



強制性公積金計劃管理局
MANDATORY PROVIDENT FUND
SCHEMES AUTHORITY

QUALITY ASSURANCE KIT
FOR
MPF CORE CPD ACTIVITIES

Fourth Edition

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Hong Kong

TABLE OF CONTENTS

	Page
1. INTRODUCTION	1
2. ASSESSMENT CRITERIA OF CORE CPD ACTIVITIES	
2.1 Background of activity provider	2
2.2 Objectives and contents	2
2.3 Training materials	2 - 3
2.4 Number of core CPD hour(s) applied for	3
2.5 Qualifications and experience of trainers	3
2.6 Training arrangements	3 - 4
2.7 Quality assurance plan of activity providers	4
3. ON-GOING QUALITY ASSURANCE ARRANGEMENTS	
3.1 Class visits by MPFA staff	5
3.2 On-going monitoring / communication	5

ANNEX

Annex 1: Assessment Application Form

Annex 2: Additional requirements applicable to e-learning activities

1 INTRODUCTION

- 1.1 All individuals who are subsidiary intermediaries (SIs) are required to comply with the continuing training requirements pursuant to Section 34ZP of the Mandatory Provident Fund Schemes Ordinance (the Ordinance). The Guidelines on Continuing Training for Subsidiary Intermediaries (Guidelines) issued by the Mandatory Provident Fund Schemes Authority (MPFA) set out the training to be undertaken by SIs. For the purposes of the Guidelines, there are two types of continuing professional development (CPD) activities, namely (i) core CPD activities¹; and (ii) non-core CPD activities². Please refer to the Guidelines for the details of the continuing training requirements.
- 1.2 Core CPD activities can only be offered by the MPFA or activity providers with the activity approved by the MPFA as a core CPD activity. All core CPD activities, which can be face-to-face or virtual training activities, must be related to the core topic as specified in the Guidelines. The prior approval of the MPFA must be obtained before the core status can be approved. The approval status of core CPD activities will lapse upon the expiry date specified in the approval letter. Activity providers should submit an application to renew the approval status at least two months before the expiry date if they wish to continue to provide their core CPD activities.
- 1.3 CPD activity providers offering core CPD activities must be able to demonstrate their ability and capacity to conduct relevant activities. For example, they should have access to suitable venues for face-to-face training activities and technology and tools for virtual training activities. To this end, CPD activity providers are required to submit an Assessment Application Form (at Annex 1) to provide relevant details of the proposed core CPD activities. MPFA may request further information and clarify with the responsible trainers and other personnel as required when assessing the suitability of the activity to count for core CPD purposes.
- 1.4 The objective of this Quality Assurance Kit is to set forth (i) the assessment criteria of core CPD activities for the approval by the MPFA; and (ii) the on-going quality assurance arrangements to evaluate if the activities approved as core CPD activities continue to be relevant as such.

¹ The topics of core CPD activities must be related to the MPF System, MPF products and/or relevant concepts, regulatory compliance or ethics. Please refer to paragraph 10 of the Guidelines for details.

² Non-core CPD activities should be on any one of the topics provided in paragraph 11 of the Guidelines (e.g. investment, financial planning, risk management, etc.), or they can be training activities approved or accepted by any one of the frontline regulators.

2 ASSESSMENT CRITERIA OF CORE CPD ACTIVITIES

Activity providers may offer real-time face-to-face or virtual training in different formats, including traditional lecture-based courses, seminars, conferences, etc. The following assessment criteria of core CPD activities are applicable to both real-time face-to-face and virtual training activities. If the virtual training activities are in the form of e-learning³, please refer to Annex 2 for the additional requirements.

2.1 Background of activity provider

2.1.1 A brief description and background of the activity provider should be provided during the application process. Contents should include the brief history of the organization, main business, experience in providing MPF core CPD activities or other training/education, target audience etc.

2.2 Objectives and contents

2.2.1 MPF core CPD activities are relevant for ensuring that SIs will be able to comply with the conduct requirements as set out in the Ordinance. As specified in the Guidelines, the topics of core CPD activities include the following:

- (i) topics related to “regulatory compliance” comprising the Ordinance, circulars, codes and guidelines issued by the MPFA, and other local legislations directly related to the work of subsidiary intermediaries, such as the Prevention of Bribery Ordinance (Cap 201) and the Personal Data (Privacy) Ordinance (Cap 486);
- (ii) topics related to understanding the MPF System, MPF products and/or relevant concepts; and
- (iii) topics related to “ethics” comprising ethical principles concerning integrity, fairness, due care and diligence, good faith and objectivity, best interests of clients, accurate representations, disclosure of clear, accurate and relevant information to clients, avoidance of conflict of interest, confidentiality of clients’ information, professional competence and the application of the relevant principles or concepts.

2.3 Training materials

2.3.1 The training materials including activity plan, presentation slides and handouts should be submitted to the MPFA for assessment purposes. Training details such as duration and objectives should be included in the activity plans. Where appropriate, the training activity, especially for a traditional lecture-based course, is recommended to adopt interactive learning approaches and

³ E-learning activities are virtual training activities in the form of online courses delivered through a digital learning platform for participants to undertake at any time and from any location.

introduce an assessment component (e.g. end-of-activity assessments) to test the understanding of participants.

2.3.2 The training materials should align with the activity title and objectives.

2.3.3 The training materials must contain correct and up-to-date information.

2.4 Number of core CPD hour(s) applied for

2.4.1 The training contents must be sufficient to sustain the number of core CPD hours applied for.

2.5 Qualifications and experience of trainers

2.5.1 Trainers must possess the relevant academic or professional qualifications and relevant teaching or work experience. The minimum requirements of qualify trainers are:

(a) Qualification

- possess a recognized degree or
- possess internationally recognized professional qualifications in Law, Accounting, Financial Planning or Insurance such as ACCA, CPA, CIIA, CFA, CFP, CII, CLU, etc; and

(b) Experience

- possess at least 5 years' industry experience in employee benefits, investment / asset management, banking, insurance planning, financial planning or legal practice and relevant training experience in total, or
- possess at least 3 years' relevant training experience

2.5.2 An individual should be designated as the person-in-charge to be responsible for the overall management of the training quality. He/she should be experienced in delivering and/or managing different training activities and preferably be a senior member of the organization providing the activity.

2.6 Training arrangements

2.6.1 Activity providers should ensure that proper attendance monitoring procedures are in place, such as verification of participants' identity against their photo bearing identification documents, keeping records of any periods of absences of participants while the training activities are in progress etc. In relation to e-learning activities, please refer to Annex 2 for tracking participants' login time and activities taken.

2.6.2 The MPFA will assess the effectiveness of attendance monitoring procedures.

- 2.6.3 The proposed training schedule should be sent to the MPFA as part of the application assessment process. Written notice of any changes to the schedule should be given to the MPFA, at least seven working days prior to the commencement of the activity.
- 2.6.4 An attendance certificate should be provided to each participant upon completion of the training activity. A sample attendance certificate should be submitted to the MPFA for reference.

2.7 Quality assurance plan of activity providers

- 2.7.1 Activity providers should have in place and submit a comprehensive plan for monitoring the quality of the training activity. Details of the measures to monitor (i) the quality of the training activity; (ii) the performance of trainers; and (iii) feedback provided by participants or the sponsoring corporation for any in-house training (if applicable) should be provided. The MPFA will assess the effectiveness of the quality assurance plan.
- 2.7.2 Activity evaluations should be carried out at the end of all MPF core CPD activities. A sample evaluation form should be submitted to the MPFA for reference.

3 ON-GOING QUALITY ASSURANCE ARRANGEMENTS

3.1 Class visits by MPFA staff

3.1.1 The MPFA may attend the face-to-face or virtual training activities conducted by activity providers without prior notice. Activity providers should cooperate with the MPFA when the MPFA conducts class visits for the purpose of assuring the quality of such training activities.

3.2 On-going monitoring / communication

3.2.1 If any issues in training quality or training arrangements are identified by the activity providers or the MPFA, appropriate remedial action(s) should be taken as soon as practicable by the activity providers.

3.2.2 Any subsequent changes to the approved core CPD activities which are minor in nature and do not adversely affect the objectives, contents or duration of the approved activities (e.g. update of demographics) do not require the prior approval of the MPFA. If there are material updates to the approved core CPD activities, an application for approval as a core CPD activity must be submitted to the MPFA afresh.

3.2.3 Activity providers should maintain attendance registers with the particulars of each participant, as well as information covering the average evaluation ratings from participants, summary of participants' feedback and quality restoration/follow up actions taken by the activity provider in case of negative feedback received from activity participants and/or the MPFA. These should be maintained for three years from the completion of each class of the training activities and should be produced when requested by the MPFA.

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MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**Assessment Application Form****Core Continuing Professional Development Activities
for MPF Intermediaries**

* Please refer to the Quality Assurance Kit for MPF Core CPD Activities and enclose the necessary information*

SECTION I ACTIVITY PROVIDER

1 Organization name in English and Chinese

2 Years of experience in providing MPF core CPD activities

3 Years of experience in providing other continuing
professional training recognized by other regulators

4 Please provide information on (i) your organization; and (ii) MPF core CPD activities and
other continuing professional training offered in the past.

5 Target audience of activity provider

6 Person-in-charge of training activity and contact person

	Person-in-charge of training activity	Contact Person
Name		
Position		
Address		
Phone number		
Email address		

SECTION II ACTIVITY INFORMATION

1 **Activity name in English and Chinese**

2 **Objectives of the activity**

3 **Activity contents**

- | | |
|--|---|
| <input type="checkbox"/> Regulatory compliance | <input type="checkbox"/> Ethics |
| <input type="checkbox"/> MPF System | <input type="checkbox"/> Other (Please specify) |
| <input type="checkbox"/> MPF products and/or relevant concepts | _____ |

SECTION III TRAINING MATERIALS

1 **Activity plan**

(Please provide the time apportioned and learning objectives for each component of the training activity.)

2 **Language of training materials** Chinese English

3 **Language in delivering training activity** Cantonese English
 Mandarin

4 **Presentation slides and handouts**

(Please provide all training materials including the presentation slides, handouts and end-of-activity assessment (if applicable) of the training activity. If the training activity consists of educational videos, please provide the links if possible.)

5 **Passing score of end-of-activity assessments (if applicable)**

SECTION IV NUMBER OF CORE CPD HOURS APPLIED FOR

1 **Attendance/study hours** _____ (hours)

2 **Number of core CPD hour(s) applied for** _____ (hours)

(Note: The number of core CPD hour(s) applied for must not be more than the attendance/study hours.)

SECTION V STAFF PROFILE

1 Trainers

Name, Current Position & Title	Academic Qualification & Awarding Institution	Professional Qualification & Awarding Institution	Relevant Working Experience (Please state number of years of experience, job title and organization)	Experience in Conducting Similar Activities (Please state number of years of experience, job title and organization)

(Please provide the information on a separate sheet if there is insufficient space)

2 Person-in-charge of training activity

Name & Position (Please state whether full-time / part-time)	Academic Qualification & Awarding Institution	Professional Qualification & Awarding Institution	Years of Experience in Managing or Conducting Training Activities

SECTION VI TRAINING ARRANGEMENTS

1 **Proposed commencement date of activity** _____

2 **Frequency of running the activity (if applicable)** _____

(Note: Written notice of any changes to the schedule should be given to the MPFA, at least seven working days prior to the commencement of the activity.)

3 **Mode of Delivery**

Lecture

Seminar

E-learning

Others

(Please specify): _____

4 **Facilities for the activity (e.g. venue address for a face-to-face activity, digital platform for virtual activity including e-learning)**

5 **Admission requirements of the activity (if applicable)**

6 **Maximum number of participants**

7 **Attendance monitoring procedures**

(Please provide the details of attendance monitoring procedures on a separate sheet. For e-learning, please refer to section VIII and provide the required information. A sample of the attendance certificate should be submitted.)

SECTION VII QUALITY ASSURANCE PLAN

Please submit a quality assurance plan for monitoring the quality of the training activity. Details of the measures to monitor (i) the quality of the training activity; (ii) the performance of trainers; and (iii) feedback provided by participants or the sponsoring corporation for any in-house training (if applicable) should be provided.

Activity evaluation by participants is required to be carried out at the end of all MPF core CPD activities. Please submit a sample evaluation form.

SECTION VIII ADDITIONAL REQUIREMENTS FOR E-LEARNING

If the mode of delivery of the training activity is e-learning, please provide documentary evidence that the digital learning platform for the e-learning activities has (i) proper login system to verify the identities of participants; and (ii) effective tracking function to record the participants' login date(s) and time at which the participants log on to the digital learning platforms, together with the total duration which the participants take part in e-learning activities on the digital learning platforms.

The end-of-activity assessment for the e-learning should be submitted.

SECTION IX SIGNED BY PERSON-IN-CHARGE OF TRAINING ACTIVITY

All the information provided in relation to the application is accurate to the best of my knowledge.

Name _____ Signature _____

Position _____

Date _____

Information on approved core CPD activities will be posted on the MPFA website.

~ END ~

ADDITIONAL REQUIREMENTS APPLICABLE TO E-LEARNING ACTIVITIES

- 1.1 E-learning activities are virtual training activities in the form of online courses delivered through a digital learning platform for participants to undertake at any time and from any location.
- 1.2 Due to the flexibility of e-learning activities, this training mode accommodates diverse learning paces and schedules, allowing participants to engage with the contents at their convenience, thereby increasing its popularity.
- 1.3 To uphold the equivalent standard and quality of e-learning activities as those of face-to-face and other virtual CPD training activities, in addition to meeting the assessment criteria of core CPD activities and being subject to the on-going quality assurance arrangements as set out in the Quality Assurance Kit, an e-learning activity is required to comply with following requirements to be approved as a core CPD activity.

(a) Proper login system to verify the identities of participants

The digital learning platforms offering e-learning activities should have in place a proper and secure login system to verify the identities of participants and ensure that the participants claiming the CPD hours are the participants who take part in the e-learning activities in order to avoid possible abuses, including but not limited to impersonation.

(b) Measures to tracking participants' login time and activities undertaken

- (i) An effective tracking function should be available in the digital learning platforms to record the participants' login date(s) and time at which the participants log on to the digital learning platforms, together with the total duration which the participants take part in e-learning activities on the digital learning platforms, such as viewing presentation slides, watching videos, completing quizzes, etc.
- (ii) The functions on the digital learning platforms that enable skipping, fast-forwarding through the e-learning contents or otherwise bypassing the e-learning activities (if any) should be disabled, and the participants should be logged off automatically after a reasonable period of inactivity to ensure that only effective study hours are counted for the purpose of meeting the CPD requirements.
- (iii) The minimum numbers of study hours that the participants take part in the entire e-learning activities must not be less than the entitled numbers of qualified CPD hours.

(c) End of activity assessment

- (i) An end-of-activity assessment should be put in place to evaluate participants' understanding of the learning objectives, thereby meeting the original intent of CPD activities for SIs to ensure their professional competence. To earn the CPD hours through e-learning activities, participants must complete the end-of-activity assessments and attain at least a pass score as specified by the activity providers.
- (ii) The time taken by participants in taking part in the end-of-activity assessments

should not be counted towards the CPD hours to be awarded upon their successful completion of the e-learning activities.

(iii) The completion date of an e-learning activity shall be the date on which a participant attains a pass score of the end-of-activity assessment. A certificate of completion shall be provided to the participant as proof of completion of the e-learning activity.

- 1.4 The MPFA does not endorse and makes no representations or warranties regarding the accuracy and completeness of the training materials or contents provided by the activity providers of CPD activities. The activity providers are solely responsible for ensuring the accuracy of the training materials and the quality of the activities.
- 1.5 The above requirements (i.e. paragraphs 1.3(a) to (c)) equally apply to e-learning activities qualified for non-core CPD hours under the Guidelines.
- 1.6 SIs, as participants of the e-learning activities, who let an impostor take part in the e-learning activities on their behalf for the purpose of claiming CPD hours under the Guidelines compromise the professional standards set by the MPFA and will be subject to disciplinary actions of the MPFA and/or the frontline regulators.