



UNITED ARAB EMIRATES
MINISTRY OF EDUCATION



Framework for Compliance Inspection of Vocational Education Institutions

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Preface

The mission of the Ministry of Education (MoE) Compliance Inspection Sector is to ensure that educational institutions within the United Arab Emirates (UAE) comply with statutory legislation and regulations. The “Framework for Compliance Inspection of Vocational Education Institutions” (hereafter referred to as the VET Inspection Framework) is designed to support the MoE’s mandate and the UAE leadership’s vision to transform into a world-class higher education system. The Inspection Framework describes the process used to inspect Vocational Education and Training Institutions (VETIs), hereafter referred to as Accredited Training Providers (ATPs) in the UAE Federal Law by Decree No. (16) of 2020. The Inspection Framework outlines the guidelines and includes the standards for compliance inspection of ATPs. The standards are based on relevant UAE laws, Bylaws, Decrees, MoE regulations and best practices.

The Inspection Framework is divided into three sections:

Section 1: Describes how ATPs will be inspected. This includes the phases, types and frequency of compliance inspections.

Section 2: Summarises the activities involved in the pre-inspection, inspection and post-inspection phases.

Section 3: Outlines the standards for compliance inspection to which ATPs must comply. There are 10 standards and 8 compliance indicators.

Introduction



The Inspection Framework supports the UAE vision and the National Strategy for Higher Education 2030, which aims to foster a high-quality vocational and higher education system, aligned with the best international standards. The Educational Inspection Directorate for Higher Education Institutions (hereafter referred to as the Directorate) was established in 2016. The Inspection Framework for the compliance inspection of ATPs in the UAE is based on the following;

UAE Laws and Decrees

MoE Regulations and Decrees

Best Practices

National Qualifications Centre (NQC) Quality Standards and Guidelines.

The Inspection Framework forms the basis of all compliance inspections and outlines a structure that will guide ATPs to prepare for the inspection. The Inspection Framework measures the ATP's degree of compliance against the standards and includes:

Reporting Arrangements

Rationale and Purpose of the Compliance Inspection

Inspection Phases

Standards, Domains, Metrics and Compliance Indicators.

Aim

The aim of the compliance inspection is to measure the ATPs' degree of compliance with existing UAE laws, Federal Bylaws, policies, regulations, accreditation, and licencing requirements.

UAE Vocational Education Context

The UAE has a wide range of ATPs across its emirates. The MoE sets the laws, regulations and standards for ATPs' accreditation and qualifications approval. In order to operate, ATPs are required to be accredited through the National Qualifications Centre (NQC). ATPs in Abu Dhabi Centre for Technical and Vocational Education and Training (ACTVET) licenses ATPs in Abu Dhabi. Similarly, the ATPs in Dubai are licensed by the Knowledge and Human Development Authority (KHDA). In other emirates, ATPs are licensed by respective local authorities.



Scope of Inspection

All government and private ATPs delivering NQC approved qualifications, or parts of qualifications at level 3 (Ref Table 1.0) and above are in scope for inspection.

QF Level	MoE – GEC General Education	CAA Higher Education	VETAC Vocational Education and Training Award Council
10		Doctoral	
9		Master	Applied Master
8		Post Graduate Diploma	Applied Graduate Diploma
7		Bachelor	Applied Bachelor
6		Higher Diploma	Advanced Diploma
5		Associate Degree	Diploma
4	Secondary School Certificate (G12)		Certificate 4
3	GCE 'A' Levels Or Advanced Placement Or Equivalent		Certificate 3
2			Certificate 2
1			Certificate 1

Table 1.0: National Qualifications Centre, QF *Emirates* Handbook.



Integrity and Confidentiality

MoE inspection team make judgement decisions based on the review of valid, reliable and sufficient evidence maintained by the ATP. MoE inspection team and the ATPs are required to demonstrate high standards of integrity and transparency across all phases of the inspection. The MoE maintains the highest level of confidentiality across all its processes in accordance with MoE internal policies and procedures.

Section One: Inspection Approach

1. Inspection Phases

2. Types of Inspection:

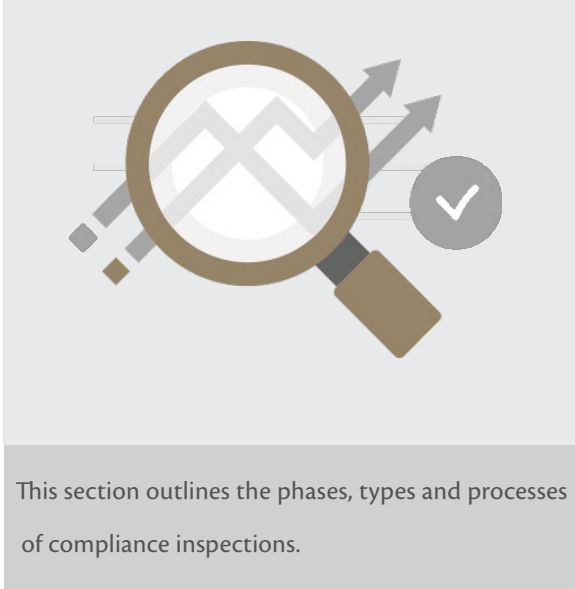
- Full Compliance Inspection (FCI)
- Progress Review Inspection (PRI)
- Purpose-oriented Inspection (POI)

3. Inspection Notification

4. MoE Inspection Portal for ATPs

Inspection Phases

All government and private ATPs delivering approved national and foreign qualifications, or parts of qualifications, at level 3 and above are in scope for inspection (Ref Table 1.0).



Phases of Inspection

1. Pre-inspection
2. Inspection
3. Post-inspection
4. Corrective Action Plan.

The Typical activities within each phase are outlined in Table 2.0

	Phase	Activities
1	Pre-inspection	ATP inspection notification ATPs sharing pre-inspection documentation MoE Inspection Planning.
2	Inspection	MoE/ATP Onsite Visits MoE Evidence Gathering and Analysis MoE Reporting.
3	Post-inspection	MoE Final Report and Quality Assurance MoE Final Report to Internal Stakeholders
4	Corrective Action Plan	ATPs Response to Inspection Outcomes Corrective Actions Reporting on the MoE Inspection Portal MoE’s Review of ATPs Corrective Actions.

Table 2.0: Inspection Phases and Activities.

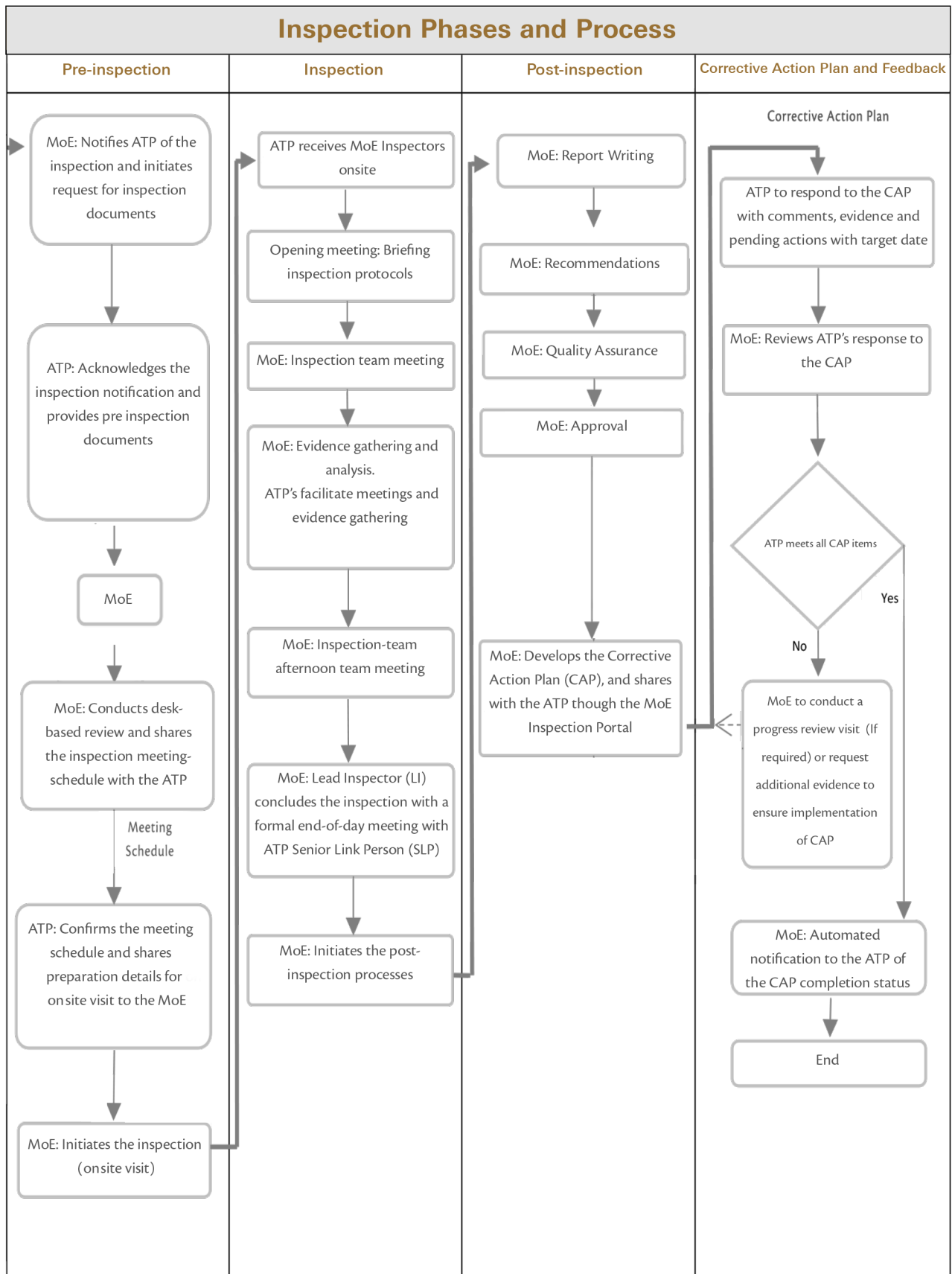
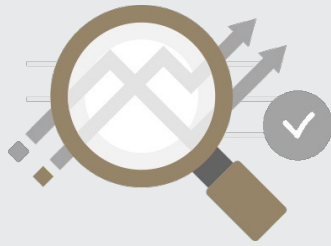


Figure 1.0: Inspection Phases and Processes.

Types of Inspection



There are three types of compliance inspections for ATPs:

Full Compliance Inspection (FCI)

Progress Review Inspection (PRI)

Purpose-oriented Inspection

Visit type, scope and duration of inspections are outlined in Table 3.0.

	Visit Types		
	Full Compliance Inspection (FCI)	Progress Review Inspection (PRI)	Purpose-oriented Inspection
Standards	Standard 1 to 10	Related to Corrective Action Plan	Inquiry-driven/ Theme-related
Compliance Indicators(CI)	CI 1 to 8	Related to Corrective Action Plan	Inquiry-driven/ Theme-related
Inspection Duration	2 to 3 Inspection Days	1 to 2 Inspection Days	1 to 2 Inspection Days

Table 3.0: Visit Types.

Full Compliance Inspection (FCI)

FCI covers 10 standards, which are outlined on page 27 under the section Standards and Compliance Indicators. FCI is based on gathering and analysis of ATPs' institutional documents, previous inspection reports, and employee and learner interviews, to measure the degree to which the ATP is compliant with the VET inspection standards. The overall outcome of the FCI will result in a compliant, partially compliant, or a non-compliant judgement at the domain and standard levels.

Progress Review Inspection (PRI)

PRI measures progress with the ATP's Corrective Action Plan (CAP). PRI focuses only on metrics judged as partially compliant, and/or non-compliant during the previous inspection. However, further inquiries may arise during the PRI inspection process.

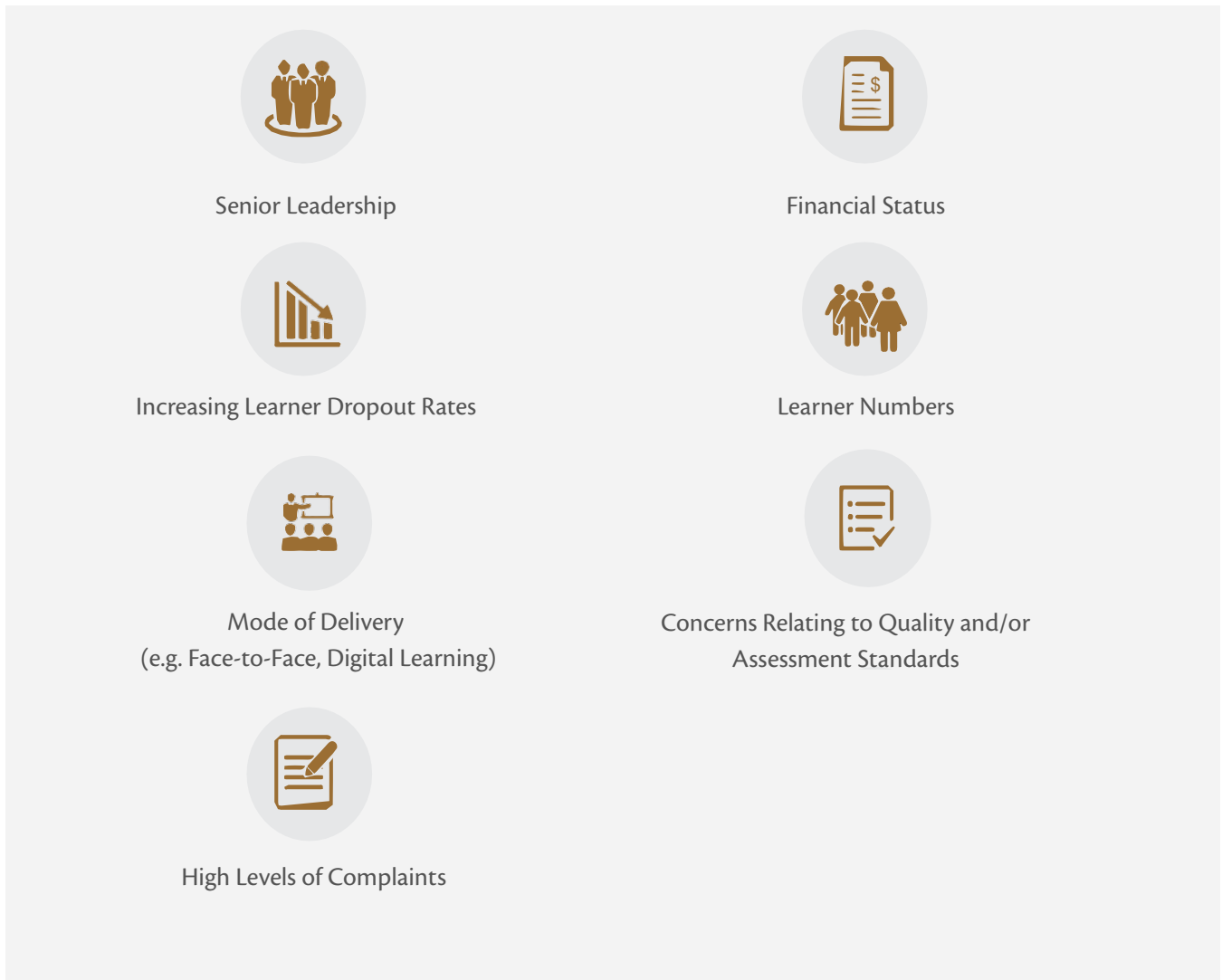
Purpose-oriented Inspection (POI)

POI may arise from the need for clarification by the MoE or lines of inquiry resulting from information received from other stakeholders. POI is an unannounced inspection, and the lines of inquiry are confidential until after the inspection.

Inspection Notification

ATPs subject to scheduled inspection will receive inspection notification three weeks prior to the compliance inspection.

ATPs subject to unannounced inspections will receive no notice prior to the commencement of the compliance inspection. The MoE reserves the right to carry out an unannounced inspection if there are changes to the ATP's operations or circumstances. These may include, but are not limited to:



MoE Inspection Portal for ATPs

The MoE operates an online inspection portal. ATPs access the portal to respond to the CAP and to submit institutional documentations for inspection. ATPs are provided with access credentials to manage their activities on the portal.

Section Two: Inspection Process

1. Pre-inspection Phase:

- Inspection Plan
- Inspection Documentation
- Desk-based Analysis

2. Inspection Phase:

- Onsite Inspection Process
- Senior Link Person
- Inspection Activity Plan

3. Post-inspection Phase:

- Reporting (MoE Internal Process)
- Corrective Action Plan

Pre-inspection Phase

Inspection Plan

During the pre-inspection phase, the MoE will send a visit plan to the ATP that outlines the scope of the compliance inspection, inspectors' resource requirements and a schedule of proposed activities for each day of the compliance inspection. This approach will help the ATP to prepare effectively for the provision of:

- An assigned Senior Link Person (SLP) from the ATP to coordinate with the MoE inspection team
- A base room and Wi-Fi access
- Meeting Schedule
- Additional documentation.

Inspection Documentation

This phase involves processes related to pre-inspection documentation analysis and the planning of the compliance inspection. ATPs scheduled for a compliance inspection will be notified by the MoE to provide a range of inspection documentation and to agree on the proposed inspection schedule. Inspection documents are institutional documents or resources which are available for the MoE inspection team during the inspection process. These institutional documents are expected to be up-to-date and approved, and organised in folders and follow MoE recommended naming conventions.

Instruction to share and organise documents

All documents should be organized in folders aligned with the following MoE recommended naming conventions:

- General documentation
- Standard -1 Policies and Procedures
- Standard -2 Strategic Leadership and Quality Assurance
- Standard -3 Qualifications and Admissions
- Standard -4 Human Resources
- Standard -5 Learner Provision
- Standard -6 Infrastructure Services
- Standard -7 Financial Management
- Standard -8 Regulatory Disclosure
- Standard -9 Social Responsibility and Engagement
- Standard -10 Occupational Environment, Health and Safety

Note:

- On-site additional inspection documents (documents provided during inspection upon request)
- No additional documents should be uploaded or modified unless requested/approved by MoE.

Inspection forms

- Key Data Form
- Contract Register
- Employee Register
- Institutional Documents Approval Status.

General Documents

- Copy of ATP accreditation and qualification approval letters
- Organisational chart
- Academic calendar
- Policies and Procedures Manual
- Sample qualification documents
- Sample unit standards
- Employee Handbook
- Qualifications/Training Programmes Handbook
- Learner Handbook/Guide
- Learner Workplace Training Logbook/Handbook qualifications approval document
- Admission requirements for approved qualifications
- External and internal verification reports (issued in the past 2 years to 3 years)
- Tenancy contract
- Business/trade licence
- Strategic plan and annual institutional operational plan.

Standard 1: Policies and Procedures

- Records of approved policies and procedures
- Minutes of meetings to standardise and approve:
 - i. Policies and Procedures
 - ii. Strategic Plan
 - iii. Operational Plans
 - iv. Learner Handbook
 - v. Employee Handbook
 - vi. Website.
- Revision logs (version history) for policies and procedures, manuals and handbooks, electronic and hard copies of documents, website
- Access to archives or repositories (previous versions of institutional documents).

Standard 2: Strategic Leadership and Quality Assurance

- Strategic management/committee/council meeting minutes (for the last 2 years)
- Approval of vision, mission statements, five-year strategic plan and organisational chart
- Substantive change (if any) approvals from the NQC/Awarding Body (AWB)
- Records of correspondence relating to major approvals from NQC/AWB
- Recent regulations or directives from NQC/AWB
- Up-to-date CVs, job descriptions and employment contracts for the senior leadership team
- Self-evaluation reports of functional units, annual operational and improvement plan
- Institutional self-study report
- VET annual institutional improvement action plan
- Risk management plan
- Institutional risk register
- All associated policies and procedures (up-to-date and approved).

Standard 3: Qualifications and Admissions

- Qualification Document (QD) for each qualification endorsed or recognised qualification and approved within its scope of delivery
- Unit Standards for each qualification approved within its scope of delivery
- Training and Assessment Guides
- Assessment Strategy/System
- Learner Workplace Training Logbook/Handbook
- Learner Portfolios
- Internship/Apprenticeship/Work Placement Agreements
- Internship/Apprenticeship programme orientation (emails/workshop/minutes).
- Internship/Apprenticeship programme evaluation report
- List of work placement/apprenticeship/internship coordinators
- Sample of learner transcripts
- All associated policies and procedures (up-to-date and approved).

Standard 4: Human Resources

- Access to employee files
- Evidence of employee Continuous Professional Development (CPD)/(training)
- Evidence of employee annual safeguarding training
- FAHR or concerned authorities approval for hosting conferences and workshops for domestic, or foreign guest speakers
- Performance evaluation records
- All associated policies and procedures (up-to-date and approved).

Standard 5: Learner Provision

- Learner records
- Career planning/guidance documents
- Records of it support training provided to learners
- Records of health services/pastoral care provided to learners
- Records of learner orientation
- All associated policies and procedures (up-to-date and approved).

Standard 6: Infrastructure Services

- Contracts and agreements with other learning resources providers
- Records of learners and employees' orientation to access learning resources
- Access to electronic learning resources
- IT/physical security/data security, data backup and recovery contracts/agreements
- All associated policies and procedures (up-to-date and approved).

Standard 7: Financial Management

- Financial management and budgeting risk register
- Access to up-to-date and approved budget for the current and future academic year
- Access to up-to-date and approved internal and external audit reports
- Valid insurance documents
- Annual budget for auxiliary enterprises
- Details of finance-related committees and meeting minutes
- Assets register
- Learner transportation contract and fees
- All associated policies and procedures (up-to-date and approved).

Standard 8: Regulatory Disclosure

- ATP accreditation letters
- Qualification approval letters
- Business/trade or commercial licence
- Partnership agreements/contracts/MoUs/licences
- NQC approval permits
- Contract evaluation and assessment records
- Satisfaction surveys for website and publications
- ATP academic calendar/timetables/consultation schedules
- Learner completion and employment rate
- Marketing/promotion resources
- All associated policies and procedures (up-to-date and approved).

Standard 9: Social Responsibility and Engagement

- Social responsibility/community outreach strategy
- Social responsibility plan
- Social responsibility committee records
- External stakeholders advisory committee
- Records of social responsibility activities
- Employer database
- All associated policies and procedures (up-to-date and approved).

Standard 10: Occupational Environment, Health and Safety

- Up-to-date and approved Environment Health and Safety Manual
- EHS officer file (contract/qualifications, training, CV)
- Civil Defence approval for LPG gas system installation (if applicable)
- Civil Defence Conformity of Preventive Safety Requirements Certificate
- Up-to-date and approved emergency preparedness and response plan (including evacuation procedures)
- Records of evacuation drills (for last 2 years)
 - i. Internally
 - ii. In co-operation with the Civil Defense
- Up-to-date and approved EHS risk assessment records
- Safety manual of work for specialised areas/laboratories/workshops, etc.
- Approval for using animals for experiments or radioactive sources or cadavers for educational/research purposes (if applicable)
- Hazardous waste disposal contract and records (medical and chemical, etc.)
- Contract of the company providing maintenance service for gas Supplies (if applicable)
- EHS orientation/training record for learners, staff and faculty (including first-aid, firefighting, lab safety training etc).
- Maintenance records for devices and facilities
- Approval for changes/modifications to the facilities (if applicable)
- Approved building layouts
- Procedures to monitor and reduce water, energy consumption and waste production
- All associated policies and procedures (up-to-date and approved).

Clinic:

- Clinic licence (if applicable)
- Nurse licence (if applicable)
- Occupational health/injury incident reports (including the results of investigations and the associated improvement action plans).

Security:

- Security guard licences from relevant authorities
- Licence/approval by the relevant authorities for the installation of surveillance systems (e.g MCC in Abu Dhabi, SIRA in Dubai, Sharjah Police, etc)
- Up-to-date records of all surveillance system maintenance and cleaning operations including operator's names with the time and date.

Learner Transportation:

- Drivers' licence
- Bus licences
- Transportation service provider commercial license (if applicable).

Swimming pool (if applicable):

- Lifeguard licence and approved qualifications (e.g., International Lifeguard Training Program (ILTP), National Pool Lifeguard Qualification (NPLQ))
- Contract of the company providing the pool maintenance
- Records of the periodic chemical and microbiological water sampling tests.

Canteen (if applicable):

- Catering facility license/approval by relevant food control authority
- Staff food safety training and medical fitness certificates.

Fire Extinguishers:

- Maintenance company contract
- Maintenance records for all fire extinguishers.

Fire Alarm System:

- Maintenance company contract
- Maintenance records for the fire alarm system.

Pest Control Practices:

- Service provider contract
- Records for pest control service.

Water Tanks:

- Contract with the company providing water tank cleaning service
- Up-to-date records for water tank disinfection
- Report for water quality test from specialised laboratory.

Desk-based Analysis

MoE inspection team will identify the lines of enquiry based on the review of the ATP documentation, website, social media and other publications.

Inspection Phase

Onsite Inspection Process

This phase involves protocols and processes related to onsite inspection visit, evidence gathering through document review, interviews and focus groups. Compliance inspection protocols are outlined below.

MoE will	
Assign a Lead Inspector (LI) to liaise with the ATP	
MoE Inspection Team will	
Be courteous and professional at all times	Abide by the rules and protocols of the ATP
Base their judgement against the 10 standards and 8 Compliance Indicators (CIs)	Conduct interviews and undertake other activities so that they can determine the link between ATP documents, policies and practices
Schedule meetings with ATP employees and learners	Ensure confidentiality of all ATP's information in accordance with the MoE internal policies

MoE expects the ATP to:

- Provide a base room and additional meeting rooms to conduct meetings
- Confirm the meeting schedule with the SLP and the availability of ATP employees/learners prior to and during the inspection.
- Assign an SLP as a key liaison point of contact
- Ensure MoE inspection team meetings are uninterrupted
- Provide information to the MoE inspection team within the agreed timescales
- Inform the MoE inspection team of any specific rules, or protocols that need to be followed
- Refrain from contacting inspection team during the pre- or post-inspection phase
- Provide additional documents/existing documents upon request.

Senior Link Person

The CEO of the ATP must nominate a Senior Link Person (SLP) to assist inspection team during all phases of the inspection. The SLP must ensure inspection team are provided with all the assistance they need to complete the inspection. The SLP is expected to:

- Have a detailed understanding of the ATP's qualifications and operations
- Be sufficiently senior to enlist the effective collaboration of all employees
- Exchange key information with the MoE lead inspector to enable inspection planning.
- Inform ATP employees about the inspection process
- Facilitate communication throughout the inspection process
- Cooperate with the MoE inspection team, ensure that ATP employees attend meetings, and provide requested documentation.

Inspection Activity Plan

Compliance inspections are scheduled for a duration of two to three days as outlined in Table 4.0.

Schedule of Inspection Phase Activities			
Time	Day 1	Day 2	Day 3
8:30	Arrive at the ATP		
9:00	Opening meeting with the CEO/SLP	8:30 MoE inspection team meeting	
9:30	MoE Inspection team meeting	9:00 Inspection evidence gathering	
10:00	Inspection evidence gathering		
10:30			
11:00			
11:30			
12:00			
12:30			
13:00	Break		
13:30	MoE inspection team meetings		
15:30	MoE inspection team depart after brief feedback to the SLP.		

Table 4.0: Inspection Schedule.

Note: Days may vary and meeting times area subject to change should circumstances dictate

Reporting (MoE Internal Process)

The reporting phase includes the following processes:

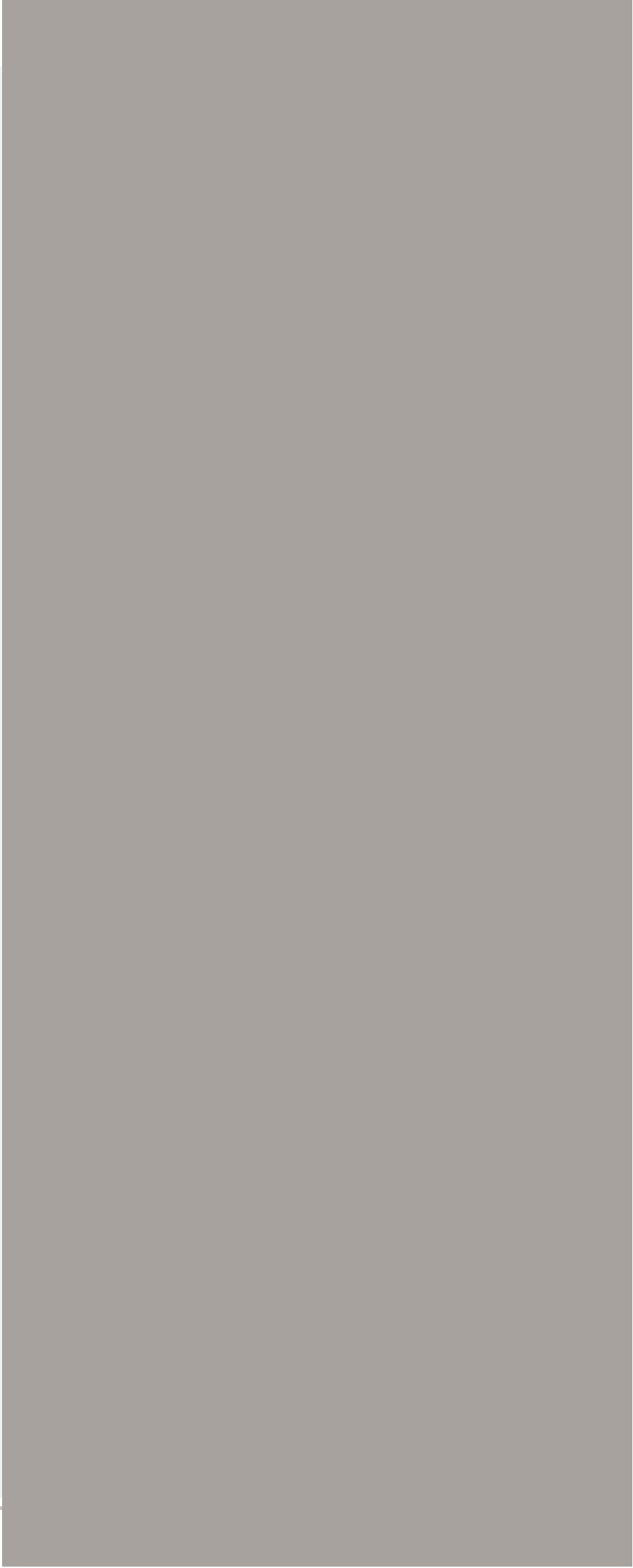
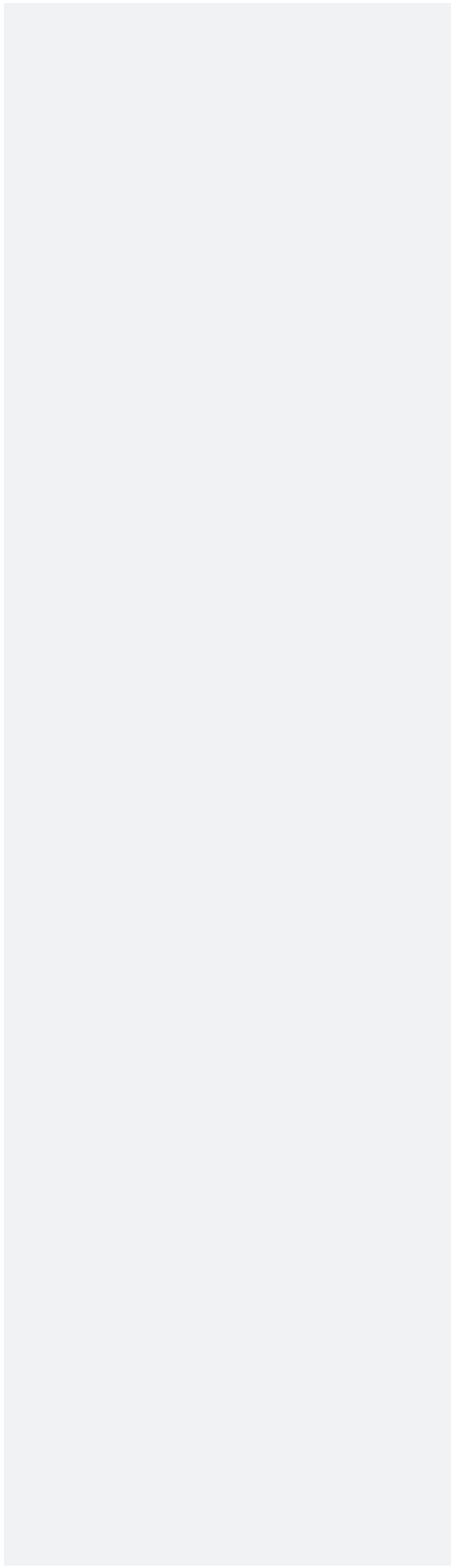
Report Writing: On completion of the onsite inspection, inspectors will review the findings and finalise the inspection report back at MoE.

Quality Assurance (QA) and Translation: Inspection findings are subject to rigorous quality assurance processes.

Report Approval: The final report is approved by the MoE Assistant Undersecretary for the Inspection Sector.

Corrective Action Plan

The MoE will use the inspection report to create a Corrective Action Plan (CAP) for the ATP to address all partially compliant and non-compliant judgements. The ATP will receive the CAP through the MoE Inspection Portal. The ATP must implement the required corrective actions and provide the MoE with updated evidence to demonstrate its compliance within the agreed timeline (see Figure 1.0).



Section Three:

Standards for Compliance Inspection of Vocational Education Institutions

- **Standards and Compliance Indicators**
- **Overview of Standards**
- **Standards, Domains and Metrics**
- **Compliance Indicators**

Standards and Compliance Indicators

This section identifies the standards and associated compliance indicators.

	Standard	Compliance Indicators (CIs)
1	Policies and Procedures	CI 1: Policies and Procedures
2	Strategic Leadership and Quality Assurance	
3	Qualifications and Admissions	CI 3a: Learner Portfolio CI 3b: Assessment System CI 3c: Learner Workplace Training Logbook / Handbook
4	Human Resources	CI 4a: Employee Handbook CI 4b: Employee Database
5	Learner Provision	CI 5a: Learner Handbook/Guide
6	Infrastructure Services	
7	Financial Management	
8	Regulatory Disclosure	CI 8a: Website
9	Social Responsibility and Engagement	
10	Occupational Environment, Health and Safety (EHS)	

Table 5.0 Standards and Compliance Indicators.

Overview of the Standards

This section provides a brief summary of the standards.

Standard 1: Policies and Procedures

This standard describes the institutional policies and procedures that the ATPs are required to maintain and implement to support its training and administrative operations. ATPs are expected to specify the procedures governing the development, review and archival of its policies.

Standard 2: Strategic Leadership and Quality Assurance

This standard outlines the operational strategic and governance practices that the ATPs are required to maintain and implement to meet its quality objectives.

Standard 3: Qualifications and Admissions

This standard outlines the qualification, admission and assessment practices that the ATPs are required to maintain and implement to support its training, assessment and Internal Quality Assurance (IQA) activities.

Standard 4: Human Resources

This standard outlines the selection, recruitment, appraisal and professional development practices that the ATPs are required to maintain and implement to support its human resource management activities.

Standard 5: Learner Provision

This standard outlines the learner provision practices that the ATPs are required to maintain and implement to support its learner's activities.

Standard 6: Infrastructure Services

This standard outlines the technological and learning resources related practices that the ATPs are required to maintain and implement to support its operational infrastructure.

Standard 7: Financial Management

This standard outlines the accounting, budgetary and auditing practices that the ATPs are required to maintain and implement to support its financial activities.

Standard 8: Regulatory Disclosure

This standard outlines regulatory compliance, contractual arrangements and institutional publication practices that the ATPs are required to maintain and implement, to support its licencing, accreditation and approval activities.

Standard 9: Social Responsibility and Engagement

This standard outlines the community engagement, employer collaboration and industry coordination practices that the ATPs are required to maintain and implement to support its social responsibility and engagement activities.

Standard 10: Occupational Environment, Health and Safety

This standard outlines the laws and safety regulations that the ATPs are required to maintain and implement to support its occupational environment, health and safety activities.

Standards, Domains and Metrics

The aim of the compliance inspection is to measure the ATPs degree of compliance with existing UAE laws, Federal Bylaws, policies, regulations, accreditation and approval requirements. The compliance inspection standards are organised into metrics and domains that reflect distinct training and operational aspects of the institution. All the standards, domains and metrics are listed below:

1. Policies and Procedures

1.1. Policies and Procedures Manual

- 1.1.1. The ATP must ensure that the policies and procedures manual/online system includes all the information specified in Compliance Indicator (CI) 1: Policies and Procedures.
- 1.1.2. The ATP must ensure that it maintains up-to-date and approved policies and procedures governing all aspects of the ATP, within a consolidated manual/online system.
- 1.1.3. The ATP must ensure that it maintains records of reviews and amendments to policies and procedures that include date of review, approving authority and version control.
- 1.1.4. The ATP must ensure that all learners, employees and other stakeholders have access to either a hardcopy or electronic copy of up-to-date and approved policies and procedures.
- 1.1.5. The ATP must archive previous editions of all its policies and procedures for a minimum period of five years or since its establishment.

2. Strategic Leadership and Quality Assurance

2.1. Vision and Mission

- 2.1.1. The ATP must maintain and publish up-to-date and approved vision and mission statements.

2.2. Organisation

- 2.2.1. The ATP must maintain and publish an up-to-date and approved organisational chart distinguishing between training and administrative units.
N.B. This includes publishing up-to-date and approved organisational chart in its policies and procedures manual/online System.

2.3. Governance

- 2.3.1. The ATP must ensure that it obtains a formal approval from the National Qualifications Centre (NQC)/Awarding Body (AWB) prior to implementing any proposed changes.
- 2.3.2. The ATP must ensure that:
 - i. it maintains a formal learner council headed by a learner representative
 - ii. its learner council meets a minimum of twice per annum
 - iii. it maintains up-to-date records of its learner council meetings.
- 2.3.3. The ATP must ensure that it formally assigns a Chief Executive Officer (CEO)/Director to undertake its day-to-day institutional operational responsibilities.
- 2.3.4. The ATP must ensure that it formally assigns a deputy 'Authorised Person' to liaise, communicate, and resolve matters with the NQC/AWB.

2.4. Institutional Planning

- 2.4.1. The ATP must maintain an up-to-date and approved long-term strategic plan.
- 2.4.2. The ATP must maintain up-to-date and approved annual operational plans for its training and administrative units that ensure the setting of Key Performance Indicators (KPIs).
- 2.4.3. The ATP must maintain an approved annual self-evaluation report that includes its improvement action plan.

2.5. Risk Management

- 2.5.1. The ATP must maintain and implement an up-to-date and approved risk management plan/strategy that identifies, but is not limited to:
- i. personnel roles and responsibilities
 - ii. risk register including potential risk, probability of risk, and impact of risk.

3. Qualification and Admission

3.1. Qualification Document

- 3.1.1. The ATP must maintain an NQC approved Qualification Document (QD) for each qualification approved within its scope of delivery.
- 3.1.2. The ATP must ensure that its admission procedures and requirements are published on its website and other relevant institutional publications.
- 3.1.3. The ATP must maintain records relating to learner registration and certificate claims.

3.2. Unit Standard

- 3.2.1. The ATP must maintain up-to-date and approved Unit Standard documents for each qualification approved within its scope of delivery.

3.3. Learner Portfolio

- 3.3.1. The ATP must maintain an up-to-date and approved Learner Portfolio for each qualification that includes all the information specified in Compliance Indicator (CI) 3a: Learner Portfolio.

3.4. Assessment System

- 3.4.1. The ATP must maintain and implement up-to-date and approved policies and procedures governing its Assessment System that meet the requirements of Compliance Indicator (CI) 3b: Assessment System.
- N.B. This may be supplemented by policies and procedures required to regulate any significant institutional activity or process that impacts its quality standard.

3.5. Work Placement/Internship/Apprenticeship Handbook

- 3.5.1. The ATP must maintain and publish, an up-to-date and approved Learner Workplace Training Logbook/Handbook.
- N.B. Work placement is considered synonymous with internship/on-the-job and/or any other method of work placement offered as part of its educational programmes.
- 3.5.2. The ATP must ensure that its Learner Workplace Training Logbook/Handbook meets all the requirements specified in Compliance Indicator (CI) 3c: Learner Workplace Training Logbook/Handbook.

4. Human Resources

4.1. Employee Handbook

- 4.1.1. The ATP must maintain an up-to-date and approved Employee Handbook.
- 4.1.2. The ATP must ensure that its Employee Handbook meets all the requirements specified in Compliance Indicator (CI) 4a: Employee Handbook.
- N.B. This may be supplemented by policies and procedures required to regulate any significant institutional activity or process that impacts its quality standard.

4.2. Equivalency and Attestation

- 4.2.1. The ATP must ensure that its trainers, assessors and IVs obtain a certificate of attestation by the MoE if their academic qualifications are issued by nationally accredited Higher Education Institutions located inside the UAE.
- 4.2.2. The ATP must ensure that its trainers, assessors and IVs obtain a certificate of equivalency by the MoE if their academic qualifications are issued by Higher Education Institutions located outside the UAE.
- 4.2.3. The ATP must maintain records of its complete application process to obtain recognition of all employee qualifications from the MoE, within one month of their starting date.

4.3 Administrative Unit

- 4.3.1. The ATP must ensure that its financial activities are managed by a formally designated, qualified and/or experienced individual to undertake the assigned responsibilities.
- 4.3.2. The ATP must ensure that its learner services activities are managed by a formally designated, qualified and/or experienced individual to undertake their assigned responsibilities.
- 4.3.3. The ATP must ensure that its human resources activities are managed by a formally designated, qualified and/or experienced individual to undertake their assigned responsibilities.
- 4.3.4. The ATP must ensure that IQA/IV activities are undertaken by a formally designated, NQC-recognised/approved, qualified and/or experienced individual(s) to undertake the assigned responsibilities.
- 4.3.5. The ATP must ensure that its learning resources activity are managed by a formally designated, qualified and/or experienced individual to undertake the assigned responsibilities.

4.4. Employee Records

- 4.4.1. The ATP must maintain records of an orientation programme for newly appointed employees, which includes coverage of:
 - i. the UAE national identity, culture, values and heritage
 - ii. the UAE laws and regulations.
- 4.4.2. The ATP must maintain an up-to-date and approved Employee Database that includes all the information specified in Compliance Indicator (CI) 4b: Employee Database.
- 4.4.3. The ATP must use an electronic Emirates Identification (EID) reader or other legally authorised measures to record Emirates Identification numbers of each employee.
- 4.4.4. The ATP must retain electronic records of Emirates Identification numbers (EID) for all employees, for 10 years after leaving the institution.

4.5. Continuous Professional Development

- 4.5.1. The ATP must ensure all employees receive annual safeguarding training.

N.B. Safeguarding refers to protecting a learner's health, wellbeing and human rights; enabling them to study free from harm, abuse and neglect.
- 4.5.2. The ATP must ensure all employees receive annual training to support learners of determination.

N.B. Learner of determination refers to learners who need assistance because of a disability that limits their intellectual and/or physical abilities.
- 4.5.3. The ATP must maintain records of approval from FAHR or concerned authorities prior to hosting conferences and inviting external guest speakers.
- 4.5.4. The ATP must maintain records of Continuous Professional Development (CPD) plans for its employees.

4.6. Performance Monitoring

- 4.6.1. The ATP must ensure that it conducts annual performance evaluations for all its employees and must include documented feedback acknowledged by the employee.

5. Learner Provision

5.1. Learner Handbook

- 5.1.1. The ATP must maintain an up-to-date and approved Learner Handbook/Guide.
- 5.1.2. The ATP must ensure that its Learner Handbook/Guide includes all the requirements specified in Compliance Indicator (CI) 5a: Learner Handbook/Guide.

5.2. Learner Records

- 5.2.1. The ATP must maintain administrative systems and processes that ensure confidentiality of all learners' records.
- 5.2.2. The ATP must maintain secure archive storage and accessibility of transcripts and completion authentication for a minimum of fifty years.
- 5.2.3. The ATP must maintain up-to-date learner attendance records.
- 5.2.4. The ATP must maintain up-to-date and approved learner publications and records of learner operated media.
- 5.2.5. The ATP must maintain up-to-date and approved records governing:
 - i. disciplinary practices
 - ii. learner grievances
 - iii. complaints and appeals.
- 5.2.6. The ATP must maintain up-to-date and approved records governing equity, diversity and inclusion.

5.3. Learner Services

- 5.3.1. The ATP must provide learners with an orientation/induction of its services including learning resources/training facilities.
- 5.3.2. The ATP must provide learners with support for career planning including but not limited to:
 - i. facilitating career planning/employer engagement activities
 - ii. facilitating dedicated workshops for career planning
 - iii. providing access to specialised resources to enhance employability skills.
- 5.3.3. The ATP must ensure it formally communicates consultation schedules with its learners to meet with their assessors.
- 5.3.4. The ATP must ensure that learners are provided with support to enhance their Information and Communication Technology (ICT) skills.
- 5.3.5. The ATP must provide learners with information on how to access its health services including psychological health services/ personal counselling and pastoral care.

N.B. This information must be published on its website, learner handbook and other relevant institutional documents.
- 5.3.6. The ATP must implement procedures governing gender segregation (if applicable).
- 5.3.7. The ATP must implement procedures governing the establishment, conduct and supervision of learner activities.

6. Infrastructure Services

6.1. Learning Resource Centre

- 6.1.1. The ATP must ensure that it facilitates continuous physical or remote access to its learning resources.

6.2. Information and Communication Technology

- 6.2.1. The ATP must maintain ICT resources and implement continuous services relating to:
 - i. hardware
 - ii. software (applications and systems)
 - iii. digital multi-media (audio, video, text, graphics, etc.)
 - iv. internet (Wi-Fi) and intranet
 - v. data storage
 - vi. ICT technical support.
- 6.2.2. The ATP must maintain security measures that protect the confidentiality of its institutional data and networks.
- 6.2.3. The ATP must maintain off-site secure, continuous and electronic backup for its employee and learner records.

7. Financial Management

7.1. Finance Operations

- 7.1.1. The ATP must maintain a UAE-based bank account in its own name or authorised access to a shared/enterprise bank account.
- 7.1.2. The ATP must maintain a financial management and budgeting risk register.
- 7.1.3. The ATP must maintain public liability, personnel liability and replacement insurances for its physical facilities and equipment.
- 7.1.4. The ATP must maintain separate financial accounts for its auxiliary enterprises.
- 7.1.5. The ATP must maintain a contingency fund.
- 7.1.6. The ATP must publish and adhere to its tuition fees and refund regulations stated on its website, and in its Learner Handbook/Guide.
- 7.1.7. The ATP must maintain up-to-date and approved records governing purchasing and inventory management.

7.2 Budget

- 7.2.1. The ATP must provide an annual budget approved by the concerned authority.
- 7.2.2. The ATP must allocate an approved annual budget for the routine, preventive, planned and deferred maintenance for its educational related premises.
- 7.2.3. The ATP must allocate an approved annual budget for its learning resources.
- 7.2.4. The ATP must allocate an approved budget to support annual CPD activities.
- 7.2.5. The ATP must maintain an up-to-date and approved budget for the hardware and software.
- 7.2.6. The ATP must maintain a financial management system to support its financial activities.

7.3. Salaries

- 7.3.1. The ATP must maintain verifiable records to ensure that all employees receive their salary on time.

7.4. Auditing

- 7.4.1. The ATP must ensure that its annual fiscal year audit is conducted by an independent external certified accountant.

8. Regulatory Disclosure

8.1. Regulatory Compliance

- 8.1.1. The ATP must maintain up-to-date and approved legal documents in relation to its establishment, accreditation and approval of national and foreign qualifications.
- 8.1.2. The ATP's business licence must specify the:
 - i. ATP's name
 - ii. location
 - iii. issue date
 - iv. expiry date
 - v. its legal representative and their nationality (where appropriate).
- 8.1.3. The ATP must obtain an approval from the NQC to deliver all its credit-bearing international qualifications.
- 8.1.4. The ATP must ensure that it issues final certificates and conduct final assessments and examinations within a maximum period of one month after the learners' completion in the approved educational and training institutions.
- 8.1.5. The ATP must ensure that it does not use the logo of the Ministry of Education or the logo of the National Qualifications Center on the certificates of learners affiliated with the approved educational and training institutions.
- 8.1.6. The ATP must maintain up-to-date and approved procedures governing copyright and intellectual property.

8.2. Contracts

8.2.1. The ATP must maintain up-to-date and approved contractual agreements governing all academic and administrative partnerships that identify each party's obligations and benefits. The partnerships may include diverse entities such as education, business, technology, healthcare, library and hospitality.

8.3. Website

8.3.1. The ATP must maintain an up-to-date and approved website that includes all the information specified in Compliance Indicator (CI) 8a: Website.

8.4. Public Disclosure

8.4.1. The ATP must ensure that all its hardcopy and softcopy publications are consistent with each other, and accurately portray the ATP in relation to its approved qualifications and operations, so that learners and their families can make informed decisions about enrolment.

8.4.2. The ATP must ensure that the advertisement of the qualification adheres with the MoE/NQC/AWB rules and conditions to regulate the use of advertisements in print, audio-visuals and social media to introduce the ATPs, and their qualifications and shall be limited to the main information represented by the following:

- i. the name of the ATP
- ii. the qualification title
- iii. the accreditation authority of the ATP as well as the approval authority of the programme in the country
- iv. the international recognition of the ATP
- v. the international accreditation of the qualification
- vi. the ATP international classification and the qualification international classification.

8.5. Relationship with the Ministry of Education

8.5.1. The ATP must ensure that it maintains a cooperative relationship with the MoE by scheduling meetings, providing resources in a timely manner, and supplying all requested documents and information during all phases of the inspection.

9. Social Responsibility and Engagement

9.1. Strategy

9.1.1. The ATP must maintain an up-to-date and approved social responsibility and engagement plan.

9.1.2. The ATP must ensure that its social responsibility and engagement plan is accessible to employees.

9.2. Coordination

9.2.1. The ATP must maintain a social responsibility and engagement committee composed of internal and external stakeholders.

9.2.2. The ATP must maintain an up-to-date database of its graduates (learners who completed and attained the qualification) and activities undertaken.

9.3. Collaboration

9.3.1. The ATP must maintain up-to-date and approved records of its advisory committees' actions on training and/or administrative initiatives.

9.3.2. The ATP must maintain an up-to-date employer database used for learner work placements, job applications and any other related training and/or administrative initiatives.

10. Occupational Environment, Health and Safety

10.1. EHS Management system

- 10.1.1. The ATP must maintain, publish and disseminate an up-to-date and approved Environment, Health and Safety (EHS) Manual.
- 10.1.2. The ATP must ensure that health and safety responsibilities are managed by an appointed and qualified health and safety officer/staff member who is available during operational hours.
- 10.1.3. The ATP must maintain an up-to-date and approved EHS risk assessment for all its operations and facilities.
- 10.1.4. The ATP must maintain up-to-date records of its EHS orientation/training programmes provided to all learners, staff and contractors.
- 10.1.5. The ATP must display safety signage to alert internal and external stakeholders of potential dangers, and safety procedures across its educational facilities.
- 10.1.6. The ATP must maintain an up-to-date and approved emergency preparedness and response plan that includes potential emergency situations, response procedures and roles/responsibilities.
- 10.1.7. The ATP must maintain annual records of its emergency evacuation drills.

10.2. Licenced Facilities

- 10.2.1. The ATP must ensure its catering provision is approved by the relevant food control authority.
- 10.2.2. The ATP must ensure that catering staff maintain food safety training records and occupational health certificates from relevant authorities.
- 10.2.3. The ATP must ensure its clinic and nurse are licensed by the relevant authorities.
- 10.2.4. The ATP must ensure that all bus drivers maintain valid driving licences.
- 10.2.5. The ATP must maintain valid bus licences and a valid commercial licence for transportation service providers.
- 10.2.6. The ATP must maintain a valid "Certificate of Conformity" with the preventive safety requirements issued by the Civil Defense.
- 10.2.7. The ATP must maintain records of approvals obtained from concerned authorities for any modifications to its facilities, buildings and activities.
- 10.2.8. The ATP must maintain a certificate of approval from the Civil Defence for the installation of Liquid Petroleum Gas Systems (LPG).

10.3. Health and Security Services

- 10.3.1. The ATP must ensure that its health services are available during operational hours (clinic/nurse/first-aid services, etc).
- 10.3.2. The ATP must ensure it maintains an up-to date incidents register.
- 10.3.3. The ATP must ensure all campus visitors sign in a register.
- 10.3.4. The ATP must ensure that security guards are qualified and licensed by the relevant authorities.
- 10.3.5. The ATP must ensure that its buildings are monitored by a digital surveillance system that is installed by an approved company from the relevant control authorities.
- 10.3.6. The ATP must maintain an annual maintenance contract for its surveillance systems with a licenced company.
N.B. Applicable to institutions in the Emirates of Abu Dhabi and Dubai.
- 10.3.7. The ATP must maintain up-to-date records of all maintenance and cleaning operations of the surveillance system including operator's names with the time and date

10.4. Specialised Laboratories and Workshops

- 10.4.1. The ATP must maintain up-to-date and approved laboratories and workshops safety manuals.
- 10.4.2. The ATP must maintain up-to-date and approved procedures governing the safe storage, usage and disposal of hazardous substances.
- 10.4.3. The ATP must maintain up-to-date records of laboratory and workshops safety orientation/training provided to its concerned learners and employees.
- 10.4.4. The ATP must ensure laboratory and workshop users are provided with Personal Protective Equipment (PPE) based on the types of operations undertaken.
- 10.4.5. The ATP must ensure laboratories and workshops are equipped with safety equipment based on the type of operations undertaken.
- 10.4.6. The ATP must ensure that chemicals are segregated based on their properties and stored in designated, ventilated cabinets.
- 10.4.7. The ATP must ensure its laboratories and workshops are equipped with clean and hygienic hand washing facilities.
- 10.4.8. The ATP must display safety signage and instructions in its laboratories and workshops.
- 10.4.9. The ATP must ensure that all chemicals are stored in designated rooms and labelled in their original containers.
- 10.4.10. The ATP must ensure that safety data sheets (SDS) are maintained for chemicals in laboratories and workshops.
- 10.4.11. The ATP must ensure that animals used for experiment or testing purposes, radioactive substances and/or cadavers are approved by the relevant authorities.
- 10.4.12. The ATP must ensure that laboratory and workshop equipment and machines are installed safely and maintained in a safe working environment.
- 10.4.13. The ATP must ensure that its laboratories have fire-rated doors.
- 10.4.14. The ATP must ensure hazardous substances are handled and transferred safely.
- 10.4.15. The ATP must ensure it maintains visual fire alarm systems in areas with excessive noise levels or acoustic insulation.
- 10.4.16. The ATP must ensure its media studio (music/film) walls are equipped with fire-resistant and soundproof materials.

10.5. Swimming Pool Facility

- 10.5.1. The ATP must ensure that swimming pool lifeguards are licensed by relevant authorities and qualified to undertake their assigned responsibilities.
- 10.5.2. The ATP must maintain periodic maintenance records including water chemical and microbiological quality testing for its swimming pools by a specialised laboratories contractor.

10.6. Information and Communication Technology (ICT) Server Rooms

- 10.6.1. The ATP must ensure that its ICT server rooms maintain fully operational:
 - i. fire extinguishers and suppression systems that are aligned with the FM200 specification
 - ii. smoke detection and an alarm system.
- 10.6.2. The ATP must ensure that its ICT server rooms have fire-rated doors.

10.7. Prayer Rooms and Ablution Areas

- 10.7.1 The ATP must ensure its prayer rooms and ablution areas are clean and hygienic.
- 10.7.2. The ATP must maintain separate male and female prayer rooms.

10.8. Washroom Facilities

- 10.8.1. The ATP must maintain hygienic washrooms for its educational and training facility.
- 10.8.2. The ATP must maintain hygienic washrooms to meet the needs of people of determination.

10.9. Building Facility: General

- 10.9.1. The ATP must allocate designated parking spaces for buses, cars and people of determination.
- 10.9.2. The ATP must maintain the provision of drinking water.
- 10.9.3. The ATP must ensure it maintains clean and safe external areas.
- 10.9.4. The ATP must ensure its buildings are maintained free of damage and defects.
- 10.9.5. The ATP must ensure its corridors are free from obstructions and meet the specified requirements of the relevant authorities.
- 10.9.6. The ATP must ensure that stairways are equipped with handrails and have non-slip, and non-trip surfaces.
- 10.9.7. The ATP must ensure stored materials are categorised and segregated in designated storage rooms.
- 10.9.8. The ATP must maintain up-to-date water tank disinfection records and water quality reports from a specialised service provider.
- 10.9.9. The ATP must maintain up-to-date records of pest control services provided by a specialised service provider.
- 10.9.10. The ATP must maintain up-to-date maintenance and service records for its electrical devices by qualified personnel.
- 10.9.11. The ATP must ensure electrical connections and sockets are secure and in safe condition.
- 10.9.12. The ATP must maintain fully stocked first aid kits across its educational and training facility.
- 10.9.13. The ATP must ensure the safe disposal of hazardous substances through a specialised service provider.

10.10. Building Facility: Fire Safety

- 10.10.1. The ATP must ensure they have no dead-end corridors.
 - N.B. In exceptional circumstances, if a dead-end is present, the ATP must ensure corridors do not exceed:
 - i. 6 metres if a sprinklers system is not available
 - ii. 15 metres if a sprinklers system is available.
- 10.10.2. The ATP must maintain sufficient and accessible emergency exits, fitted with illuminated "Emergency Exit" signage.
- 10.10.3. The ATP must ensure emergency exit doors open outwards and are equipped with push bars.
- 10.10.4. The ATP must ensure its educational and training facility maintains operational fire extinguishers.
- 10.10.5. The ATP must ensure its educational and training facility maintains operational alarm systems.
- 10.10.6. The ATP must maintain up-to-date service records for its fire extinguishers by a specialised service provider.
- 10.10.7. The ATP must maintain up-to-date service records for its fire alarm system by a specialised service provider.

10.11. Building Facility: Environment

- 10.11.1. The ATP must maintain and implement procedural guidelines to monitor and reduce its water consumption.
- 10.11.2. The ATP must maintain and implement procedural guidelines to monitor and reduce energy consumption.
- 10.11.3. The ATP must maintain and implement procedural guidelines to regulate waste production that include, but is not limited to the:
 - i. prevention
 - ii. reduction
 - iii. reuse
 - iv. recycling of waste.

10.12. Building Facility: Gas System

- 10.12.1. The ATP must maintain up-to-date service records for its gas supplies by a specialised service provider.

10.13. Computer Laboratories

- 10.13.1. The ATP must ensure that computer monitors in its computer laboratories are equipped with anti-glare screens and that windows are regulated to control the flow of light.
- 10.13.2. The ATP must ensure that workstations in its computer laboratories are ergonomically designed.
- 10.13.3. The ATP must ensure that electrical devices in its computer laboratories are connected to different sockets and all electrical cables are isolated and maintained in a safe condition.
- 10.13.4. The ATP must ensure that fire extinguishers (CO₂) are present in computer laboratories.

Compliance Indicators

Compliance Indicator 1: Policies and Procedures

Standard 2: Strategic Leadership and Quality Assurance

- (2/A). The ATP must maintain up-to-date and approved policies and procedures governing the development, delegation, control, review and dissemination of its policies and procedures.
- (2/B). The ATP must maintain up-to-date and approved policies and procedures governing risk management.
- (2/C). The ATP must maintain up-to-date and approved policies and procedures governing the self-evaluation and quality improvement action plan.
- (2/D). The ATP must maintain up-to-date and approved policies and procedures governing the schedule for the review and updating of the ATP's strategic and operational plans.
- (2/E). The ATP must maintain up-to-date and approved policies and procedures governing the setting of Key Performance Indicators (KPIs) for all its operational activities.
- (2/F). The ATP must maintain up-to-date and approved policies and procedures governing quality assurance practices.

Standard 3: Qualifications and Admissions

- (3/A). The ATP must maintain up-to-date and approved policies and procedures governing Internal Quality Assurance (IQA).
- (3/B). The ATP must maintain up-to-date and approved policies and procedures governing Lifelong Learning (LLL).
- (3/C). The ATP must maintain up-to-date and approved policies and procedures governing the Recognition of Prior Learning (RPL).
- (3/D). The ATP must maintain up-to-date and approved policies and procedures governing qualification information and completion requirements.
- (3/E). The ATP must maintain up-to-date and approved policies and procedures governing training, assessment and feedback.
- (3/F). The ATP must maintain up-to-date and approved policies and procedures governing malpractice.
- (3/G). The ATP must maintain up-to-date and approved policies and procedures that ensure the outcomes of the qualification are issued, recorded and reported in accordance with:
 - i. National Qualifications Framework (QF *Emirates Handbook*)
 - ii. NQC data issuance and reporting requirements.
- (3/H). The ATP must maintain up-to-date and approved policies and procedures that recognise NQC endorsed qualifications issued by any other ATP, which have been aligned to the QF *Emirates Handbook*.
- (3/I). The ATP must maintain up-to-date and approved policies and procedures governing learner registration and certificate claims.
- (3/J). The ATP must maintain policies and procedures governing planning, recording, assessing and grading learner performance in all modes of assessment.

Standard 5: Learner Provision

- (5/A). The ATP must maintain up-to-date and approved policies and procedures governing the reporting of learner's personal safety concerns.
- (5/B). The ATP must maintain up-to-date and approved policies and procedures governing learner access to psychological counselling and pastoral care.
- (5/C). The ATP must maintain up-to-date and approved policies and procedures governing career pathways.
- (5/D). The ATP must maintain up-to-date and approved policies and procedures governing learner attendance.
- (5/E). The ATP must maintain up-to-date and approved policies and procedures governing gender segregation, as applicable.

- (5/F). The ATP must maintain up-to-date and approved policies and procedures governing the establishment, conduct and supervision of learner activities.
- (5/G). The ATP must maintain up-to-date and approved policies and procedures governing learner publications and learner operated media.
- (5/H). The ATP must maintain up-to-date and approved policies and procedures governing:
- i. disciplinary practices
 - ii. learner grievances
 - iii. complaints and appeals.
- (5/I). The ATP must maintain up-to-date and approved policies and procedures governing learner records including:
- i. retention
 - ii. archiving
 - iii. retrieval
 - iv. confidentiality.
- (5/J). The ATP must maintain up-to-date and approved policies and procedures governing equity, diversity and inclusion.
- (5/K). The ATP must maintain up-to-date and approved policies and procedures governing learner selection, enrolment and initial assessment.

Standard 6: Infrastructure Services

- (6/A). The ATP must maintain up-to-date and approved policies and procedures governing the facilitation of its learning resources.
- (6/B). The ATP must maintain up-to-date and approved policies and procedures governing hardware and software maintenance including but not limited to:
- i. replacement
 - ii. upgradation
 - iii. renewal of licences
 - iv. servicing.
- (6/C). The ATP must maintain up-to-date and approved policies and procedures governing the storage and backup of learner and employee digital records.
- (6/D). The ATP must maintain up-to-date and approved policies and procedures governing the provision of its ICT infrastructure.
- (6/E). The ATP must maintain up-to-date and approved policies and procedures governing access to its ICT support services.
- (6/F). The ATP must maintain up-to-date and approved policies and procedures governing the use of digital media for course delivery.
- (6/G). The ATP must maintain up-to-date and approved policies and procedures to protect the integrity and confidentiality of its institutional records, networks and systems.

Standard 7: Financial Management

- (7/A). The ATP must maintain up-to-date and approved policies and procedures governing internal auditing.
- (7/B). The ATP must maintain up-to-date and approved policies and procedures governing the CEO's authority for approving and controlling expenditure.
- (7/C). The ATP must maintain up-to-date and approved policies and procedures governing the:
- i. receipt
 - ii. deposit
 - iii. safeguarding of ATP funds including those from revenue-generating activities.

- (7/D). The ATP must maintain up-to-date and approved policies and procedures governing external auditing.
- (7/E). The ATP must maintain up-to-date and approved policies and procedures governing budgeting.
- (7/F). The ATP must maintain up-to-date and approved policies and procedures governing purchasing and inventory management.
- (7/G). The ATP must maintain up-to-date and approved policies and procedures governing financial risk management.
- (7/H). The ATP must maintain up-to-date and approved policies and procedures governing financial rules and regulations including tuition fees and refunds.

Standard 8: Regulatory Disclosure

- (8/A). The ATP must maintain up-to-date and approved policies and procedures governing cooperative agreements and contractual relationships.
- (8/B). The ATP must maintain up-to-date and approved policies and procedures governing copyright and intellectual property.
- (8/C). The ATP must maintain up-to-date and approved policies and procedures governing its publications.
- (8/D). The ATP must maintain up-to-date and approved policies and procedures governing teach-out. The ATP's teach-out agreement must be approved by the NQC/AWB.
- (8/E). The ATP must maintain up-to-date and approved policies and procedures governing conflict of interest.
- (8/F). The ATP must maintain up-to-date and approved policies and procedures governing anti-corruption and bribery.
- (8/G). The ATP must maintain up-to-date and approved policies and procedures that meet the requirements of UAE and any applicable Emirate specific laws, legislation and regulatory requirements that are relevant to its operations.
- (8/H). The ATP must maintain policies and procedures for ensuring quality training and/or assessment services are consistent with its scope of accreditation and scale of operations.

Standard 9: Social Responsibility and Engagement

- (9/A). The ATP must maintain up-to-date and approved policies and procedures governing relationships with external stakeholders.
- (9/B). The ATP must maintain up-to-date and approved policies and procedures governing its social engagement activities.
- (9/C). The ATP must maintain up-to-date and approved policies and procedures governing its advisory board(s).
- (9/D). The ATP must maintain up-to-date and approved policies and procedures governing its relationship with the learners who completed and attained the qualifications, tracking their progression and outcomes.

Standard 10: Occupational Environment, Health and Safety

- (10/A). The ATP must maintain an up-to-date and approved Environment, Health and Safety Policy.
- (10/B). The ATP must maintain and implement up-to-date and approved policies and procedures governing male and female accommodation including:
- i. healthy, safe and secure living environment that includes special consideration for people of determination
 - ii. services including health services, laundry and catering facilities.

Compliance Indicator 3a: Learner Portfolio

- (1) Learner Personal Details.
- (2) Qualification Completion Document.
- (3) Individual Development Plan.
- (4) Pre-Unit Evaluation/Skills Scan.
- (5) RPL-related Documentation (if applicable)
- (6) NQC Qualifications Guide/Handbook.
- (7) Qualification Assessment review and Progress Plans: based on NQC Unit Standards.
- (8) Scheme of Work/Training and Assessment Guides (TAGs).
- (9) Assessment Documentation: Evidence Record Form (ERF).
- (10) Assessment Documentation: Workplace Evidence.
- (11) Assessment Documentation: Post-course Evaluations and Feedback.
- (12) Programme Learning Tools.
- (13) Internal Quality Assurance (IQA) Documentation/Report.

Compliance Indicator 3b: Assessment System

- (1) Up-to-date and approved assessment plan/framework, detailing the assessment strategy for the respective qualification/unit/award.
- (2) Up-to-date and approved grading criteria for the respective qualification/unit/award.
- (3) Up-to-date and approved standardisation procedures.
- (4) Up-to-date and approved matrix showing the type of evidence in portfolio for the qualification presented for certificate claim.
- (5) Up-to-date and approved access and special conditions (fair access arrangements and special consideration-assessment policy) that may result in changes to learners' assessment.
- (6) Minutes of standardisation meetings/activities and IQA calendar.
- (7) Up-to-date and approved assessment proctoring technologies/application (where applicable).
- (8) Internal Quality Assurer (IQA)/Internal Verifier Report.
- (9) External Verifier (EV) Report.

Compliance Indicator 3c: Learner Workplace Training Logbook/Handbook

- (1) Policies and procedures governing the requirements for signed agreements for each work placement/internship /apprenticeship provider including:
 - i. start date
 - ii. end date
 - iii. planned work
 - iv. renewal date
 - v. arrangements for access to the official agreement document that states the responsibilities of the institution, the learner and the provider or placement site.
- (2) Policies and procedures governing the alignment of work placement/internship/apprenticeship requirements, and how they meet with the qualification Learning Outcomes (LOs), assessment requirements and QF *Emirates* requirements.
- (3) Policies and procedures governing work placement/internship/apprenticeship, arrangements that provide each learner with a job description, aligned with the work placement/internship/apprenticeship requirements and the qualification Learning Outcomes (LOs).

- (4) Policies and procedures governing the contractual agreement of learners' on Work placements/internship/ apprenticeships that includes:
 - i. the expectations for learner learning and assessment
 - ii. learner assignments
 - iii. learner evaluation
 - iv. staff supervision
 - v. provider supervision.
- (5) Policies and procedures governing learner work placement/internship/apprenticeship orientation programmes that include the knowledge, skills and behaviours required to succeed in the work environment.
- (6) Policies and procedures governing the work placement/internship/apprenticeship site in adherence with the national employment laws and health and safety regulations.
- (7) Policies and procedures governing a designated officer responsible for implementing its work placement/internship /apprenticeship.
- (8) Policies and procedures governing a designated assessor from the department or qualification offering the work placement/internship/apprenticeship.
- (9) Policies and procedures governing assessment opportunities for learners to reflect, in writing and/or through an oral presentation, on their achievement of the qualification Learning Outcomes (LOs).
- (10) Policies and procedures governing the work placement/internship/apprenticeship annual evaluations, including gathering learner and employer feedback used to inform improvement action planning.

Compliance Indicator 4a: Employee Handbook

- (1) Up-to-date and approved organisational chart that reflects the current structure.
- (2) Up-to-date and approved policies and procedures governing employee roles and responsibilities in training and administrative activities.
- (3) Up-to-date and approved policies and procedures governing employee roles and responsibilities in learner support and/or academic advising.
- (4) Up-to-date and approved policies and procedures governing employee roles and responsibilities in the development and implementation of Online and Blended Learning.
- (5) Up-to-date and approved code of conduct/professional ethics.
- (6) Up-to-date and approved policies and procedures governing on intellectual property rights.
- (7) Up-to-date and approved policies and procedures governing full-time employee expectations for office hours.
- (8) Up-to-date and approved policies and procedures governing full-time and part-time employee orientation.
- (9) Up-to-date and approved policies and procedures governing full-time employee probationary periods.
- (10) Up-to-date and approved policies and procedures governing annual performance evaluations of its employees and the effect of performance reviews on employment.
- (11) Up-to-date and approved policies and procedures governing full-time and part-time employee supervision and organisational issues affecting employees.
- (12) Up-to-date and approved policies and procedures governing CPD for employees.
- (13) Up-to-date and approved policies and procedures governing full-time employee annual leave.
- (14) Up-to-date and approved policies and procedures governing full-time employee maternity leave.
- (15) Up-to-date and approved policies and procedures governing full-time employee training/CPD leave.
- (16) Up-to-date and approved policies and procedures governing full-time employee emergency leave.
- (17) Up-to-date and approved policies and procedures governing full-time employee Hajj leave.
- (18) Up-to-date and approved policies and procedures governing full-time employee sick leave.
- (19) Up-to-date and approved policies and procedures governing full-time employee consultancy or outside employment.

- (20) Up-to-date and approved policies and procedures governing provision in the event of employee's death in service.
- (21) Up-to-date and approved policies and procedures governing promotion opportunities and application processes.
- (22) Up-to-date Employee job descriptions.
- (23) Up-to-date and approved pay scales.
- (24) Up-to-date and approved policies and procedures governing employee teaching/training/assessing above their contracted hours.
- (25) Up-to-date and approved policies and procedures governing employee disciplinary actions and appeals.
- (26) Up-to-date and approved policies and procedures governing employee grievance.
- (27) Up-to-date and approved policies and procedures governing part-time employees.
- (28) Up-to-date and approved information governing employee qualifications, experience and certificates.
- (29) Up-to-date and approved information governing CPD plans.
- (30) Up-to-date and approved information governing Employee records.
- (31) Up-to-date and approved policies and procedures governing nepotism including employee relationships.
- (32) Up-to-date and approved policies and procedures governing the handling of employee legal issues.
- (33) Up-to-date and approved policies and procedures governing the role of the individual designated for each aspect of institutional quality assurance and the self-evaluation process.
- (34) Up-to-date and approved policies and procedures governing the professional requirements for training, assessing and internal quality assurance.

Compliance Indicator 4b: Employee Database

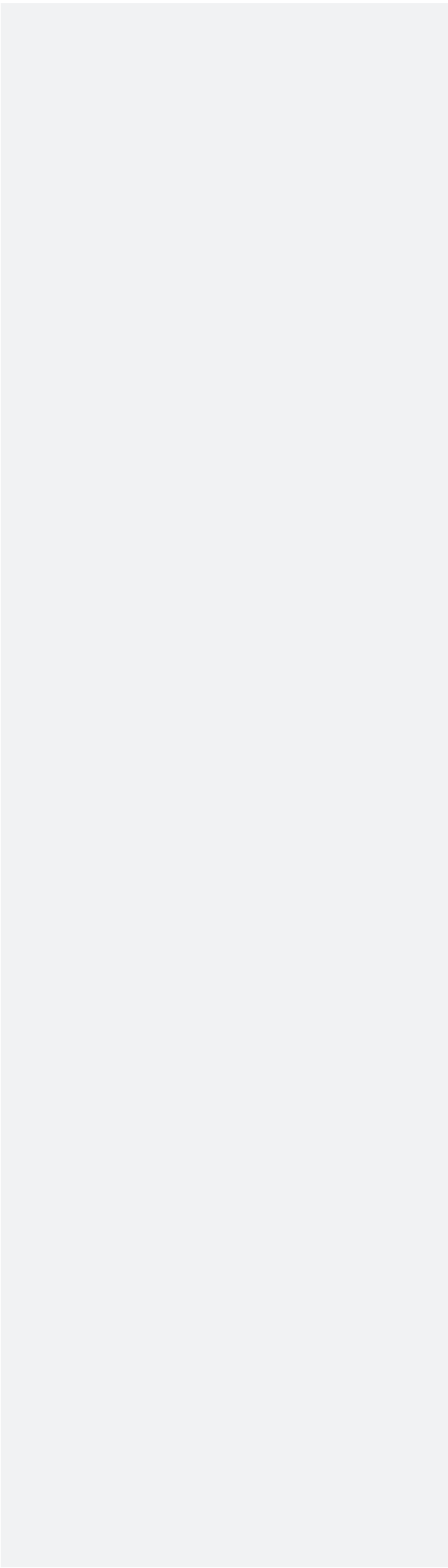
- (1) Job description/employment contract.
- (2) Passport.
- (3) Visa information (for non-UAE nationals).
- (4) Emirates ID.
- (5) All documents required by the Ministry of Labour and Social Affairs in the UAE.
- (6) Signed offer letter.
- (7) Health insurance benefits.
- (8) Police Clearance Certificate (PCC) from home country and/or the UAE.
- (9) Certificate/qualification checks (where applicable).
- (10) Employment references (where applicable).
- (11) Additional payments and allowances.
- (12) Annual performance evaluation records.
- (13) Promotion documents.
- (14) Increment letter.
- (15) Up-to-date curriculum vitae.
- (16) Qualification certificates and official transcripts.
- (17) Equivalency (where applicable).
- (18) Attestation (where applicable).
- (19) Annual CPD activities.
- (20) The required administrative approvals from the local or federal government for the trainers, teachers, assessors working directly with the learners.
- (21) Records relating to legal issues.
- (22) Records of first degree relationship working with the ATP-conflict of interest.

Compliance Indicator 5a: Learner Handbook/Guide

- (1) Up-to-date and approved holiday/term dates calendar.
- (2) Statement of learners' rights and responsibilities.
- (3) Details of the learning resources/facilities.
- (4) Details of access to learning resources and Online and Blended Learning resources.
- (5) Details of learner services including learner orientation and induction programmes.
- (6) Details of learner services' including learning support services.
- (7) Policies and procedures governing learner-run media and publications.
- (8) Information related to safe use of laboratories/workshops, safety issues related to hazardous materials and fire safety.
- (9) Up-to-date learner services contact information.
- (10) Code of conduct that includes the prohibition of smoking, dress codes and other related regulations.
- (11) Policies and procedures governing academic integrity that includes plagiarism penalties.
- (12) Policies and procedures governing discipline, grievance and appeal with timelines.
- (13) Information on the mode of delivery adopted by the ATP for Online and Blended Learning (synchronous or asynchronous interaction among learners; media used for course delivery).

Compliance Indicator 8a: Website

- (1) Up-to-date and approved academic calendar.
- (2) Up-to-date and approved overview of the ATP's.
- (3) Up-to-date and approved vision, mission, goals and objectives.
- (4) Up-to-date and approved organisational chart.
- (5) Up-to-date and approved details and expiry dates of all current NQC approved qualification .
- (6) Up-to-date and approved Learner Handbook.
- (7) Up-to-date and approved admission requirements as stated in the Qualification Document.
- (8) Up-to-date and approved policies and procedures governing its application fees.
- (9) Up-to-date and approved details of learner services' learning support services including access to health services and accommodation.
- (10) Up-to-date and approved details of learner services' provision for career counselling including career/work placement/ internship/apprenticeship placement services.
- (11) Up-to-date and approved details of activities and news about the ATP.
- (12) Up-to-date and approved details on the ATPs location and contact information.
- (13) Up-to-date and approved details of tuition fees and associated costs of each qualification.



Appendices

- **Glossary of Terms**

Glossary of Terms

UAE	United Arab Emirates.
MoE	Abu Dhabi Centre for Technical and Vocational Education and Training.
NQC	National Qualifications Centre.
ADEK	Abu Dhabi Department of Education and Knowledge.
ACTVET	Abu Dhabi Centre for Technical and Vocational Education and Training.
KHDA	Knowledge and Human Development Authority (KHDA).
AWB	Awarding Body.
ATP	Accredited Training Provider.
Credit-bearing Certificate	A type of educational credential that is awarded to individuals upon successful completion of a specific program or course of study.
EV	NQC Approved External Verifier.
IV	Internal Verifier of the ATP approved by NQC.
Safeguarding	Actions aimed at ensuring the well-being of learners and employees safeguarding them from harm, which includes protecting them from abuse and maltreatment, preventing any adverse impact on their health or development, ensuring they receive safe and effective care, and proactively working to provide the best possible outcomes.
CEO	Chief Executive Officer of the ATP (synonymous with President).
SLP	Senior Link Person, ATP employee member coordinating with MoE inspection team.

Lead Inspector	MoE inspector leading the operations of the inspection.
Aspect Inspector	A member of the inspection team responsible to ensure the extent to which the ATP complies with approved inspection standards.
Compliance Inspection	Process to determine if ATPs meet the compliance inspection standards outlined in this manual.
FCI	Full Compliance Inspection.
PRI	Progress Review Inspection.
POI	Purpose Oriented Inspection.
Inspection Phase Documents	Comprehensive list of documents required to be available during the inspection.
Lines of Inquiry	Inspection themes to investigate.
Inspection Framework	Collective term for the ‘Standards for compliance inspection of Vocational Education and Training Institution’.
Domains	Distinct collection of closely linked metrics.
Validation	Authentication of educational documents with the legal and official stamp required by MoE.
Compliant	A judgment outcome when the ATP meets the standard/metric required.
Partially Compliant	A judgment outcome when the ATP meets part, but not all of the standard/metric requirements.
Non-Compliant	A judgment outcome when the ATP does not meet the standard/metric requirements.
Corrective Action Plan	ATPs time-bound improvement action plan as a response to addressing partially compliant and non-compliant outcomes.

LOs	Learning Outcomes.
Lifelong Learning (LLL)	Encompassing all learning activities undertaken throughout life, with the aim of improving knowledge, skills and competencies, within a personal, civic, social and/ or employment-related perspective.
RPL	Recognition of Prior Learning.
Key Data Form	Document that records ATP's enrolment, programmes and performance statistics.
Learner Portfolio	Individual learner's collection of evidence referenced to specific requirements of qualifications.
Learners of Determination	Learners with long-term physical, mental, intellectual or sensory differences which might restrict learner's full and effective participation in education.

