

Procedures for Registration of Continuing Professional Development (“CPD”) Courses/Lectures/Seminars/Workshops/Programmes in relation to Financial Dispute Resolution Scheme (“FDRS”) (hereinafter referred to as “CPD event”)

Under the *FDRS Standards and Procedures for Admission to the FDRC List of Mediators and FDRC List of Arbitrators*, Mediators and arbitrators on the Lists are required to obtain adequate CPD training hours/points during the 2 years immediately preceding renewal of membership (“CPD Year”). Recognised Subject Areas for the purpose of obtaining CPD points include:

- a. Communication skills
- b. Negotiation
- c. Advanced mediation skills
- d. Conflict coaching skills for mediators
- e. Alternative dispute resolution processes
- f. Conflict management
- g. Special knowledge on resolving financial products disputes
- h. Regulatory issues in connection with the banking and financial industry
- i. Financial products

Other courses or training not included in the above categories will be considered by the FDRC Appointment Committee (the “Committee”) on a case-by-case basis.

For event organisers which are interested in applying for FDRC CPD events, please follow these Procedures for Registration of CPD events.

Documents and Information Required on Application

To meet the requirements set out by the Committee, the organiser will need to provide information for the Committee’s consideration, which includes:

1. Name of the Course Provider / Organiser
2. Course Title
3. Name, professional/educational background, practical / teaching experience and current employment of presenter(s) (short C.V.'s may be submitted in lieu of description)
4. Please provide a complete description of all materials to be distributed to participants
 Looseleaf Bound Typewritten Typeset
Total Pages (estimated) _____
5. Target Audience
6. Please also provide outline of course presentation and attach programme agenda / brochure.
7. Contents and/or materials distributed to the participants, if available at the time of application.
8. Course fee, if any.

The organiser will need to fill in the Evaluation Analysis by Event Organiser (**Form A4**), Attendance record of the CPD Event and submit the materials distributed to the participants (if not available at the time of application) to the FDRC within 14 days after the CPD event has taken place. The organiser may use its own form if wishes, provided that substantially the same questions are asked. The FDRC may send a representative to attend and monitor the course.

Application form

To satisfy the requirements for the registration of CPD events, organisers are required to complete an application form (**Form A-5**) set out at **Annexure 2** for each event organised.

Completed application forms are to be sent to the Committee at the following address:

**Unit 3701-4, Sunlight Tower,
248 Queen's Road East, Wan Chai
Hong Kong**

or via email: fdrc@fdrc.org.hk.

If an organiser charges/levies a fee for an attendee to attend their event, a registration fee per event will be charged and the organiser is required to submit this registration fee together with their application form (**Form A-5**). Failure to submit a registration fee will render the application invalid. The FDRC has discretion to reduce or waive the registration fee upon reasonable request.

Once an application form has been submitted and duly received by the FDRC, the organiser may for example state that "**Pending CPD registration approval from the FDRC**". Once an event has been approved, the organiser may for example state that "**3 CPD points approved by FDRC**" have been agreed for a 3-hour event.

CPD Points

The rule of thumb is to give one CPD point for each hour of the session (excluding breaks). Only full or half points may be awarded to any course. Points should be rounded down to the nearest half point for courses which are not scheduled to last for an exact number of half or whole hours.

Points are awarded for question and answer sessions only if they are structured. More points may be awarded if the course has a high level of audience participation, such as case studies, audience role-plays, brainstorming, group discussions or practical discussion problems. Ideally, a course should involve a variety of teaching methods and aids, such as whiteboards, flipcharts, overhead projectors, slides, videos, etc.

An Event must be of at least one hour in duration. Courses of only one hour must have no more than 10 minutes devoted to questions from the audience.

CPD Registration

All applications are to be made at least **4 weeks** before the scheduled date of the course. If the application is incomplete, registration may take 4 weeks from the date of submission of the complete application.

It is not possible to register CPD points after any event has taken place and the organiser must ensure that this is adhered to without failure.

FDRC Approved CPD Providers

The FDRC is also implementing a scheme of blanket registration for organisations. In order to be considered for FDRC Approved CPD Providers, it will be necessary to establish a suitable track record of course accreditation, including compliance with the accreditation conditions and with information provided on the accreditation application form or to otherwise demonstrate to the Appointment Committee that your organisation is a suitable candidate for FDRC Approved CPD Providers.

Training providers may apply or may be invited to apply for approval as FDRC Approved CPD Providers. Such providers will undertake to meet the standards and requirements for CPD events as prescribed by the FDRC from time to time and to provide the relevant documentation to the FDRC for quality assurance within 14 days after each CPD event has taken place, including:

- Curriculum outline;
- Event materials and handouts to be provided to the participants;
- Up-to-date resume(s) of the event presenter(s);
- Attendance record of the CPD Event; and
- Evaluation analysis in the prescribed format (**Form A-4**) set out at **Annexure 1**. (The organiser may use its own form if so wishes, provided that substantially the same questions are asked.)

The Committee of the FDRC shall review the application and decide whether or not the provider will be approved as FDRC Approved CPD Provider. Course and Events organised by FDRC Approved CPD Providers will be granted CPD points automatically based on the number of contact hours of the courses.

The FDRC may send a representative to attend and monitor the course. The FDRC may require FDRC Approved CPD Providers to provide the track record of course accreditation for review annually if necessary.

Registration Fee

Per event application: The prescribed registration fee is currently fixed at HK\$500 per event for non-commercial organisers and HK\$1,000 per event for commercial organisers. The FDRC has discretion to reduce or waive the application fee upon reasonable request.

FDRC Approved CPD Providers: The application fee is currently fixed at HK\$2,000 for non-commercial organisers and HK\$4,000 for commercial organisers. The FDRC has discretion to reduce or waive the fees upon reasonable request.

To qualify for non-commercial status an organiser must be a not-for-profit entity with charitable status. Supporting documentation showing charitable status may be required by the Committee to support their application.

The FDRC Appointment Committee

May 2017

Annexure 1 – Form A-4 Evaluation Analysis by Event Organiser

Form A-4

Evaluation Analysis by Event Organiser

In order to assist us to fully assess your event, please complete this Form in detail.

Event Organiser : _____
Event Topic/Title : _____

1. General Evaluation of the Event

Session(s)	Evaluation Statistics (Please list the number of attendees who have rated each session according to the following scale i.e. if there are in total "3" <i>Good</i> ratings from 3 attendees for the session please state "3" in the box)				Number of Attendees	Number of Evaluations Received
	<i>Excellent</i>	<i>Good</i>	<i>Fair</i>	<i>Poor</i>		
a.						
b.						
c.						

2. Evaluation of Presenter(s)

Name of Presenter(s)	Evaluation Statistics (Please list the number of attendees who have rated each presenter according to the following scale i.e. if there are in total "8" <i>Excellent</i> ratings from 8 attendees please state "8" in the box)				Number of Attendees	Number of Evaluations Received
	<i>Excellent</i>	<i>Good</i>	<i>Fair</i>	<i>Poor</i>		
a.						
b.						
c.						

3. Other comments and suggestions from the attendees:

- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____

Note:

If there is insufficient space in this Form, please provide details on a separate A4 sheet in the same format.

I confirm that the information provided in this Form is accurate and complete.	
Signature: _____ <i>(authorised person and company stamp of the event organiser)</i>	Date: _____
Name: _____	

Annexure 2 – Form A-5 Application Form for Registration of CPD

Form A-5

(for official use only)
Date Received:
Our Ref: FDRC/APCPD/_____
Approved CPD points:

**Application for Continuing Professional Development (“CPD”)
Courses/Lectures/Seminars/Workshops/Programmes in relation to Financial Dispute
Resolution Scheme**

1. Name of the Applicant (CPD Event Organiser)		2. CPD points being applied for	
3. Address and contact detail of Applicant			
4. Topic(s) of the Event (Please attach details/ outline of the event)			
5. Presenter(s) of the Event (Please attach details of their resume(s))			
6. Venue of the event (with FULL address)			
7. Date / Time and Duration of the event	a. Date / Time From _____ to _____ (DD/MM/YY) or (AM/PM)* (DD/MM/YY) or (AM/PM)* b. Duration: _____ days _____ hours		
8. Target Audience:	9. Estimated Number of Participants:	10. Application Fee¹ (attached, if applicable) <input type="checkbox"/> Yes HKD _____ <input type="checkbox"/> No	
11. A description of Language (Medium of Instructions) <input type="checkbox"/> English <input type="checkbox"/> Cantonese <input type="checkbox"/> Putonghua <input type="checkbox"/> Other (Please specify) :			
12. A description of method of teaching <input type="checkbox"/> Lecture <input type="checkbox"/> Participatory case study <input type="checkbox"/> Role-play <input type="checkbox"/> Discussion <input type="checkbox"/> Questions and Answers <input type="checkbox"/> Other (Please specify) :			
13. A description of all materials to be distributed to participants <input type="checkbox"/> Looseleaf <input type="checkbox"/> Bound <input type="checkbox"/> Typewritten <input type="checkbox"/> Typeset Total Pages (estimated) _____			
14. Additional Information to support the Application	Event materials and handouts attached <input type="checkbox"/> Yes <input type="checkbox"/> No		

* Delete as appropriate

Please put a “√” in where appropriate.

¹ By Cheque/Bank-in slip* made payable to “Financial Dispute Resolution Centre”

NOTES

1. Please fill in all sections in BLOCK LETTERS. If there is insufficient space, provide details on a separate A4 sheet in the same format. In case any section of the Form is not applicable, please put in "N/A".
2. Applicants are advised to provide all the information requested in the relevant documents and registration fee, where applicable, failing which the Financial Dispute Resolution Centre ("FDRC") may refuse to process and consider their applications.

PERSONAL INFORMATION COLLECTION STATEMENT

The personal data ("the data") collected in this application form ("this Application") for registration of CPD Courses/Lectures/Seminars/Workshops/Programme will be used by the FDRC for the purposes of processing this Application, evaluating the merits of this Application, auditing performance of the accredited courses, compiling statistics and keeping records of the accredited courses and other related matters.

In making this Application, it is obligatory for the applicant to supply the FDRC with the data requested in this application form except as otherwise indicated. The consequence for failing to supply such data is that the FDRC will not be able to process this Application.

After an application for registration has been duly processed, the application papers of the event organiser will be retained in a file established by the FDRC for each organiser. Such information will be retained by the FDRC for as long as it deems necessary or useful.

The data may be provided to such persons within the FDRC whose proper business is to have access to and assist in the processing of this Application and related matters. The data may also be provided to other persons who may help the FDRC in attaining the purposes above mentioned. Any data that is provided to anyone outside of the FDRC will be restricted to what is necessary and not excessive to achieve any intended purpose.

You have the right to request access to and correction of the data. Any such request should be addressed to the Data Protection Officer, The FDRC, Unit 3701-4, Sunlight Tower, 248 Queen's Road East, Wan Chai, Hong Kong.

The Privacy Policy Statement of the FDRC is available on its website at www.fdr.org.hk.

DECLARATION

In consideration of the FDRC registering this course, the event organizer and its representative(s) have read and agreed to the Personal Data (Privacy) Ordinance Notice. The event organiser agrees (1) to meet the criteria for registration, (2) to offer the course materially in the way presented in this application, (3) to allow the FDRC, a member thereof or such other person(s) as it shall designate, to attend, audit and view the programme (on the internet if it is a computer-based course), (4) to submit promptly to the FDRC all materials and information relating to its provision of the course upon request, and (5) to inform the FDRC of the actual start and finish time of the course should they be different from the scheduled time and to submit an evaluation summary to the FDRC by email within **fourteenth (14) days** following the final presentation of the programme, as detailed in this form.

**Signature for and on
behalf of the Applicant:**

Date:

(Please provide the name and title of the person who signs in Block Letters)

Annexure 3 – List of FDRC Approved CPD Providers

FDRC Approved CPD Providers for FDRC Mediators and Arbitrators

	Recognised Subject Areas	FDRC Approved CPD Providers
1	Regulatory Framework or Regulatory issues in connection with the banking and financial industry, Experience Sharing & FDRC Workflow	1. FDRC 2. Regulators as stated in the FDRC Terms of Reference
2	a. Communication skills b. Negotiation c. Advanced mediation skills d. Conflict coaching skills for mediators e. Alternative dispute resolution processes f. Conflict management	Joint Mediation Helpline Office
3	g. Special knowledge on resolving financial products disputes h. Regulatory issues in connection with the banking and financial industry i. Financial products	1. The Hong Kong Institute of Bankers 2. Hong Kong Securities and Investment Institute

Note: The CPD training above will be offered from time to time having regard to the availability of the providers, venue and the demand for such training. The content and duration of the training will be suitably adjusted from time to time to take into account of industry product and policy developments and any other changes. The FDRC will from time to time update the FDRC Approved CPD Providers from the above table.