<tr>
<td>Panelists Workshop</td>
<td>7</td>
<td>42</td>
</tr>
<tr>
<td>Specialists Appointment Ceremony</td>
<td>3</td>
<td>~311</td>
</tr>
<tr>
<td>Exchange Meetings</td>
<td>9</td>
<td>77</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>25</strong></td>
<td><strong>548</strong></td>
</tr>
</tbody>
</table>
Participation rate of the capacity building events

• Over 1,000 local Specialists targeted

• Take-up rate
  – Appointment ceremony: 70%
  – the Panelists Workshop / Briefing: 50% - 100%
  – the Exchange Meetings: 10% - 50%

<table>
<thead>
<tr>
<th>Training Workshops</th>
<th>No. of Specialists invited</th>
<th>No. of Specialists attended the workshop</th>
<th>Invitation Success Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>136</td>
<td>44</td>
<td>32%</td>
</tr>
<tr>
<td>2</td>
<td>441</td>
<td>43</td>
<td>9.8%</td>
</tr>
<tr>
<td>2</td>
<td>(524) 61</td>
<td>31</td>
<td>51%</td>
</tr>
<tr>
<td>Total</td>
<td>(1,101) 638</td>
<td>118</td>
<td>18.50%</td>
</tr>
</tbody>
</table>
Monitoring of Training Effectiveness

Training related

- Specialists' performance in the pre-test and post-test in the training workshops
- Participants’ feedback survey
- Adoption of the four levels of Kirkpatrick’s evaluation model (Kirkpatrick, 2006) on the effectiveness of the training workshops
- Staff’s observation of Specialists’ performance in HKCAAVQ organised activities including training and accreditation exercises.

Others

- Specialists’ sharing in the Specialists Corner of the e-newsletter
- Panel members’ opinion survey after the conduct of the accreditation exercise
- Operators’ feedback at meeting with the HKCAAVQ on the release of the accreditation report as well as their feedback in the annual survey on the accreditation services
# Participants’ Feedback

<table>
<thead>
<tr>
<th>Types of activities</th>
<th>No. of sessions</th>
<th>No. of joining Specialists</th>
<th>Response rate in survey</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Workshop</td>
<td>6</td>
<td>118</td>
<td>78%</td>
</tr>
<tr>
<td>Panelists Workshop/ briefing*</td>
<td>7</td>
<td>42</td>
<td>62.5%*</td>
</tr>
<tr>
<td>Specialists Appointment Ceremony</td>
<td>2</td>
<td>311</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Exchange Meeting</td>
<td>9</td>
<td>77</td>
<td>Not Applicable</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>22</strong></td>
<td><strong>548</strong></td>
<td><strong>---</strong></td>
</tr>
</tbody>
</table>
Participants agreed that the overall quality of the workshops was high.

### Generic

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Agree</th>
<th>No Comment</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Count</td>
<td>50</td>
<td>40</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Panelists

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Agree</th>
<th>No Comment</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Count</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
Participants’ Feedback

• Commendations
  – training materials - case study, presentation and exercises, video
  – presentation and delivery - professional and effective communication on complex concepts
  – training activities - interactive with simulated exercises
  – purpose fit
  – pre- and post-test to gauge the participants’ standards
  – debriefing

• Recommendations for Improvement
  – to run the workshop in two days for in-depth exploration
Panelists’ Feedback Survey
Aug 09 – Dec 10

• Untrained panelists need to be trained prior to accreditation exercises
  – Knowledge of HKQF
  – Determining QF standards / levels
  – Communication ability
  – Attitude (more forthright while not confrontational)
Operators’ Feedback

- Compulsory training of panelists
  - Team work
  - Study of accreditation document
  - Preparation for on-site visits
  - Probing technique at a deeper level
Capability Building Resources

- **In-house staff**
- **1/5 of total manpower of RDT Unit**
- **Trainers**
  - Hands-on accreditation exp
  - Prior exp as operators
  - Training exp
  - Reflective
  - researcher

Staff Time Allocation

- Training design & material dev, 25%
- Review, monitoring and enhancement, 35%
- Actual delivery and preparation, 40%
Challenges and Limitation

• RDT Unit - small unit
• Specialists heterogeneous (QA experience)
• Generic training approach
  – Effective for new Specialists
• Existing Specialists
  – Different expectations and training needs
  – Paradigm shift to accreditation of outcome-based learning programmes
  – New in HK
• Materials in both English and Chinese
Challenges and Limitation

- Training is voluntary
- Mismatch of Specialists on the Register with the needs of the accreditation divisions
- Pool of active and relevant Specialists much smaller than the list
- Reasons for non-participation in training
  - Already have accreditation experience
  - Busy full-time job
  - Conversant with QA principles and process
  - Don’t agree to the new accreditation process involving determining QF level of outcome-based learning programmes
Questions

• Do experienced Specialists have an advantage over the newly appointed ones?
  – Under influence of old and outdated practice
  – Not mastered the skills to evaluate outcome-based learning programmes and determining QF levels
The Way Forward

- Refresher courses
- Chairperson training
- Review of Specialists recruitment strategy
- Further cultivation of sense of belonging as extended family members of HKCAAVQ
- Professionalising Specialists thru various means
  - Forum in e-newsletter
  - Exchange meetings to share views and practices
  - ....
Enquiries

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- **Website:** [http://www.hkcaavq.edu.hk](http://www.hkcaavq.edu.hk)

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