



香港學術及職業資歷評審局
Hong Kong Council for Accreditation of
Academic & Vocational Qualifications

Guidance Notes on Vetting Qualifications Framework Accredited Learning Programmes as Type 4 Qualified CPD Activities for Licensed Insurance Intermediaries

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Preamble

- (1) Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) is appointed by the Insurance Authority (IA) as the Continuing Professional Development (CPD) Assessment Authority for assessing CPD activities for licensed insurance intermediaries.
- (2) These Guidance Notes are developed for CPD Activity Providers who wish to apply for Vetting Qualifications Framework (QF) Accredited Learning Programmes as Type 4 Qualified CPD Activities for Licensed Insurance Intermediaries.
- (3) QF accredited learning programmes in these Guidance Notes refer to the following three types of qualifications on the Qualifications Register (QR):
 - (a) Qualifications accredited by HKCAAVQ;
 - (b) Qualifications quality assured by institutions/Operator with Programme Area Accreditation (PAA) status;
 - (c) Qualifications quality assured by institutions with self-accrediting status.
- (4) Application Forms for vetting, renewal and change in QF Accredited Learning Programmes as Type 4 Qualified CPD Activities are available on HKCAAVQ website at <https://eportal.hkcaavq.edu.hk/>.
- (5) The HKCAAVQ will be responsible for publishing monthly updated lists of QF accredited or recognised learning programmes which are currently recognised as Type 3 and 4 Qualified CPD Activities for licensed insurance intermediaries on its website (https://www.hkcaavq.edu.hk/en/assessment/CPD_IA_prog/).
- (6) HKCAAVQ collaborates with the IA to oversee the CPD assessment work. When a CPD Activity Provider submits a CPD-related application, the CPD Activity Provider acknowledges and consents that HKCAAVQ may disclose the information related to the application with IA upon IA's request.
- (7) For enquiries, please contact HKCAAVQ by email at cpd_ia@hkcaavq.edu.hk, or by phone at (852) 3658 0234.

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1. Introduction

- 1.1 These Guidance Notes are developed for CPD Activity Providers who wish to apply for Vetting QF Accredited Learning Programmes as Type 4 Qualified CPD Activities for Licensed Insurance Intermediaries.
- 1.2 The objective of CPD Activities is to ensure that individual licensees continuously update their technical and regulatory knowledge and refresh themselves on the ethical standards for carrying on the regulated activities. All individual licensees are required to comply with the CPD requirements stipulated by the IA. **Please refer to “GL24: Guideline on Continuing Professional Development for Licensed Insurance Intermediaries” (GL24)¹ issued by the IA for information on CPD requirements.**
- 1.3 Starting from 1 August 2021, individual licensees (except for travel agents) are required to earn not less than 15 CPD hours in each Assessment Period beginning on 1 August of a year and ending on 31 July of the following year (both days inclusive), including a minimum of 3 CPD hours related to a topic which falls under “Ethics or Regulations”.
- 1.4 Type 4 Qualified CPD Activities refer to learning programmes leading to qualifications in the QR but **NOT** categorised under the industry category of “Insurance” (Insurance-Related Learning Programmes, IRLPs) upon vetting and approval by HKCAAVQ.
- 1.5 For Vetting QF Accredited Learning Programmes as compulsory CPD hours on Ethics or Regulations under Type 3 or Type 4 Qualified CPD Activities for Licensed Insurance Intermediaries, please refer to the Guidance Notes on Vetting Qualifications Framework Accredited Learning Programmes for compulsory CPD hours on Ethics or Regulations for Licensed Insurance Intermediaries².
- 1.6 If Operators would like particular class(es) / session(s) / parts(s) in their QF accredited learning programmes be separately listed as a qualified CPD activity for the purpose of claiming CPD hours, they are required to submit a separate application for assessment of Type 1 Qualified CPD Activities. Please refer to the respective Guidance Notes at https://www.hkcaavq.edu.hk/en/assessment/CPD_IA_prog/.
- 1.7 For Vetting QF Accredited Learning Programmes as compulsory CPD hours on “Ethics or Regulations” under Type 3 or Type 4 Qualified CPD Activities for Licensed

¹ Available at https://www.ia.org.hk/en/legislative_framework/guidelines.php and https://www.hkcaavq.edu.hk/en/assessment/CPD_IA_prog/.

² Available at https://www.hkcaavq.edu.hk/en/assessment/CPD_IA_prog/.

Insurance Intermediaries, please refer to the respective Guidance Notes at https://www.hkcaavq.edu.hk/en/assessment/CPD_IA_prog/.

2. Vetting Criteria

- 2.1 Quality assured learning programmes listed on the QR but **NOT** categorised under the insurance industry may cover areas such as Company and Contract Law, Human Resources Management, Accounting, Marketing etc. which relate to the work of insurance intermediaries. Such IRLPs can be recognised as Type 4 Qualified CPD Activities subject to the vetting of the HKCAAVQ.
- 2.2 These learning programmes must have at least 50% of the course contents in terms of QF credits falling within the **Topics for Type 4 Qualified CPD Activities** listed in [Annex 1](#).
- 2.3 Only QF accredited learning programmes which have indicated QF credits on the QR will be eligible for vetting as Type 4 Qualified CPD Activities for licensed insurance intermediaries.
- 2.4 One application should be submitted for each qualification entry listed on the QR. Operators offering learning programme(s) embedded within intermediate exit award(s) or stream(s) listed on the QR as separate entries will need to submit a separate application for each entry.
- 2.5 In general, 5 CPD hours will be awarded for every 1 QF credit in IRLPs. For IRLPs of **three or more QF credits**, a maximum of 15 CPD hours will be awarded for each year of study within the study period for up to six years.
- 2.6 For an individual licensee studying a programme with a study period exceeding one year, a maximum of 15 CPD hours will be awarded for each year of study within the study period for up to six years. For earning compulsory CPD hours on “Ethics or Regulations”, the hours shall be granted according to the date(s) of participation during the course of study. Upon completion of these recognised programmes or a year of study in these programmes, individual licensees can earn:
 - (a) CPD hours; or
 - (b) If the programme is also vetted for recognition as compulsory CPD hours on “Ethics or Regulations”:
 - i. Compulsory CPD hours under “Ethics or Regulations”; or
 - ii. A combination of CPD hours and compulsory CPD hours under “Ethics or Regulations”.
- 2.7 Licensed insurance intermediaries attending these learning programmes will be considered as earning CPD hours within the study period by submitting evidence of examination results, coursework assessment or attendance as required by the Insurance Authority.

- 2.8 For IRLPs approved as Type 4 Qualified CPD Activities, the approval periods will be the same as the Registration Validity Periods of such learning programmes on the QR. Operators are required to apply for renewal of such learning programmes as Type 4 Qualified CPD Activities within one month after obtaining the Accreditation Report issued by HKCAAVQ for successful Learning Programme Re-accreditation. The approval periods shall continue to be the same as the Registration Validity Periods of the learning programmes on the QR.
- 2.9 Operators are required to seek prior approval from HKCAAVQ on change(s) affecting 10% of QF credits or more of the Insurance related course contents at least one month prior to the implementation date of the change(s). For other changes such as those in teaching venues or minimum appointment criteria of teaching staff, no vetting is required but Operator should report the change(s) with evidence of internal or external approval obtained for such change(s) (depending on the accreditation status of the Operator) to HKCAAVQ for records.
- 2.10 Application Forms for vetting, renewal and change are available on the HKCAAVQ website at <https://eportal.hkcaavq.edu.hk/>. Details of the learning programme such as the programme structure, the most up-to-date list of teaching venues and minimum appointment criteria of teaching staff and details of attendance monitoring process are required.

3. Fee Schedule

- 3.1 The fee schedule for Vetting QF Accredited Learning Programmes as Type 4 Qualified CPD Activities is shown in the table below:

	Vetting Fee	Renewal Fee	Change Fee
IRLP of 3 QF credits or more	HK\$3,240	HK\$2,170	HK\$1,080
IRLP of less than 3 QF credits	HK\$1,080 per QF credit (Maximum charge of HK\$3,240)	HK\$760 per QF Credit (Maximum charge of HK\$2,170)	HK\$390 per QF Credit (Maximum charge of HK\$1,080)

- 3.2 The fee should be made payable to “Hong Kong Council for Accreditation of Academic and Vocational Qualifications”, and it is non-refundable irrespective of the outcome of the vetting. Operators cannot withdraw their application once the application fees have been received by HKCAAVQ. HKCAAVQ reserves the right not to accept any application for vetting of the learning programme.
- 3.3 Operators shall be responsible for providing all necessary and required information. HKCAAVQ shall bear no responsibility for any delay to the process if any required information is not provided.
- 3.4 Provided that all required information is submitted, Operators will normally receive an outcome letter from HKCAAVQ advising the results of their application(s), successful or otherwise, 15 working days after the date of application(s).

Topics for Type 4 Qualified CPD Activities

1. Principles and Practice of Insurance
 - a) Basic Principle of Insurance
 - b) Claims Management
 - c) Insurance Broking
 - d) Policy Administration
 - e) Reinsurance
 - f) Risk Management
 - g) Underwriting Management
2. Insurance Laws and Regulations
3. Life Insurance
 - a) Annuity
 - b) Investment-Linked Long Term Insurance
 - c) Life and Disability Insurance
 - d) Provident Fund (Mandatory) and Retirement Schemes
4. General Insurance
 - a) Accident and Health Insurance
 - b) Aviation Insurance
 - c) Cargo Insurance
 - d) Engineering Insurance
 - e) Liability Insurance
 - f) Marine Insurance
 - g) Medical and Health Insurance
 - h) Motor Insurance
 - i) Property and Pecuniary Insurance
5. Ethical and Related Issues
 - a) Anti-Money Laundering and Counter-Terrorist Financing
 - b) Data Privacy
 - c) Professional Ethics
6. Related Topics
 - a) Accounting
 - b) Actuarial Science
 - c) Business Studies/Practice
 - d) Commerce
 - e) Communication
 - f) Company and Contract Law
 - g) Corporate Governance
 - h) Customer Services
 - i) Cybersecurity
 - j) Economics
 - k) Financial Planning
 - l) Human Resources Management
 - m) Information Technology
 - n) Insurtech
 - o) Investment
 - p) Law and Legal Studies
 - q) Marketing
 - r) Organisational Behavior and Management
 - s) Quantitative Methods
 - t) Statistics
 - u) Strategic Management
7. Any other topics the IA may add from time to time

* *The areas of coverage are adopted from the Annex 1 (Schedule II) to GL24 issued by IA. Any new topic to be added will be published on the IA's website.*