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 the Compliance Inspection of Vocational Education Institutions” (Inspection Framework) supports 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, Federal Bylaws, best practices and MoE regulations.

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 9 compliance indicators.
Introduction

The Inspection Framework supports the UAE vision 2021, 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
- 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, Elements and Compliance Indicators.
Aims

The Directorate operates as the primary higher education regulator in the UAE. 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 Dubai are licenced by the Knowledge and Human Development Authority (KHDA). Similarly, the Abu Dhabi Centre for Technical and Vocational Education and Training (ACTVET) licenses ATPs in Abu Dhabi. In other emirates, ATPs are licenced 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.

<table>
<thead>
<tr>
<th>QF Level</th>
<th>MoE – GEC General Education</th>
<th>CAA Higher Education</th>
<th>VETAC Vocational Education and Training Award Council</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td></td>
<td>Doctoral</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td>Master</td>
<td>Applied Master</td>
</tr>
<tr>
<td>8</td>
<td></td>
<td>Post Graduate Diploma</td>
<td>Applied Graduate Diploma</td>
</tr>
<tr>
<td>7</td>
<td></td>
<td>Bachelor</td>
<td>Applied Bachelor</td>
</tr>
<tr>
<td>6</td>
<td></td>
<td>Higher Diploma</td>
<td>Advanced Diploma</td>
</tr>
<tr>
<td>5</td>
<td></td>
<td>Associate Degree</td>
<td>Diploma</td>
</tr>
<tr>
<td>4</td>
<td>Secondary School Certificate (G12)</td>
<td>Certificate 4</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>GCE ‘A’ Levels Or Advanced Placement Or Equivalent</td>
<td>Certificate 3</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td>Certificate 2</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td></td>
<td>Certificate 1</td>
<td></td>
</tr>
</tbody>
</table>

Table 1.0: National Qualifications Centre, QF Emirates Handbook.

Integrity and Confidentiality

MoE inspectors make judgement decisions based on the review of valid, reliable and sufficient evidence maintained by the ATP. MoE inspectors 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: Overview

1. Inspection Approaches
2. Phases of Inspection
3. Inspection Phases and Process
4. Types of Inspection:
   - Full Compliance Inspection (FCI)
   - Progress Review Inspection (PRI)
5. Inspection Notification
6. Change in ATP Circumstances
7. MoE Inspection Portal for ATPs
Inspection Approaches

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.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Pre-inspection</td>
<td>MoE Inspection Planning.</td>
</tr>
</tbody>
</table>
| 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  
Corrective Action Plan to ATPs. |
| 4 Corrective Action Plan and Feedback | 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.
Inspection Phases and Process

<table>
<thead>
<tr>
<th>Pre-inspection</th>
<th>Inspection</th>
<th>Post-inspection</th>
<th>Corrective Action Plan and Feedback</th>
</tr>
</thead>
<tbody>
<tr>
<td>MoE: Notifies ATP of the inspection and initiates request for inspection documents</td>
<td>ATP receives MoE Inspectors onsite</td>
<td>MoE: Report Writing</td>
<td>ATP to respond to the CAP with comments, evidence and pending actions with target date</td>
</tr>
<tr>
<td>ATP: Acknowledges the inspection notification and provides pre inspection documents</td>
<td>Opening meeting: Briefing inspection protocols</td>
<td>MoE: Recommendations</td>
<td>MoE: Reviews ATP's response to the CAP</td>
</tr>
<tr>
<td>MoE</td>
<td>MoE: Inspection team meeting</td>
<td>MoE: Quality Assurance</td>
<td></td>
</tr>
<tr>
<td>MoE: Evidence gathering and analysis. ATP's facilitate meetings and evidence gathering</td>
<td>MoE: Approval</td>
<td>MoE: Approval</td>
<td></td>
</tr>
<tr>
<td>MoE: Inspection-team afternoon team meeting</td>
<td>MoE: Develops the Corrective Action Plan (CAP), and shares with the ATP though the MoE Inspection Portal</td>
<td></td>
<td>ATP meets all CAP items</td>
</tr>
<tr>
<td>MoE: Lead Inspector (LI) concludes the inspection with a formal end-of-day meeting with ATP Senior Link Person (SLP)</td>
<td>MoE: Initiates the post-inspection processes</td>
<td>MoE: to conduct a progress review visit (if required) or request additional evidence to ensure implementation of CAP</td>
<td></td>
</tr>
<tr>
<td>MoE: Initiates the post-inspection processes</td>
<td></td>
<td>MoE: Automated notification to the ATP of the CAP completion status</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>End</td>
<td></td>
</tr>
</tbody>
</table>

Figure 1.0: Inspection Phases and Processes.
Types of Inspection

There are two types of compliance inspections for ATPs:

- **Full Compliance Inspection (FCI)**
- **Progress Review Inspection (PRI)**

Visit type and frequency of inspections are outlined in Table 3.0.

<table>
<thead>
<tr>
<th>Visit Types</th>
<th>Standards</th>
<th>Compliance Indicators (CI)</th>
<th>Inspection Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Compliance Inspection (FCI)</td>
<td>Standard 1 to 10</td>
<td>CI 1 to 9</td>
<td>2 to 3 Inspection Days</td>
</tr>
<tr>
<td>Progress Review Inspection (PRI)</td>
<td>Related to Corrective Action Plan</td>
<td>Related to Corrective Action Plan</td>
<td>1 to 2 Inspection Days</td>
</tr>
</tbody>
</table>

Table 3.0: Visit Types and Frequency.

**Full Compliance Inspection (FCI)**

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

**Progress Review Inspection (PRI)**

PRIs measure progress with the ATP’s Corrective Action Plan (CAP). PRIs focus only on elements judged partially compliant, and/or non-compliant during the previous inspection. However, further inquiries may arise during the PRI process.
Inspection Notification

ATPs subject to scheduled inspection will receive inspection notification three weeks prior to the commencement of the compliance inspection. ATPs subject to unscheduled inspections will receive no notice prior to the commencement of the compliance inspection. The MoE reserves the right to carry out an unscheduled compliance inspection.

Change in ATP Circumstances

The MoE reserves the right to make an unscheduled compliance inspection if there are changes to the ATP’s operations or circumstances. Change of circumstances may include, but are not limited to:

- Senior Leadership
- Financial Status
- Declining Learner Completion Rates
- Learner Numbers
- Mode of Delivery (e.g. face-to-face, Digital Learning)
- Whistleblowers
- High Levels of Complaints
- Concerns Relating to Quality and/or Assessment Standards.

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 Documentation
   - Inspection Plan
   - Desk-based Analysis

2. Inspection Phase:
   - Onsite Inspection Process
   - Senior Link Person
   - Inspection Activity Plan

3. Post-inspection Phase:
   - Reporting
   - Corrective Action Plan and Feedback
Pre-inspection Phase

Inspection Documentation

Each quarter, 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 inspectors 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. Organisational Chart

- 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
- On-site additional inspection documents (documents provided during inspection upon request)

Note: 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 Programme Approval Letters
- Organisational Chart
- Academic Calendar
- Policies and Procedures Handbook
- Sample Qualification Documents
- Sample Unit Standards
- Staff Handbook
- Catalogue/Qualifications/Training Programmes Handbook
- Learner Handbook
- Work Placement/Internship/Apprenticeship Handbook
- Digital Learning Handbook (if applicable)
- Qualifications Approval Document
- Admission Requirements for Approved Qualifications
- External and Internal Verification Reports (issued in the past 2 years to 3 years)
- All up-to-date and approved institutional policies and procedures
- Tenancy Contract
- Business/Trade Licence
- Strategic Plan and Annual Institutional Operational Plan
- External and Internal Environmental Health and Safety (EHS) Inspection Reports (for the last 2 years).

Standard 1: Policies and Procedures

- Up-to-date and approved Policies and Procedures Handbook (PPH)
- Records of approved policies and procedures
- Minutes of meetings to standardise and approve:
  a. Policies and Procedures
  b. Strategic Plan
  c. Operational Plans
  d. Learner Handbook
  e. Staff Handbook
  f. 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 charts
- 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
- Digital learning 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 programme 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
- Work Placement/Internship/Apprenticeship Handbook
- Learner Portfolios
- Digital Learning Guide/Handbook
- 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 student transcripts
- All associated policies and procedures (up-to-date and approved).

Standard 4: Human Resources

- Staff Handbook
- Access to employee files
- Professional development plan
- Evidence of employee Continuous Professional Development (CPD)/training
- Evidence of employee annual safeguarding training
- FAHR 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 Handbook
- 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
- Student 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 HR file (contract/qualifications, training, CV)
- Civil Defense Approval for LPG Gas System Installation (if applicable)
- Civil Defense 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)
  - Internally
  - 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 Use of Experimental Animals or Radioactive Sources (if applicable)
- Hazardous Waste (medical and chemical, etc.)
- Disposal Contract and Records
- EHS Policies and Procedures Manual (EHS Policy, Health Services Policy, Residential Policy, Hazardous Material Policy)
- Permission from Relevant Authority for Catering Facilities (e.g. ADFCA)
- Contract of the Company Providing Maintenance Service for Gas Supplies (if applicable)
- Business/Trade or Commercial Licence
- EHS Training Schedule/Plan and Records including First Aid, Firefighting for EHS Staff, Learners and Contractors (last 1 year.)
- Maintenance Records for Devices and Facilities
- Approval for Changes/Modifications to the Facilities (if applicable)
- Approved Building Layouts
- Policy or Procedure to Monitor and Reduce Water and Energy Consumption and Waste Management Procedures
- All associated policies and procedures (up-to-date and approved).
Clinic:
• Clinic Licences (if applicable)
• Nurse Licence and/or Replacement in case of his/her absence (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 from Monitoring and Control Centre (MCC) for the Installation, Execution and/or Upgrade of the Surveillance Systems
• Annual Maintenance Contract with a Licenced Company for its Surveillance Systems
• Up-to-date Records of all Surveillance System Maintenance and Cleaning Operations (including operator’s names with the time and date.).

Transport:
• Drivers’ licence
• Bus licences
• Transportation Services Contract (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 water sampling test.

Canteen (if applicable):
• Permission from Relevant Authority (e.g. Abu Dhabi Food Control Agency (ADFCA))/ Food Watch Application
• 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.
**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.

**Desk-based Analysis**

MoE inspectors 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 relating to onsite inspection visit, evidence gathering through document review, interviews and focus groups. Compliance inspection protocols are outlined below.

<table>
<thead>
<tr>
<th><strong>MoE will:</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Assign a Lead Inspector (LI) to liaise with the ATP</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>MoE Inspection Team will:</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Be courteous and professional at all times</td>
<td>Abide by the rules and protocols of the ATP</td>
</tr>
<tr>
<td>Base their judgement against the 10 standards and 9 Compliance Indicators (CIs)</td>
<td>Conduct interviews and undertake other activities so that they can determine the link between ATP documents, policies and practices</td>
</tr>
<tr>
<td>Schedule meetings with employees and learners</td>
<td>Ensure confidentiality of all ATP’s information in accordance with the MoE internal policies.</td>
</tr>
</tbody>
</table>

**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 employees/learners prior to and during the inspection.
- Assign an SLP as a key liaison point of contact.
- Ensure inspector 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 inspectors 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 inspectors during all phases of the inspection. The SLP must ensure inspectors 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 programmes 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 inspectors and ensure 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.

<table>
<thead>
<tr>
<th>Schedule of Inspection Phase Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Time</strong></td>
</tr>
<tr>
<td>8:00 - 8:15</td>
</tr>
<tr>
<td>8.30</td>
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<tr>
<td>9.00</td>
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<td>9.30</td>
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<tr>
<td>12.30</td>
</tr>
<tr>
<td>13.00</td>
</tr>
<tr>
<td>15.00</td>
</tr>
</tbody>
</table>

Table 4.0: Inspection Schedule.
**Reporting**

During the inspection phase, the ATP is required to provide a range of up-to-date and approved documents and other evidence, which includes:

- **Report Writing:** On completion of the inspection, the inspectors will review the findings and complete the inspection report.

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

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

**Corrective Action Plan and Feedback**

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 deadline (see Figure 1.0).
Section Three:
Standards for Compliance Inspection of Vocational Education Institutions

- Standards and Compliance Indicators
- Overview of Standards
- Standards, Domains and Elements
- Compliance Indicators
## Standards and Compliance Indicators

This section identifies the standards and associated compliance indicators.

<table>
<thead>
<tr>
<th></th>
<th>Standards and Compliance Indicators (ClIs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Policies and Procedures</td>
</tr>
<tr>
<td>2</td>
<td>Strategic Leadership and Quality Assurance</td>
</tr>
</tbody>
</table>
| 3 | Qualifications and Admissions | CI 3a: Learner Portfolio  
CI 3b: Assessment System  
CI 3c: Work Placement/Internship/Apprenticeship Handbook  
CI 3d: Digital Learning Environment Handbook |
| 4 | Human Resources | CI 4a: Staff Handbook  
CI 4b: Employee Database |
| 5 | Learner Provision | CI 5a: Learner Handbook |
| 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 Elements

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 elements and domains that reflect distinct training and operational aspects of the institution. All the standards, domains and elements are listed below:

1. **Policies and Procedures**

   1.1. **Policies and Procedures Handbook**

      1.1.1. The ATP must ensure that:

      i. it maintains up-to-date and approved policies and procedures governing all aspects of the ATP, within a consolidated handbook

      ii. the handbook includes all the information specified in Compliance Indicator 1: Policies and Procedures

      iii. it maintains records of reviews and amendments to policies and procedures that includes date of review, approving authority and version control

      iv. it fully implements all its policies and procedures.

      1.1.2. 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.

      1.1.3. The ATP must archive previous editions of all its Policies and Procedures Handbook for a minimum period of five years or since its establishment, if less than five years.

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 an up-to-date and approved organisational chart distinguishing between training and administrative units.
2.3. Governance

2.3.1. The ATP must ensure that it obtains an 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 its day-to-day institutional operational responsibilities are formally undertaken by the Chief Executive Officer (CEO)/Director.

2.3.4. The ATP must ensure that it formally assigns a deputy ‘Authorised Person’ to liaise, communicate, and resolve matters with 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.

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 an up-to-date and approved risk management plan.

2.5.2. The ATP must maintain an up-to-date and approved risk register that identifies, but is not limited to:
   i. potential risk
   ii. probability of risk
   iii. impact of risk
   iv. owner 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.

3.2. 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 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 3b: Assessment System. 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. ATPs must maintain and publish an up-to-date and approved Work placement/Internship/Apprenticeship Handbook that includes all the policies and procedures, and other information specified in Compliance Indicator 3c: Work placement/Internship/Apprenticeship Handbook.

NB: 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.


4. Human Resources

4.1. Staff Handbook

4.1.1. The ATP must maintain an up-to-date and approved Staff Handbook that includes all the information specified in Compliance Indicator 4a: Staff Handbook. 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 and qualified individual to undertake the assigned responsibilities.

4.3.2. The ATP must ensure that its learner services activities are managed by a formally designated and qualified individual to undertake their assigned responsibilities.

4.3.3. The ATP must ensure that its human resources activities are managed by a formally designated and qualified individual to undertake their 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. environment, health and safety.

4.4.2. The ATP must maintain an up-to-date and approved Employee Database that includes all the information specified in Compliance Indicator 4b: Employee Database.

4.4.3. The ATP must use an electronic Emirates Identification reader to record Emirates Identification numbers (EID) of each employee and staff.

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 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 that includes all the information specified in Compliance Indicators 5a: Learner Handbook.

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 a secure archive storage and accessibility of transcripts and completion authentication for a minimum of fifty years.

5.3. Learner Services

5.3.1. The ATP must provide learners with an orientation/induction of its learner services including its 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 and pastoral care. This information must be published on its website, learner handbook and other relevant institutional documents.

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.

6.1.2. The ATP must ensure that qualified and experienced staff facilitate the provision of its learning resources.

6.1.3. The ATP must ensure that co-operative relationships with other learning resource providers are governed by formal agreements.
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.

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 and Catalogue.

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. Integrity and Transparency

8.1.1. The ATP must ensure it portrays itself clearly and truthfully in relation to its approved qualifications and operations.

8.2. Regulatory Compliance

8.2.1. The ATP must maintain up-to-date and approved legal documents in relation to its establishment, accreditation and approval.

8.2.2. 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).

8.2.3. The ATP must obtain an approval from the NQC to deliver credit-bearing international qualifications.

8.3. Contracts

8.3.1. 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.

8.3.2. The ATP must maintain up-to-date and approved contractual agreements with UAE teaching/training hospital/health care units for any health care programmes with clinical components.

8.4. Website

8.4.1. The ATP must maintain an up-to-date and approved website that includes all the information specified in Compliance Indicator 8a: Website.
8.5. Public Disclosure

8.5.1. The ATP must ensure that all its hardcopy and softcopy publications are consistent with each other, and accurately portray the ATP, so that learners and their families can make informed decisions about enrolment.

8.5.2. The ATP must maintain an approved hardcopy/softcopy of the ATP’s Fact Book that publishes the following data:

i. current overall learner satisfaction rate

ii. completion, retention and attendance rate

iii. annual records of the verified percentage of its graduates that are employed up to 12 months after graduation

iv. total number and ratio of assessors to learners, for each of the last five academic years.

8.5.3. 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.

8.5.4. The advertisement of qualification shall not exceed the basic aspects of the 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.

8.6. Relationship with the Ministry of Education

8.6.1. The ATP must ensure that it maintains a cooperative relationship with the MoE in scheduling meetings and providing resources in a timely manner.

8.6.2. The ATP must provide the MoE with all documents and other information, upon request 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 it’s 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 Occupational Environment, Health and Safety (OEHS) Handbook.

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 licenced 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 its transportation services provider.

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 prior approval obtained from concerned authorities for any proposed changes to its educational facilities.

10.2.8 The ATP must maintain Civil Defense approval for the use of Liquid Petroleum Gas (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 are registered.

10.3.4. The ATP must ensure that security guards are qualified and licenced by the relevant authorities.

10.3.5. The ATP must ensure that its buildings are monitored by a digital surveillance system.

   NB: Institutions in the Emirate of Abu Dhabi must install, execute, and/or upgrade their systems by a licenced company from the Monitoring and Control Centre (MCC).

10.3.6. The ATP must maintain an annual maintenance contract for their surveillance systems with a licenced company (Applicable to Institutions in the Emirate of Abu Dhabi).

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 (Applicable to Institutions in the Emirate of Abu Dhabi).
10.4. Specialised Laboratories and Workshops

10.4.1. The ATP must maintain an up-to-date and approved laboratories and workshops safety manual.
   NB: If hazardous materials are used, manuals must include procedures governing the safe storage, distribution, usage and disposal of hazardous materials.

10.4.2. The ATP must ensure laboratory and workshop users are provided with Personal Protective Equipment (PPE) based on the types of operations undertaken.

10.4.3. The ATP must ensure laboratories and workshops are equipped with safety equipment based on the type of operations.

10.4.4. The ATP must ensure that chemicals are segregated based on their properties and stored in designated, ventilated cabinets.

10.4.5. The ATP must ensure its laboratories and workshops are equipped with clean and hygienic hand washing facilities.

10.4.6. The ATP must display safety signage and instructions in its laboratories and workshops.

10.4.7. The ATP must ensure that all chemicals are stored in a designated room, labelled in its original containers, and provided with a Safety Data Sheet (SDS).

10.4.8. The ATP must ensure that the use of experimental animals and radioactive substances are approved by the relevant authorities.

10.4.9. The ATP must ensure that laboratory and workshop equipment and machines are installed safely and maintained in a safe working environment.

10.4.10. The ATP must ensure that its laboratories have fire resistant doors.

10.4.11. The ATP must ensure hazardous materials are handled and transferred safely.

10.4.12. The ATP must ensure it maintains visual fire alarm systems in areas where noise levels exceed the audible alarm.

10.4.13. The ATP must ensure its media studios (music/film) 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 licenced by relevant authorities and qualified to undertake their assigned responsibilities.

10.5.2. The ATP must maintain periodic maintenance records including water testing for its swimming pools by specialised companies.
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 server rooms have fire-rated doors.

10.7. Prayer Rooms and Ablution Areas

10.7.1. The ATP must maintain clean and hygienic prayer rooms and ablution areas.

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 washroom 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 materials 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 and control waste management 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 its computer monitors are equipped with anti-glare screens and windows are regulated to control the flow of light.

10.13.2. The ATP must ensure that its workstation is ergonomically designed.

10.13.3. The ATP must ensure that electrical devices are connected to different sockets, and all electrical cables are isolated and in 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 include its up-to-date and approved organisational chart that reflects the current structure in its Policies and Procedures Handbook.

(2/B). 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/C). The ATP must maintain up-to-date and approved policies and procedures governing risk management.

(2/D). The ATP must maintain and implement up-to-date and approved policies and procedures governing the approach and implementation of the self-evaluation and quality improvement action plan.

(2/E). The ATP must maintain and implement 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/F). The ATP must maintain and implement up-to-date and approved policies and procedures governing the setting of Key Performance Indicators (KPIs) for all its operational activities.

(2/G). The ATP must maintain and implement up-to-date and approved policies and procedures governing quality assurance practices.

Standard 3: Qualifications and Admissions

(3/A). The ATP must maintain and implement up-to-date and approved policies and procedures governing Internal Quality Assurance (IQA).

(3/B). The ATP must maintain and implement up-to-date and approved policies and procedures governing lifelong learning.

(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 and implement 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 and implement up-to-date and approved policies and procedures governing learner registration and certificate claims.

**Standard 4: Human Resources**

(4/A). The ATP must maintain and implement up-to-date and approved policies and procedures governing nepotism including employee relations.

(4/B). The ATP must maintain and implement up-to-date and approved policies and procedures governing the handling of employee legal issues.

(4/C). The ATP must maintain and implement up-to-date and approved policies and procedures governing the role of the individual designated for each aspect of quality assurance and the self-evaluation process.

(4/D). The ATP must maintain and implement up-to-date and approved policies and procedures governing the professional requirements for training, assessing and internal quality assurance.

**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 and implement up-to-date and approved policies and procedures governing learner attendance.

(5/E). The ATP must maintain and implement up-to-date and approved policies and procedures governing gender segregation.
(5/F). The ATP must maintain and implement up-to-date and approved policies and procedures governing the establishment, conduct and supervision of learner activities.

(5/G). The ATP must maintain and implement up-to-date and approved policies and procedures governing learner publications and learner operated media.

(5/H). The ATP must maintain and implement up-to-date and approved policies and procedures governing:
   - disciplinary practices
   - learner grievances
   - complaints and appeals.

(5/I). The ATP must maintain up-to-date and approved policies and procedures governing learner records including:
   - retention
   - archiving
   - retrieval
   - confidentiality.

(5/J). The ATP must maintain and implement up-to-date and approved policies and procedures governing equity, diversity and inclusion.

(5/K). The ATP must maintain and implement 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:
   - replacement
   - upgradation
   - renewal of licences
   - 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 and implement 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 and implement 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 and implement 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 up-to-date and approved policies and procedures governing access to health services.

(10/B). The ATP must maintain an up-to-date and approved Environment, Health and Safety Policy.

(10/C). 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)
7. Qualification Assessment review and Progress Plans: based on NQC Unit Standards.
8. Scheme of Work/Training and Assessment Guides (TAGs).
10. Assessment Documentation: Workplace Evidence.

Compliance Indicator 3b: Assessment System

1. Up-to-date and approved assessment policy outlining the ATPs approach to planning, recording, assessing and grading learner performance.
2. Up-to-date and approved assessment plan/framework, detailing the assessment strategy for the respective qualification/unit/award.
3. Up-to-date and approved grading criteria for the respective qualification/unit/award.
4. Up-to-date and approved standardisation procedures.
5. Up-to-date and approved matrix showing the type of evidence in portfolio for the qualification presented for certificate claim.
6. 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.
7. Minutes of standardisation meetings/activities and IQA calendar.
8. Up-to-date and approved assessment proctoring technologies/application (where applicable).
Compliance Indicator 3c: Work Placement/Internship/Apprenticeship Handbook

(1) Up-to-date and approved 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) Up-to-date and approved 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) Up-to-date and approved 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) Up-to-date and approved 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) Up-to-date and approved 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) Up-to-date and approved policies and procedures governing the work placement/internship/apprenticeship site in adherence with the national employment laws and health and safety regulations.

(7) Up-to-date and approved policies and procedures governing a designated officer responsible for implementing its work placement/internship/apprenticeship.

(8) Up-to-date and approved policies and procedures governing a designated assessor from the department or qualification offering the work placement/internship/apprenticeship.
(9) Up-to-date and approved 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) Up-to-date and approved 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 3d: Digital Learning Environment Handbook**

(1) Information on the mode of delivery adopted by the ATP for Digital Learning (fully online or blended mode; synchronous or asynchronous interaction among learners; media used for course delivery).

(2) Assessment policies governing the integrity of learner work in the Digital Learning Environment.

(3) Information on hardware and software to support Digital Learning.

(4) Information on the systems and procedures for security of assessment and authentication/verification of learners.

**Compliance Indicator 4a: Staff 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 Digital 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 staff qualifications, experience and certificates.

(29) Up-to-date and approved information governing CPD plans.

(30) Up-to-date and approved information governing staff records.
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.
7. Health insurance benefits.
8. Police Clearance Certificate (PCC) from home country and/or the UAE.
10. Employment references (where applicable).
11. Additional payments and allowances.
13. Promotion documents.
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.

Compliance Indicator 5a: Learner Handbook

1. Up-to-date and approved holiday/term dates calendar.
2. Up-to-date and approved statement of learners’ rights and responsibilities.
3. Up-to-date and approved details of the learning resources/facilities.
4. Up-to-date and approved details of access to learning resources and Digital Learning resources.
5. Up-to-date and approved details of learner services including learner orientation and induction programmes.
(6) Up-to-date and approved details of learner services’ including learning support services.

(7) Up-to-date and approved policies and procedures governing learner-run media and publications.

(8) Up-to-date and approved information related to safe use of laboratories/workshops, safety issues related to hazardous materials and fire safety.

(9) Up-to-date and approved learner services contact information.

(10) Up-to-date and approved code of conduct that includes the prohibition of smoking, dress codes and other related regulations.

(11) Up-to-date and approved policies and procedures governing academic integrity that includes plagiarism penalties.

(12) Up-to-date and approved policies and procedures governing discipline, grievance and appeal with timelines.

**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 ATP’s location and contact information.

(13) Up-to-date and approved details of tuition fees and associated costs of each qualification.
Appendices

- Glossary of Terms

- Appendix 1: Frequently Asked Questions (FAQs)
# Glossary of Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>ATP</td>
<td>Accredited Training Provider.</td>
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<tr>
<td>ACTVET</td>
<td>Abu Dhabi Centre for Technical and Vocational Education and Training.</td>
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<tr>
<td>ADEK</td>
<td>Abu Dhabi Department of Education and Knowledge.</td>
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<tr>
<td>AWB</td>
<td>Awarding Body.</td>
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<tr>
<td>CEO</td>
<td>Chief Executive Officer of the ATP (synonymous with President).</td>
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<tr>
<td>Compliant</td>
<td>A judgment outcome when the ATP meets the standard/metric required.</td>
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<tr>
<td>Compliance Inspection</td>
<td>Process to determine if ATPs meet the compliance inspection standards outlined in this manual.</td>
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<tr>
<td>Compliance Inspector</td>
<td>A member of the inspection team responsible to ensure the extent to which the ATP complies with approved inspection standards.</td>
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<td>Corrective Action Plan</td>
<td>ATPs time-bound improvement action plan as a response to addressing partially compliant and non-compliant outcomes.</td>
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<tr>
<td>Credit-bearing Certificate</td>
<td>A type of educational credential that is awarded to individuals upon successful completion of a specific program or course of study.</td>
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<tr>
<td>Domains</td>
<td>Distinct collection of closely linked metrics.</td>
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<tr>
<td>EV</td>
<td>NQC Approved External Verifier.</td>
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<tr>
<td>FCI</td>
<td>Full Compliance Inspection.</td>
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<tr>
<td>Inspection Framework</td>
<td>Collective term for the ‘Standards for compliance inspection of Vocational Education and Training Institution’.</td>
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<tr>
<td><strong>Inspection Phase Documents</strong></td>
<td>Comprehensive list of documents required to be available during the inspection.</td>
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<tr>
<td><strong>IV</strong></td>
<td>Internal Verifier of the ATP approved by NQC.</td>
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<td><strong>Key Data Form</strong></td>
<td>Document that records ATP’s enrolment, programmes and performance statistics.</td>
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<tr>
<td><strong>KHDA</strong></td>
<td>Knowledge and Human Development Authority (KHDA).</td>
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<tr>
<td><strong>Lines of Inquiry</strong></td>
<td>Inspection themes to investigate.</td>
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<tr>
<td><strong>Lead Inspector</strong></td>
<td>MoE inspector leading the operations of the inspection.</td>
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<tr>
<td><strong>Learners of Determination</strong></td>
<td>Learners with long-term physical, mental, intellectual or sensory differences which might restrict learner’s full and effective participation in education.</td>
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<tr>
<td><strong>Learner Portfolio</strong></td>
<td>Individual learner’s collection of evidence referenced to specific requirements of qualifications.</td>
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<td><strong>LOs</strong></td>
<td>Learning Outcomes.</td>
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<td><strong>MoE</strong></td>
<td>Ministry of Education.</td>
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<tr>
<td><strong>NQC</strong></td>
<td>National Qualifications Centre.</td>
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<tr>
<td><strong>Non-Compliant</strong></td>
<td>A judgment outcome when the ATP does not meet the standard/metric requirements.</td>
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<tr>
<td><strong>Partially Compliant</strong></td>
<td>A judgment outcome when the ATP meets part, but not all of the standard/metric requirements.</td>
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<td><strong>PPH</strong></td>
<td>Policies and Procedures Handbook.</td>
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<td><strong>PRI</strong></td>
<td>Progress Review Inspection.</td>
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<tr>
<td><strong>RPL</strong></td>
<td>Recognition of Prior Learning.</td>
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<td><strong>Safeguarding</strong></td>
<td>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.</td>
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<tr>
<td><strong>SLP</strong></td>
<td>Senior Link Person, ATP staff member coordinating with inspection team.</td>
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<tr>
<td><strong>UAE</strong></td>
<td>United Arab Emirates.</td>
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<tr>
<td><strong>Validation</strong></td>
<td>Authentication of educational documents with the legal and official stamp required by MoE.</td>
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Appendix 1 - Frequently Asked Questions (FAQs)

Q1) What is the focus of the Higher Education Compliance Inspection Directorate?

The Higher Education Inspection Directorate was established in 2016 as part of the Inspection Sector. It inspects Higher Education Institutions and ATPs under the authority of UAE Cabinet Decision No. (28) of 2016 and UAE Federal Law by Decree No. (16) of 2020 respectively. Consolidating ATPs compliance inspection unifies the MoE’s approach of separate compliance and evaluative reviews already operating in Early Years and General Education Institutions.

Q2) What differentiates MoE Compliance Inspection Framework for Vocational Education from the NQC Quality Standards for ATPs?

MoE inspections determine an ATP’s compliance with the laws and regulations of the UAE. One part of the Inspection Framework covers the NQC Quality Guidelines. However, other laws and decrees are also in scope for MoE compliance inspections.

Q3) How does MoE compliance inspection approach differ from Awarding Body external review?

MoE is the primary regulator that aims to measure the ATP’s degree of compliance with existing UAE laws, Federal Bylaws, policies, regulations, accreditation and licencing requirements against the compliance inspection framework for vocational education institutions. The MoE compliance inspection adopts a comprehensive approach covering all operational and strategic aspects of the ATP. The Awarding Body’s external review focuses on ATP qualifications and the implementation of NQC ATP Quality Standards policies and procedures including learner work placements and portfolios.

Q4) Why is a separate unit needed to act as the regulator?

Regulation must remain independent. There would be a conflict of interest in NQC/Awarding Body operating as the accreditation and approval authority as well as monitoring adherence to the laws and regulations.

Q5) How do we contact the MoE Higher Education Inspection Directorate for any further information or clarification pertaining to the framework?

Please send framework related queries at HE.Compliance@moe.gov.ae