Guidance Notes on Assessment of Continuing Professional Development (CPD) Activities under the CPD Programme of the Insurance Intermediaries Quality Assurance Scheme (IIQAS)

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Table of Contents

1. Introduction 4
2. Assessment Criteria 6
3. Fee Schedule 14
4. Assessment Outcomes 18
5. Application Procedures and Timeline 19
6. Other Obligations of the CPD Activity Organisers 22
7. Points to Note 24

Annex I - Application Forms for reference 25

Annex II - Quick Guide on How to Apply for Changes through the e-Portal 36

Annex III - Suggested Arrangement for CPD activities in times of Typhoons and Rainstorms 38
Preamble

1. Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) has been appointed by the Insurance Authority (IA) since June 2001 as the Assessment Authority for the Continuing Professional Development (CPD) Programme under the Insurance Intermediaries Quality Assurance Scheme (IIQAS). HKCAAVQ is responsible for setting the assessment criteria and assessing CPD activities for the IIQAS CPD Programme. The list of approved CPD activities is available on HKCAAVQ website (http://www.hkcaavq.edu.hk/en/services/assessment/cpd-ia-programmes).

2. These Guidance Notes are developed for CPD activity organisers who wish to apply for assessment of their CPD activities in order to be qualified as CPD programmes under the IIQAS.

3. These Guidance Notes supersede any previous versions of “Assessment Criteria for the Continuing Professional Development Programme” that HKCAAVQ or the former Hong Kong Council of Academic Accreditation (HKCAA) published or issued previously regarding the CPD assessment or CPD accreditation.

4. The online Application Forms for Assessment, Re-assessment and Change of CPD activities are available on HKCAAVQ website at https://eportal.hkcaavq.edu.hk/.

5. For enquiries, please contact HKCAAVQ by email at cpd_ia@hkcaavq.edu.hk, or by phone at (852) 3658 0176.
1. Introduction

1.1 These Guidance Notes give an overview of the assessment process of the Continuing Professional Development (CPD) activities under the CPD Programme of the Insurance Intermediaries Quality Assurance Scheme (IIQAS). Assessment Criteria, fee schedule, assessment outcomes, application procedures and timeline, other obligations and points to notes are included with a view to providing a comprehensive guide to CPD activity organisers.

1.2 Insurance intermediaries, their chief executives/responsible officers and technical representatives (collectively referred to as “insurance intermediaries”) are required to comply with the requirements of the IIQAS CPD Programme.

1.3 The objective of the CPD Programme is to ensure that insurance intermediaries continue to possess updated knowledge, professional competence and standard in providing advice and services to the policy holders and potential policy holders.

1.4 Under the IIQAS CPD Programme, insurance intermediaries are required to earn 10 CPD hours every year. CPD hours can be earned through participation in qualified CPD activities composed of structured face-to-face activities. For more information on the IIQAS CPD Programme, please refer to the CPD Information Sheet issued by Insurance Authority (IA) at https://www.ia.org.hk/en/supervision/reg_ins_intermediaries/files/CPD_Info_Sheet_Eng_Jun_2017.pdf. It is also available on Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) website at http://www.hkcaavq.edu.hk/en/services/assessment/cpd-ia-programmes.

1.5 CPD activity organisers (or providers) who wish to apply for assessment of their CPD activities should read these Guidance Notes before submitting their applications.

1.6 These Guidance Notes cover three types of CPD assessment services provided by HKCAAVQ, namely, i) Assessment of a New CPD Activity; ii) Re-assessment of a CPD Activity; and iii) Change of a CPD Activity.

1.7 CPD activities approved by HKCAAVQ will be granted a one-year approval period and listed in the List of Currently Approved CPD Activities which can be found on HKCAAVQ website at http://www.hkcaavq.edu.hk/en/services/assessment/cpd-ia-programmes.

1.8 Approved CPD activities will be subject to re-assessment by HKCAAVQ on an annual basis. CPD activity organisers should apply for re-assessment between one to three months before expiry of the approval period, otherwise, the approval status of the activity will automatically cease at the end of the approval period. For details, please refer to Para. 2.3 to 2.6.
1.9 If there are any substantial changes to be made to an approved CPD activity, the CPD activity organisers should submit an Application for Change and obtain HKCAAVQ’s prior approval before implementation. If there are proposed new changes to the CPD activity to be implemented in the next approval period, please specify details of the proposed changes in the re-assessment application. For details, please refer to Para. 2.7 to 2.9.
2. Assessment Criteria

Introduction

2.1 CPD activity organisers are required to submit relevant supporting documents against the following assessment criteria to substantiate their application. For details about the supporting documents required, please refer to Chapter 5 - Application Procedures and Timeline. The assessment fee schedule can be found in Chapter 3.

CPD Assessment Criteria

2.2 The following domains and criteria specified are applicable to assessment of a new CPD activity, re-assessment of an approved CPD activity and change of a CPD activity, where appropriate.

2.2.1 CPD Activity Organiser / Provider

CPD activity organisers can be insurance companies, insurance brokers, insurance agencies, insurance associations, educational/ training institutes or commercial companies operating in Hong Kong.

CPD activity organisers must have a valid Certificate of Incorporation (CI) and/or Business Registration Certificate (BR) to show their legal status in Hong Kong.

CPD activity organisers should be able to demonstrate their capabilities and capacities for conducting relevant activities through providing their background and track records of conducting similar CPD activities or programmes.

2.2.2 Aims and Objectives of a CPD activity

The objective of a CPD activity should be related to the maintenance and improvement of knowledge and skills, and/or the development of the personal qualities necessary for insurance intermediaries to execute their professional duties.

Each CPD activity should have clear, specific and attainable aims and objectives. Activity titles as well as the activity contents should align with the stated aims and objectives.
2.2.3 Target Participants

The target participants of a CPD activity should include insurance intermediaries including insurance agents/brokers, their responsible officers/chief executives, and technical representatives. Against this background, the target participants are categorised into three major groups, namely, i) the General Public, ii) In-house and iii) Commissioning Body.

i) General Public: All participants who are interested in enrolling to an approved CPD activity.

ii) In-house: The staff or agents/technical representatives/responsible officers/chief executives of the CPD activity organiser.

iii) Commissioning Body: An organisation that commissioned the CPD activity organiser concerned to offer CPD activities for its insurance intermediaries. For instance, some companies invite third party training organisations to deliver CPD activities for their insurance intermediaries.

A CPD activity may be offered to more than one group of participants, if appropriate.

2.2.4 CPD hours and Attendance Monitoring

The duration of a qualified CPD activity must be at least one hour long and can be approved for a multiple of 0.5 hour thereafter. Time spent on recess, lunch or assessment such as test or examination will not be counted as CPD hours.

It is desirable that participants should complete either a module in a CPD activity or a CPD activity in full to attain the CPD hours. A rigorous attendance monitoring process should be in place to record the actual time of participation in a CPD activity. The process should include verification of participants’ identity and “sign-in and sign-out” procedures. CPD activity organisers should report to the IA or the relevant self-regulatory organisations any impersonation in attendance identified in a CPD activity.

The following principles set out the baseline for CPD hour calculation:

1) In general, one CPD hour will be awarded for one hour of participation.

2) For any participant who is late for class for 30 minutes or above, no CPD hour should be awarded for the whole CPD activity.
3) A participant can be awarded full CPD hours approved for the CPD activity if the cumulative absence duration is less than 15 minutes.

4) The total duration of absence including lateness and being away from classroom during a CPD activity will be cumulative. If the total absence duration is 15 minutes or more, CPD hour(s) will be deducted, and the minimum unit of CPD hour to be deducted is 0.5 hour.

Some examples of CPD hour calculation are listed below for reference:

- **Example 1**: if a participant is late for class AND/OR leaves the classroom during a CPD activity for less than 15 minutes in total, he/she will be awarded full CPD hours approved for the CPD activity.

- **Example 2**: if a participant is late for class AND/OR leaves the classroom for 20 minutes during a CPD activity, 0.5 CPD will be deducted; in other words, he/she will be awarded 4.5 CPD hours upon completion of a 5-hour CPD activity.

- **Example 3**: if a participant leaves the classroom for 35 minutes in total during a CPD activity, he/she will be awarded 4 CPD hours upon completion of a 5-hour CPD activity.

- **Example 4**: if a participant is late for 15 minutes and then leaves the classroom for another 10 minutes during a CPD activity, he/she will be awarded 4.5 CPD hours upon completion of a 5-hour CPD activity.

- **Example 5**: if a participant is late for 35 minutes, NO CPD hour will be awarded regardless of the total number of CPD hours of a CPD activity.

CPD activity organisers should have their own written attendance policy which can be more stringent than the above and participants should be well informed of such policy before enrolment to the CPD activity.

### 2.2.5 Activity Structure and Contents

Qualified CPD activities should be structured face-to-face activities. They refer to activities which require interaction with other people such as training courses, seminars, or workshops.

- **i)** Training Courses are usually of longer duration, often with a curriculum and leading to an award-bearing qualification such as certificate or diploma.
ii) Seminars refer to information dissemination sessions possibly with some discussions and participation.

iii) Workshops are much more interactive emphasizing more on participation and hands-on training.

Contents of CPD activities must be related to local insurance (or related) legislation, regulatory aspects of insurance practice in Hong Kong, insurance, actuarial science, risk management, financial planning, or other disciplines which are directly related to the work of insurance intermediaries, such as investment, law and legal knowledge, finance, business, commerce, management, engineering or communication skills. However, contents relating to company-specific incentive schemes and promotional strategy, general language and generic IT skills do not fall within the scope of the IIQAS CPD Programme and therefore do not qualify for CPD hours.

A CPD activity, for example, a training course, can be arranged in different modules where CPD hours can be obtained by attending individual modules, although the course as a whole will be an approved CPD activity. Modules within the same activity must align with the aims and objectives of the CPD activity. In general, a CPD activity can be approved with a modular structure with CPD hours assigned for individual modules if it meets all of the following criteria:

- Each module aligns with the aims and objectives of the CPD activity;
- Each module provides discrete contents in terms of knowledge and skills;
- Each module can be individually delivered to achieve the learning outcomes of the module without any pre-requisite attendance for other modules in the same activity;
- Each module must have at least one contact hour.

Course materials and lesson plans with detailed breakdown showing the distribution of contact hours should be submitted to HKCAAVQ for assessment.

2.2.6 Mode of Delivery

CPD activity organisers are encouraged to schedule the activity in a variety of modes, such as conducting the activity in day time and evenings, weekdays and weekends, day-release, and/or holidays to cater for different needs of participants.

They are also encouraged to use a variety of learning activities such as case studies, group discussions and presentations, role plays and other
interactive activities to help achieve the learning outcomes of the CPD activities. All CPD activities should be conducted on face-to-face and supervised basis.

Spoken and written language used in the CPD activities should be indicated in the Application Form. It is expected that a single language should be used in the course materials throughout a module or the whole CPD activity.

2.2.7 Activity Venue

CPD activity organisers should provide suitable venues with adequate facilities and equipment for the delivery of CPD activities. The maximum capacity of each venue in different settings, such as theatre seating style, classroom seating style or boardroom seating style, should be clearly specified. Supporting documents such as floor plan, rental agreement, insurance coverage for third party liability and other relevant evidence should be provided at the time of application.

2.2.8 Assessment (Examination and/or Continuous Assessment)

Assessment is not mandatory; however, consideration should be given to the need for an assessment to ensure the learning outcomes are achieved by individual participant. The assessment may take the form of a one-sitting examination or continuous assessment or both. If there is more than one assessment component, their respective weightings should be indicated. There should be a fair and consistent assessment scheme. Requirements and regulations should be well understood by both participants and instructors. Time spent on assessment will not qualify for CPD hours.

If assessment components are included, CPD activity organisers should keep records of the following, which may be inspected by HKCAAVQ where necessary:

- Assessment questions, and
- Assessment results of each participant, and
- Samples of marked participants’ assessment work drawn from the bottom, middle and the top ranks.

For award-bearing CPD activities such as Diploma/ Certificate courses, participants should be given attendance/graduation certificates and/or transcripts showing their assessment results, and dates of course completion.
2.2.9 Instructors and Person-in-Charge

CPD activity organisers must have adequate number of qualified instructors for the delivery of their CPD activities.

A qualified instructor should have relevant academic and/or professional qualifications, and have normally an appropriate level of training and/or industry experience. The appointment criteria of instructors including relevant academic qualifications, relevant professional qualifications, training experience and/or industry experience should be clearly stated. Emphasis will be placed on their relevance to the activity contents. A professional qualification refers to the titles or awards granted by professional bodies. Hence, the result of public examination or membership of association cannot be considered as professional qualification.

Detailed information about instructors, including their names, academic qualifications, professional qualifications and awarding institutions, and training and/or industry experience, should be provided in the application.

For all CPD activities, there should be a person-in-charge who is responsible for the overall quality and management of the activity. The person-in-charge should possess relevant experience in delivering and/or managing similar activities.

2.2.10 Quality Assurance

CPD activity organisers should have a comprehensive and self-contained quality assurance mechanism in place. Under the mechanism, there should be clear and documented procedures for the development, approval and review of the CPD activity, including the review of activity contents and monitoring of instructors’ performance and the quality delivery of the activity. The roles and responsibilities of involved personnel and/or committees should be clearly defined. There should be segregation of duties to achieve a reasonable extent of check-and-balance.

Participant evaluations should be carried out at the end of the CPD activity, and there should be a statement in the evaluation form indicating that dissatisfied participants can approach HKCAAVQ with contact details if they have any complaint. Other measures including class observation, review meetings and follow-up actions taken in consideration of participants’ feedback can also be part of the quality assurance process.
Re-Assessment of CPD activities

2.3 Approved CPD activities will be subject to re-assessment on an annual basis. Re-assessment of CPD activity is to ascertain whether the approved CPD activities continue to meet the stated objectives and the criteria as determined in the last assessment. CPD activity organisers should apply for re-assessment one to three months before expiry of the approval period, otherwise, the approval status of the activity will automatically cease at the end of the approval period. HKCAAVQ will not accept re-assessment application submitted more than three months in advance of the expiry of the approval period as implementation and quality assurance details of the activities covering the approval period will not be fully available.

2.4 A new approval period of one-year will be given to re-assessed CPD activities upon completion of re-assessment.

2.5 Application for re-assessment submitted within six months after the expiry of approval will be accepted. But in such cases, the new approval will not cover the period that has been lapsed. Application for re-assessment submitted six months after expiry will not be accepted. New application for assessment is required. Fees will be charged according to the assessment fee schedule listed in Chapter 3.

2.6 CPD activity organisers are required to report any approved changes during the approval period and proposed new changes to be effective in the next approval period with supporting document(s) in the re-assessment application. Implementation data, such as completion rate, examination/continuous assessment passing rate (if applicable), and records of implementation of quality assurance measures, such as class observation, review of activity contents and teaching materials, participants’ evaluation and any follow-up actions taken to improve and enhance the overall quality, should be provided. Updated lesson plan with hourly breakdown and instructor list should be included in the re-assessment application.

Substantial Change of CPD activities

2.7 If there are any significant changes in the CPD activities during the approval period, e.g. changes to activity title, contact hours, contents, instructors, assessment requirements, training venues, nature of the activity, CPD activity organisers are required to obtain prior approval from HKCAAVQ through a Change Application. The fee required for a Change Application is listed in Chapter 3. For changes to be effective in the next approval period, please refer to Para. 3.8.

2.8 Change application is divided into three types:
i) Change in activity contents - If the change in activity contents involving 21% to 50% of a module (if applicable) or the whole CPD activity (for non-modular design activities), an application for change is required. For changes less than or equal to 20% of activity contents within the same module or the whole activity without changing the total CPD hours, applications for change are not required but the changes should be reported in the next re-assessment application. If the activity contents will be changed for more than 50% within the same module, the involved module should be replaced by a new module and will be treated as addition of CPD hours. If there are more than 50% change in activity contents of the whole CPD activity, an application for a new CPD activity should be submitted.

ii) Change in CPD hours - If there are any changes in CPD hours, an application for change is required.

iii) Others - Changes not related to activity contents or CPD hours are categorised as “others”, such as change in activity venues, class size and instructors. An application for change is required.

2.9 CPD activity organisers should notify HKCAAVQ of changes at the time of Re-assessment application where the changes are not considered as significant. Examples are given below.

- Updating of market data and figures in the teaching materials
- Change of format in the teaching materials
- Change of Head of Organisation and/or Contact Person
- Updating of participants’ feedback form
3. Fee Schedule

3.1 The cost of assessment will be borne by CPD activity organisers concerned according to the fee schedule promulgated by HKCAAVQ and paid to HKCAAVQ at the time of application. The fees are charged for the assessment work irrespective of the assessment outcome.

Assessment Fee

3.2 The fee schedule for different types of CPD assessment is shown in the table below:

<table>
<thead>
<tr>
<th>Types of Application</th>
<th>Assessment of a new CPD activity</th>
<th>Re-assessment of a CPD activity</th>
<th>Change of a CPD activity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Change in activity contents (involve 21%-50% change)</td>
</tr>
<tr>
<td>1-8</td>
<td>HK$8,000</td>
<td>HK$4,200</td>
<td>HK$2,100</td>
</tr>
<tr>
<td>9</td>
<td>HK$9,200</td>
<td>HK$4,700</td>
<td>HK$2,350</td>
</tr>
<tr>
<td>10</td>
<td>HK$10,400</td>
<td>HK$5,200</td>
<td>HK$2,600</td>
</tr>
<tr>
<td>11</td>
<td>HK$11,600</td>
<td>HK$5,700</td>
<td>HK$2,850</td>
</tr>
<tr>
<td>12</td>
<td>HK$12,800</td>
<td>HK$6,200</td>
<td>HK$3,100</td>
</tr>
<tr>
<td>13</td>
<td>HK$14,000</td>
<td>HK$6,700</td>
<td>HK$3,350</td>
</tr>
<tr>
<td>14</td>
<td>HK$15,200</td>
<td>HK$7,200</td>
<td>HK$3,600</td>
</tr>
<tr>
<td>...</td>
<td>...</td>
<td>...</td>
<td>...</td>
</tr>
</tbody>
</table>

3.3 The assessment fee for the first 8 CPD hours of a new CPD activity is HK$8,000 and an addition of HK$1,200 is charged for each additional CPD hour thereafter. For re-assessment of an approved CPD activity, the fee for the first 8 CPD hours is HK$4,200 with HK$500 for each additional hour thereafter.

3.4 For change application, assessment fee is charged according to the type of change. Please refer to the following scenarios regarding the change in activity contents for the calculation of assessment fee.

Scenario 1: If there is a change in activity contents involving 21% to 50% of a module (if applicable) or the whole CPD activity (for non-modular design activities), HK$2,100 will be charged for a CPD activity with 1-8 CPD hour(s) and an addition of HK$250 for each additional CPD hour thereafter.
Scenario 2: For changes less than or equal to 20% in activity contents within the same module (if applicable) or the whole CPD activity (for non-modular design activities) without changing the total CPD hours, no application is required but the changes should be reported in the next re-assessment application.

Scenario 3: If the activity contents will be changed for more than 50% within the same module, the involved module should be replaced by a new module and will be treated as addition of CPD hours. For example, if there is a 60% change in the contents of a module with 2 CPD hours, that module will be treated as a new module and an addition of 2 CPD hours, i.e. HKD$2,400 will be charged.

Scenario 4: If there is a change in over 50% of the contents of the whole CPD activity, an application for a new CPD activity should be submitted and the assessment fee is charged according to the total number of CPD hours of a new CPD activity.

3.5 If there is a change in CPD hours, HK$1,200 will be charged for each hour. For example, for 2 hours to be added to an approved CPD activity, a total of HK$2,400 will be charged.

3.6 If there are changes both in activity contents and CPD hours of an approved CPD activity in one single change application within the same CPD activity, only the highest amount will be charged. For example, if an approved CPD activity has 10 CPD hours in the current approval period, the CPD activity organiser submits an application to add a new module with 2 CPD hours (fee for this item: HK$1,200 x 2 = HK$2,400) and to change 35% of activity contents (fee for this item: HK$2,600) simultaneously in one application, the total assessment fee for this application will only be HK$2,600.

3.7 A nominal fee of HK$500 is charged for processing a change application other than changes in activity contents and CPD hours, such as change of venues, instructors, instructors’ appointment criteria, target participants and class size. A single fee of HK$500 is charged for one application under the same CPD activity regardless of the number of changes involved. For instance, a change application for adding 3 instructors, adding a new venue and changing the class size for the same CPD activity, the assessment fee will be HK$500 only. However, if the above changes apply to two different CPD activities, HK$1,000 will be charged.

3.8 If there are changes in activity contents, CPD hours and instructors simultaneously in one single change application within the same CPD activity, the fee will be charged as stated in Para 3.4 to 3.6 plus a fee of HK$500 for change in others.
3.9 For re-assessment of a CPD activity, no additional fee will be charged for change items to be approved in the next approval period except for changes in activity contents and/or CPD hours. For example, if there are some changes in terms of instructors, venues or contact details in a re-assessment application with 10 CPD hours approved previously, the re-assessment fee will be HK$5,200. However, if the changes involve a change in activity contents between 21% and 50% (fee for this item: HK$2,600) and addition of 3 CPD hours (fee for this item: HK$3,600), an additional fee of HK$3,600 on top of re-assessment fee will be applied. Therefore, the total re-assessment fee will be HK$8,800. Please refer to Para. 3.4 to 3.6 for details of the additional fee.

Express Service

3.10 An Express Service, with an additional fee, is an optional service for CPD activity organisers who wish to obtain the assessment outcome of their application within a short period of time to meet the class schedule or other reasons. This service is only applicable to those CPD activity organisers who have at least one-year track record and 2 CPD activities currently on offer.

3.11 Additional fee should be paid on top of the original assessment fee at the time when the express service application is accepted by HKCAAVQ.

3.12 The additional fees and the corresponding processing time of the Express Service are shown in the table below. Normal processing time means the turnaround time of processing an application upon receiving all necessary supporting documents under the normal situation.

<table>
<thead>
<tr>
<th>Types of CPD Assessment</th>
<th>Additional Fee</th>
<th>Express Processing Time</th>
<th>Normal Processing Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment of a new CPD activity</td>
<td>$4,000</td>
<td>10 working days</td>
<td>4 weeks</td>
</tr>
<tr>
<td>Re-assessment of an approved CPD activity</td>
<td>$2,100</td>
<td>7 working days</td>
<td>3 weeks</td>
</tr>
<tr>
<td>Change of a CPD activity (except changes in activity contents and CPD hours)</td>
<td>$250</td>
<td>3 working days</td>
<td>2 weeks</td>
</tr>
</tbody>
</table>
Certificate of Approval

3.13 An outcome letter will be issued to the CPD activity organiser for each CPD activity. The letter serves as an evidence of approval. A Certificate of Approval for a CPD activity will be issued to the CPD activity organiser upon request. A fee of HK$150 will be charged for each Certificate of Approval for one CPD activity. A Certificate of Approval is optional and is mainly for display purpose.

Payment Method

3.14 All applications should be submitted online through the HKCAAVQ e-portal (hereafter “e-Portal”). Two types of payment methods are available as follows:-

i) By bank deposit: please direct deposit the required assessment fee to “Industrial and Commercial Bank of China (Asia) Limited” a/c No. 072-861-502020073 (a/c holder: Hong Kong Council for Accreditation of Academic and Vocational Qualifications). Please upload the proof of payment to the e-Portal in the online Application Form.

ii) By cheque: please send a cheque made payable to "Hong Kong Council for Accreditation of Academic and Vocational Qualifications" together with the online Application Form printout (available after submission of an application on e-Portal) by post to the following address:

HKCAAVQ
10 Siu Sai Wan Road,
Chai Wan, Hong Kong
“Application for CPD assessment”

Others

3.15 In the case of withdrawal or termination of an application after commencement of the assessment work, a refund of 50% of the paid assessment fee will be made upon the request by CPD activity organisers and the approval of HKCAAVQ.
4. Assessment Outcomes

Assessment Outcomes

4.1 HKCAAVQ makes a determination upon completion of the assessment taking into consideration all the available information and supporting documents provided by the CPD activity organiser. The assessment outcomes can be one of the followings:

<table>
<thead>
<tr>
<th>Types of Application</th>
<th>Assessment Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment of a new CPD activity</td>
<td>Approval</td>
</tr>
<tr>
<td></td>
<td>Non-approval</td>
</tr>
<tr>
<td>Re-assessment of a CPD activity</td>
<td>Approval</td>
</tr>
<tr>
<td></td>
<td>Non-approval</td>
</tr>
<tr>
<td>Change of a CPD activity</td>
<td>Approval to all proposed changes</td>
</tr>
<tr>
<td></td>
<td>Approval to some proposed changes</td>
</tr>
<tr>
<td></td>
<td>Non-approval</td>
</tr>
</tbody>
</table>

4.2 During the assessment process, HKCAAVQ assessors may invite the activity organiser concerned to respond to questions in relation to identified issues. Approval is granted only to CPD activities meeting all relevant assessment criteria stated in Chapter 2. An outcome letter stating the assessment outcomes with details of the approved items will be issued.

4.3 Upon receiving the approval issued by HKCAAVQ, CPD activity organisers may indicate the CPD activity concerned as “approved by HKCAAVQ” in their marketing/advertising/promotional materials/literature.

4.4 HKCAAVQ shall monitor the progress of the approved activities and may, if necessary, request CPD activity organisers to follow certain conditions or directions relating to the operation of the activities which are aimed at maintaining the activity within the assessment criteria.

4.5 In the event of non-approval, CPD activity organisers may submit a new application after making appropriate improvement.

Appeal

4.6 Under the HKCAAVQ Ordinance (Cap. 1150), an operator that is aggrieved by the determination and/or decision(s) of HKCAAVQ as stated in the outcome letter of assessment of the specified CPD activities may apply to HKCAAVQ for review. An application for review under Cap. 1150 must be made on a designated Application Form and within 30 days of receipt of the outcome letter. The Application Form is available on HKCAAVQ website at https://www.hkcaavq.edu.hk/en/contact-us/complaints-form.
5. Application Procedures and Timeline

5.1 All types of CPD applications including assessment of a new CPD activity, re-assessment of an approved CPD activity and change of a CPD activity should be submitted through the e-Portal. A Quick Guide on the use of e-Portal is available on HKCAAVQ website at https://eportal.hkcaavq.edu.hk/help.

5.2 Online Application Forms for the three types of applications are available on the e-Portal. CPD activity organisers are required to fill in the necessary information, upload supporting documents and arrange the payment of assessment fee via e-Portal. A sample of the application forms can be found at Annex I for reference. A Quick Guide on how to apply for changes through the e-Portal is available at Annex II for reference.

5.3 The following table shows the supporting documents required to be submitted with an application for assessment of a new CPD activity or re-assessment of approved CPD activity:

<table>
<thead>
<tr>
<th>Supporting Documents</th>
<th>Assessment of a new CPD activity</th>
<th>Re-assessment of an approved CPD activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Background information about the CPD activity organiser with organisational chart.</td>
<td>✓ (for 1st time application)</td>
<td>✓ (if there are any updates)</td>
</tr>
<tr>
<td>Information of similar activities offered in the past</td>
<td>✓ (for 1st time application)</td>
<td>✓ (if there are any updates)</td>
</tr>
<tr>
<td>Copy of Business Registration (BR) / Certificate of Incorporation (CI)</td>
<td>✓ (for 1st time application)</td>
<td>✓ (if there are any updates including the expiry date showed in the BR or CI)</td>
</tr>
<tr>
<td>Lesson Plan with Hourly Breakdown; For CPD activity adopting modular design, an outline of all modules including module titles, CPD hours, contents and number of modules should be clearly specified.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>A full set of course materials, seminar handouts, or seminar papers.</td>
<td>✓</td>
<td>✓ (if there are any updates + comparison table showing the differences with reasons)</td>
</tr>
</tbody>
</table>
Floor plan, rental agreement, insurance coverage for third party liability and/or other possible evidence of activity venue

(for each new venue not previously approved by HKCAAVQ)

List of approved activity venue(s) for the next approval period with full address(ies) and capacity(ies)

Profiles of all instructors including their academic and professional qualifications, and training/industry experience

Sample End-of-Activity Participant Evaluation Form

Summary of End-of-Activity participants’ evaluation results for the last approval period

Sample attendance certificate issued to the CPD participants

Sample of assessment paper (exam or test) with assessment criteria

Passing rate of assessment for the last approval period

5.4 For Change of a CPD activity, please refer to the following table to provide the relevant documents in support of the application.

<table>
<thead>
<tr>
<th>Category of Change</th>
<th>Supporting Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Activity Organiser</td>
<td>Updated BR or CI</td>
</tr>
<tr>
<td>CPD Activity Title</td>
<td>Updated lesson plan, updated course materials, comparison table showing the difference between the old and the new version.</td>
</tr>
<tr>
<td>CPD Hours</td>
<td></td>
</tr>
<tr>
<td>Activity Contents</td>
<td></td>
</tr>
<tr>
<td>Modular Design</td>
<td></td>
</tr>
<tr>
<td>Medium of Instruction</td>
<td></td>
</tr>
<tr>
<td>Target Participants</td>
<td>Relevant internal documents</td>
</tr>
<tr>
<td>Head of Organisation / Department</td>
<td>Updated organisational chart</td>
</tr>
<tr>
<td>Person-in-Charge/ Instructor</td>
<td>Updated profile</td>
</tr>
<tr>
<td>Appointment Criteria</td>
<td>Relevant internal documents</td>
</tr>
<tr>
<td>Activity Venue</td>
<td>Floor plan, rental agreement, insurance coverage for third party liability and/or other possible evidence</td>
</tr>
<tr>
<td>No. of maximum / minimum participants</td>
<td>Capacity of activity venue</td>
</tr>
<tr>
<td>Quality Assurance</td>
<td>Quality Assurance Manual</td>
</tr>
<tr>
<td>Others</td>
<td>Relevant supporting documents in relation to the change</td>
</tr>
</tbody>
</table>
5.5 The following table shows the step-by-step application procedures of CPD assessments.

<table>
<thead>
<tr>
<th>Step</th>
<th>Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Read the Guidance Notes on Assessment of Continuing Professional Development (CPD) activities under the CPD Programme of the Insurance Intermediaries Quality Assurance Scheme (IIQAS).</td>
</tr>
<tr>
<td>2.</td>
<td>Create a new user account on the e-Portal and activate the CPD service &lt;for new e-Portal user only&gt;.</td>
</tr>
<tr>
<td>3.</td>
<td>Login to the e-Portal user account.</td>
</tr>
</tbody>
</table>
| 4.   | Choose the appropriate Online Application Form (Assessment, Re-assessment or Change Online Application Form)  
*Remarks: Re-assessment application should be submitted one- three month(s) before expiry.* |
| 5.   | Complete and submit Online Application Form with supporting documents and fee payment. |
| 6.   | HKCAAVQ will send a notification email together with a receipt for assessment fee to the CPD activity organiser once the application is accepted. |
| 7.   | An assigned case officer of HKCAAVQ will conduct the assessment and may request additional information from the CPD activity organiser by email. |
| 8.   | An outcome letter showing the assessment results and details will be issued to the CPD activity organiser by fax and by post or by email and by post. |

5.6 Provided that all the required documents and the fee payment are received by HKCAAVQ, it would normally take about 4 weeks or 3 weeks to complete an assessment of a new CPD activity or a re-assessment of an approved CPD activity respectively. For application for change of a CPD activity, it normally takes about 2 weeks to complete the process.
6. Other Obligations of the CPD Activity Organisers

6.1 CPD activity organisers should cooperate with HKCAAVQ and IA during the process of assessment. CPD activity organisers should allow members or representatives of HKCAAVQ and IA to attend any of the CPD activities free of charge for quality assurance purposes, including but not limited to the inspection of the attendance monitoring procedures of the activity. HKCAAVQ and IA reserve the right to obtain independent feedback from activity participants during or after the CPD activities.

6.2 Upon approval, CPD activity organisers should provide accurate and adequate information about the approved CPD activity to the prospective participants including but not limited to activity title, CPD reference number assigned by HKCAAVQ, aims and objectives, number of CPD and contact hours, admission and attendance requirement, fees and refund policy, if any.

6.3 IA may conduct class visit / inspection of the approved CPD activities with or without prior notice. Upon IA’s request, CPD activity organisers should provide the schedule / timetable of the CPD activity to IA. The schedules should include the following information:

- Name of CPD activity organiser
- Title of CPD activity
- Reference number of the approved CPD activity assigned by HKCAAVQ
- Date and time of the CPD activity
- Venue of the CPD activity (full address should be provided)
- Number of CPD hours to be granted to participants
- Contact person and his/her telephone numbers

6.4 CPD activity organisers are required to retain all the activity records (in hard copy and/or in soft copy), including but not limited to enrollment records, attendance registers, teaching materials, instructor lists, assessment records, receipts of payment of tuition fee (if any), summaries of participants’ evaluation, for a minimum of 4 years starting from the date of the CPD activity concerned for scrutiny at the class visit / inspection. CPD activity organisers should develop their own record keeping system for quality assurance.

6.5 An attendance certificate or attendance record either in hard copy or soft copy should be provided to each participant. CPD activity organisers should include the following information in the certificate:

- Name of CPD activity organiser
- Title of the CPD activity (if the participants did not attend the full activity, then the modules attended should also be indicated.)
- Reference number of the approved CPD activity assigned by HKCAAVQ
- Date(s) of the CPD activity
Full name of the participant as shown on the identification document

- CPD hours attended by the participant
- Signature and name of a responsible person (e.g. the head of organisation or person-in-charge), as well as the stamp, of the organisation or association.

6.6 Upon request, a CPD activity organiser should provide the IA or any of the self-regulatory organisations with a confirmation as to whether a participant has attended a particular CPD activity as mentioned in an attendance certificate or record that is claimed to be issued by the said CPD activity organiser.

6.7 It is the responsibility of CPD activity organisers to re-issue the attendance certificate or attendance record upon request of participants within 4 years of the date of CPD activity held with or without charges. The charge should be of a reasonable amount.

6.8 Reasonable notice should be given to the participants where a CPD activity is changed or postponed. CPD activity organisers should have guidelines on adverse weather arrangements for CPD activities stating clearly the class arrangement and to reschedule the activities, if needed. Such arrangements should be made known to the participants before the date of the CPD activity. Suggested arrangements for CPD activities in times of typhoons and rainstorms can be found in Annex III.
7. Points to Note

7.1 HKCAAVQ reserves the right not to accept any requests for assessment of all or any part of the activities proposed. An application will not be processed if no or insufficient payment and insufficient documents are received by HKCAAVQ.

7.2 At any time during the approval period, if the CPD activity organisers fail to, or are unable or unwilling to comply with any directions or conditions stipulated by HKCAAVQ, HKCAAVQ may suspend or revoke the approval status of the approved CPD activities after a reasonable period of notification.

7.3 In any event, HKCAAVQ shall not be held responsible for any consequences arising from the assessment process, including any delays or any cessation of the process however these may be caused.
Annex I

Assessment Application Form
The Continuing Professional Development Programme
for Insurance Intermediaries

Under the Insurance Intermediaries Quality Assurance Scheme (IIQAS), insurance agents and insurance brokers, their responsible officers/chief executives and technical representatives (collectively termed as “insurance intermediaries”) are required to comply with the requirements of the IIQAS Continuing Professional Development (CPD) Programme. The Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) has been appointed by the Insurance Authority (IA) as the sole assessment authority for the CPD Programme. The HKCAAVQ is responsible for setting the assessment criteria and assessing CPD activities.

To apply for assessment, CPD activity organisers should submit all relevant supporting information. Incomplete information may cause delay in processing the application. The HKCAAVQ may approach you for further information in relation to the application, if necessary.

Any personal data as required in this form will be used for the application only. The provision of personal data by means of this form is obligatory. Please also note that the person concerned has the right of access to and correction of the personal data provided by means of this form.

Please complete and submit one Application Form for one CPD activity together with the required fee to:

Hong Kong Council for Accreditation of Academic and Vocational Qualifications
10 Siu Sai Wan Road,
Chai Wan, Hong Kong

Please refer to the “Guidance Notes on Assessment of CPD Activities under the CPD Programme of the IIQAS” when completing the form

<table>
<thead>
<tr>
<th>Title of Activity</th>
<th>(For Office Use Only)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ref. No.: ____________</td>
</tr>
<tr>
<td>Name of Activity Organiser</td>
<td>Date of Receipt ______</td>
</tr>
<tr>
<td>Proposed starting date</td>
<td></td>
</tr>
</tbody>
</table>
SECTION A  Information about Activity Organiser

1 Please provide background information about the organiser/course provider as Attachment 1.

2 Years of experience in organising the CPD or related activity
   [For new organiser/course provider, please i) provide information of similar activities offered
   in the past, e.g. titles, objectives, target participants, etc. (Attachment 2); ii) attach a copy of
   the Business Registration or Certificate of Incorporation (Attachment 3).]

3. Responsible Persons

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Organisation</th>
<th>Address</th>
<th>Phone</th>
<th>Fax</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of Organisation/Department</td>
<td>Person-in-charge</td>
<td>Authorised contact person* (if different from person-in-charge)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* The HKCAAVQ will direct inquiries about the application to the authorised contact person, whose name and phone number will be put on the HKCAAVQ website for approved CPD activities open to the public. Please inform the HKCAAVQ when there are changes in the above information.
SECTION B  Information about the Activity

1  Target participants
   □ In-house (employees of CPD Provider)
   □ General Public
   □ Employees of Commissioning Body
   □ Others (Please specify): ______________________________________

2  Number of CPD hours applied for _______________________
   (Please provide a lesson plan of the activity/each module including module titles, CPD hours
   and content (if applicable) with hourly breakdown as Attachment 4.)

3  Modular Design
   □ Yes  □ No
   If “Yes”, Module Title(s)_____________ Number of hours __________________

4  Duration of the activity ________ (days/weeks/months)

5  Aims and objectives
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________

6  Type of the activity
   □ Course  □ Seminar  □ Workshop
   Others (Please specify) ______________________________________
   __________________________________________________________

7  Contents of the activity
   □ Local insurance (or related) legislation
   □ Regulatory aspects of insurance practice in Hong Kong
   □ Insurance  □ Actuarial science
   □ Risk Management  □ Financial planning
   □ Other disciplines which are directly related to the work of insurance
   intermediaries (Please specify) ______________________________________
8 Number of participants per activity
   (a) Minimum __________________
   (b) Maximum __________________

9 Activity venue(s)*

<table>
<thead>
<tr>
<th>Venue address</th>
<th>Venue capacity</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
</tr>
</tbody>
</table>

*If there are more than 5 venues, please attach the addresses and capacities of other venues.
*For new venue(s) not previously approved by the HKCAAVQ, please provide supporting documents such as floor plan(s), rental agreement(s) and insurance coverage for third party liability as Attachment 5.

10 Spoken language of delivery  ☐ English ☐ Cantonese ☐ Putonghua

11 Language of printed materials:  ☐ English ☐ Chinese
   (Please provide a full set of course materials, seminar handouts, or seminar papers as Attachment 6.)

12 Frequency of the activity per year ________________________________

13 Are the participants of CPD activity required to complete any examination and/or continuous assessment?
   ☐ Yes (please complete the following)  ☐ No
   The passing mark: ________________________________
   (Please provide sample documents of the examination and/or continuous assessment including assessment criteria as Attachment 7.)
SECTION C  Staff Profile

1. Minimum appointment criteria of instructor/presenter for the activity
   (a) Educational qualification __________________________________________ and/or*
   (b) Professional qualification _________________________________________ and/or*
   (c) Year of training/industry experience _______________________________

   (* Please delete as appropriate.)

2. Person-in-charge
   (a) Name ____________________________________________________________
   (b) Position in the organisation (state whether full-time/part-time) ____________
   (c) Full-time position (if different from above) _____________________________
   (d) Experience in managing or conducting training courses
       ___________________________________________________________________
   (e) Academic qualifications and awarding institutions
       ___________________________________________________________________
   (f) Professional qualifications and awarding institutions
       ___________________________________________________________________

3. Instructors/Presenters

<table>
<thead>
<tr>
<th>Name Current Position and Title</th>
<th>Academic Qualification &amp; Awarding Institution</th>
<th>Professional Qualification &amp; Awarding Institution</th>
<th>Years of Training Experience</th>
<th>Years of Industry Experience</th>
</tr>
</thead>
</table>

   (You may provide the information as Attachment 8 if there are many instructors/presenters.)
SECTION D  Quality Assurance

According to the Assessment Criteria, participant evaluations should be carried out at the end of CPD activities. Please provide an evaluation form as Attachment 9.

1. Are there any learning activities to meet the aims and objectives?

___________________________________________________________________

2. Please describe the quality assurance measures such as internal course approval procedures, attendance monitoring procedure, class observation(s), review meeting(s) on monitoring the CPD activity and follow-up participants’ feedback.

___________________________________________________________________

SECTION E  Fees and Refund

1. □ Free of charge
   □ Fee paid by organisation
   □ Fee paid by participants: $ ______

2. Any other miscellaneous fees? □ Yes  □ No
   If yes, please provide the details below.

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3. Is there any refund arrangement? □ Yes  □ No
   If yes, please provide the details.
SECTION F  Statement by the Head of Organisation/Department

I will abide by the HKCAAVQ Assessment Criteria, and declare that all the information provided in the application form is accurate to the best of my knowledge. I understand and accept that the HKCAAVQ may approach us direct for further information regarding the application. I also understand and accept that a non-refundable assessment fee is charged for the assessment work irrespective of the assessment outcome, and the fees should be made payable in advance to the 'Hong Kong Council for Accreditation of Academic and Vocational Qualifications'.

A person who, either orally or in writing, makes any statement or representation or furnishes any information to the HKCAAVQ in connection with the performance of its functions under the HKCAAVQ Ordinance (Chapter 1150) which the person knows or reasonably ought to know is misleading or false in a material respect commits an offence and is liable on conviction to a fine at level 5.

Name  ___________________________  Signature  ___________________________

Position  ___________________________

Date  ___________________________
Re-assessment Application Form
The Continuing Professional Development (CPD) Programme for Insurance Intermediaries

According to the Guidance Notes on Assessment of Continuing Professional Development (CPD) Activities under the CPD Programme of the Insurance Intermediaries Quality Assurance Scheme (IIQAS), approved CPD activities are subject to re-assessment by Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) on an annual basis. An annual re-assessment exercise will be instituted about 12 months after approval. This exercise is to ascertain whether the approved CPD activities continue to meet the stated objectives and the criteria as determined in the last assessment.

The HKCAAVQ will not return the application form and any documents received to the Activity Organiser regardless of the outcome. Any personal data required in this form will be used only for the purpose of applying for re-assessment. Please note that according to the Personal Data (Privacy) Ordinance (Cap. 486), the person concerned has the right of access to and correction of the personal data provided in this form.

Please complete and submit one Application Form for one CPD activity together with the required fee to:-

Hong Kong Council for Accreditation of Academic and Vocational Qualifications
10 Siu Sai Wan Road,
Chai Wan, Hong Kong

Title of activity: ______________________________________
Ref. No.: ______________________________________
Name of Activity Organiser: _______________________
Existing approval period From: ______________ To: ______________
Approval period applied for From: ______________ To: ______________
Number of CPD hours approved in the existing approval period: ______________
Target participants: (In-house/General Public/Commissioning Body/Others: _________)*
 (*Please delete as appropriate.)

For Office Use Only
Fee _______________________
Date of Receipt _______________________

Guidance Notes on Assessment of CPD Programme under the IIQAS
Page 32 of 39
### SECTION A  Responsible Persons

<table>
<thead>
<tr>
<th>Head of Organisation/Department</th>
<th>Person-in-charge</th>
<th>Authorised contact person* (if different from person-in-charge)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Position</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fax</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E-mail</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* The HKCAAVQ will direct inquiries about the application to the authorised contact person, whose name and phone number will be put on the HKCAAVQ website for approved CPD activities open to the public. Please inform the HKCAAVQ when there are changes in the above information.

### SECTION B  Activity Statistics

During the approval period,
1. Number of times the CPD activity has been held
2. Total number of attendees\(^1\)
3. Total number of participants who have successfully completed the activity\(^2\)

\(^1\) The total number of attendees refers to the number of participants who have signed in to the CPD activity.
\(^2\) If the CPD activity adopts a modular design, please provide an attachment of the breakdown of the above figures for each of the modules.
### SECTION C Changes since Last Approval

<table>
<thead>
<tr>
<th>Item</th>
<th>Changes already approved during the last approval period *</th>
<th>Changes to be approved by the HKCAAVQ (to be effective in the next approval period)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Name of activity</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Type of activity</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>No. of CPD Hours</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Target participants</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Max. no. of participants per activity</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Activity content¹</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Activity venue²</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Mode of delivery</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Person-in-charge</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Instructor(s)³</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Activity assessment</td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>Others</td>
<td></td>
</tr>
</tbody>
</table>

¹Lesson plan for the next approval period must be attached. For CPD activity adopting modular design, an outline of all modules including module title, CPD hours and content should be provided. If there is/are change(s) in the course contents, a full set of updated course materials, seminar handouts, and/or seminar papers is required. A comparison table should also be submitted to report the change(s) with rationale for the amendment(s).

²List of approved activity venues with full addresses and capacities for the next approval period must be attached. If there is change in activity venue(s), CPD provider should provide floor plan(s), rental agreement(s) and insurance coverage for third party liability of the new activity venue(s).

³List of instructors, including their academic and professional qualifications, and training/industry experience, for the next approval period must be attached.
SECTION D  Quality Assurance

Please provide a summary report of the participant evaluation and a brief account of quality assurance activities conducted and follow-up actions taken in the last approval period (e.g. review meeting, class observation and follow-up actions taken in response to participants’ feedback).

_______________________________________________________________________

In case the CPD participants are required to complete any examination and / or continuous assessment, please provide the passing rate for individual assessment item.

_______________________________________________________________________

SECTION E  Statement by the Head of Organisation/Department

I will continue to abide by the Assessment Criteria, and declare that all the information provided in this Application Form is accurate to the best of my knowledge. I understand and accept that the HKCAAVQ may approach us direct for further information. I also understand and accept that the re-assessment fee is non-refundable irrespective of the re-assessment outcome because it is charged for the assessment work, and that the fee should be made payable in advance to the “Hong Kong Council for Accreditation of Academic and Vocational Qualifications”.

A person who, either orally or in writing, makes any statement or representation or furnishes any information to the HKCAAVQ in connection with the performance of its functions under the HKCAAVQ Ordinance (Chapter 1150) which the person knows or reasonably ought to know is misleading or false in a material respect commits an offence and is liable on conviction to a fine at level 5.

Name ______________________  Signature ______________________

Position ______________________

Date ______________________
Quick Guide on How to Apply for Changes through the e-Portal

Scenario 1: If there is a change in activity contents involving 21% to 50% of a module (if applicable) or the whole CPD activity (for non-modular design activities).

Edit Proposed Change

- Category: Activity Contents
- Change from: Contents of Module 1
- Change to: about 30% changes of module contents
- Current CPD Hours: 13.0
- Fee for Change in Activity Content: $3,350.00
- Effective Date: 24/08/2018
- Reason(s): The changes will provide more in-depth knowledge to participants on retirement planning.
Scenario 3: If the activity contents will be changed for more than 50% within the same module, the involved module should be replaced by a new module and will be treated as addition of CPD hours. For example, if there is a 60% change in the contents of a module with 2 CPD hours, that module will be treated as a new module and an addition of 2 CPD hours, i.e. HKD$2,400 will be charged.

### Edit Proposed Change

<table>
<thead>
<tr>
<th>Category: *</th>
<th>CPD Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change from: *</td>
<td>13.0 Hour(s)</td>
</tr>
<tr>
<td>Change to: *</td>
<td>Addition of 2.0 Hour(s)</td>
</tr>
<tr>
<td>Fee for Change in CPD Hours:</td>
<td>$2,400.00</td>
</tr>
<tr>
<td>Effective Date: *</td>
<td>16/08/2018</td>
</tr>
</tbody>
</table>

**Reason(s):**

As there is over 50% change in Module X, it will be replaced by this new module of 2 hours.

**Tips:**

Please select “CPD Hours” instead of “Activity Contents”. Then input the CPD hour of the new module.
### Annex III

**Suggested Arrangement for CPD activities in times of Typhoons and Rainstorms**

If a CPD activity has to be postponed / cancelled due to typhoons or rainstorms warning, the CPD activity organiser should inform the participants as soon as possible and reschedule the activities in due course.

If the typhoon signals or rainstorm warning signal is issued or in force at the following hours, CPD activities are suggested to be arranged as below:

<table>
<thead>
<tr>
<th>Activity Day</th>
<th><strong>Amber or Red Rainstorm Warning / Typhoon Warning Signal Nos. 1 or 3</strong></th>
<th><strong>Black Rainstorm Warning</strong></th>
<th><strong>Typhoon Warning Signal No. 8 or above / Pre-No. 8 Special Announcement</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The warning / signal is issued or in force at 7:00 am</td>
<td>• All CPD activities should be conducted as usual</td>
<td>• The whole CPD activity should be suspended and rescheduled.</td>
<td>• The whole CPD activity should be suspended and rescheduled.</td>
</tr>
<tr>
<td>2. The warning / signal is issued or in force at 11:00 am</td>
<td>• All CPD activities should be conducted as usual</td>
<td>• If the CPD activity has already commenced, it should be continued unless it is dangerous to do so. Outdoor activities should be suspended and rescheduled, where necessary. <strong>PM session (1:00 pm and after):</strong> If the CPD activity commences in the afternoon, the whole activity should be suspended and rescheduled.</td>
<td>• If the CPD activity has already commenced, it should be suspended and rescheduled.</td>
</tr>
<tr>
<td>3. The warning / signal is issued or in force at 4:00 pm</td>
<td>• All CPD activities should be conducted as usual</td>
<td>• The CPD activities should be continued unless it is dangerous to do so. Outdoor activities should be suspended and rescheduled, where necessary. <strong>Evening session (6:00 pm and after)</strong></td>
<td>• If the CPD activity has already commenced, it should be suspended and rescheduled. <strong>Evening session (6:00 pm and after)</strong> should be suspended and</td>
</tr>
<tr>
<td>Activity Day</td>
<td>Amber or Red Rainstorm Warning / Typhoon Warning Signal Nos. 1 or 3</td>
<td>Black Rainstorm Warning</td>
<td>Typhoon Warning Signal No. 8 or above / Pre-No. 8 Special Announcement</td>
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<td></td>
<td>after) should be suspended and rescheduled.</td>
<td>rescheduled</td>
<td></td>
</tr>
</tbody>
</table>

4. The warning / signal is cancelled before or at 11am
   - All CPD activities should be conducted as usual.
   - Afternoon and Evening session (1:00 pm and after) should be continued.
   - Afternoon and Evening session (1:00 pm and after) should be continued.