



User Guide of the Insurance Intermediaries Connect

– CPD Non-Compliance Reporting and E-Payment

Updated in September 2024



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CPD Non-Compliance Reporting and E-Payment

1. Introduction

The CPD Non-Compliance Reporting on Insurance Intermediaries Connect (“IIC”) is a platform for Principals and Individual Licensees to handle and/or monitor the progress of the Individual Licensees’ non-compliance of the CPD requirements in the situation where the individual has agreed to be disciplined in line with the Penalty Framework for Non-compliance with Continuing Professional Development Requirements (“Penalty Framework”)¹ by entering into an agreement pursuant to section 84 of the Insurance Ordinance (Cap.41) (“Section 84 Agreement”).

The Principal is recommended to make use of this new Platform to handle Section 84 Settlement Agreements for the individual licensees for the assessment period of 2023-2024 and after, including generation and submission of settle agreement and making the fine payment by e-Payment function in IIC. It is a replacement of the previous manual method as stated in the Interpretation Notes of GL24¹ to handle the settlement agreement of 2023-2024 and after. **Please remind the individual licensee to pay the fine payment at IIC by e-Payment directly.**

The CPD Non-Compliance Reporting allows Principals to report their appointed Individual Licensee(s) Licensees’ non-compliance of the CPD requirements to the IA, handle payment of pecuniary fine for Individual Licensees via the E-Payment function, generate and upload the Section 84 Agreement via IIC.

Individual Licensees can monitor the progress of their Principal’s handling of their non-compliance of the CPD requirements and personally attend to payment of pecuniary fine via the E-payment function.

1.1 Access to IIC Accounts and Administration Account Management

Any Principal or Individual Licensee who has an existing IIC account can log in to their IIC account to access the CPD Non-Compliance Reporting (by Principal only), CPD Non-Compliance Reporting (Submitted Records) and E-Payment function.

Due to the system setting, please be advised to use computers to login the IIC account to

¹ For the Interpretation Notes of Guideline on Guideline on Continuing Professional Development for Licensed Insurance Intermediaries (GL24) and the Penalty Framework, please refer to https://www.ia.org.hk/en/legislative_framework/files/Interpretation_Notes_2023_Eng.pdf and https://www.ia.org.hk/en/legislative_framework/circulars/reg_matters/files/23072021_CPD_Penalty_Framework_Eng_NoS.pdf



perform the functions in the CPD Non-Compliance Reporting or e-Payment.

If a User encounters any difficulties or technical issues in accessing its IIC account (e.g. forgot password, forgot username, unable to activate account, etc.), the User may refer to “[User Guide of the Insurance Intermediaries Connect for Individual Applicants to Submit an Individual Licence Application](#)” or “[User Guide of the Insurance Intermediaries Connect for Principals](#)” for assistance.

Principal needs to select the functions of “*CPD Non-Compliance Reporting*”, “*CPD Non-Compliance (Submitted Records)*” and “*Payment*” under the **Administration Account Management** for any designated sub-accounts which will assist the Principal to performs the related of CPD Non-Compliance Reporting and Payment functions.

The screenshot displays the 'Administration Account Management' interface. On the left, a sidebar menu lists various management options, with 'Administration Account Management' highlighted in a red box. The main content area shows a form for setting up account access rights. Under the 'Approved Access Rights' section, the following options are checked and highlighted with red boxes:

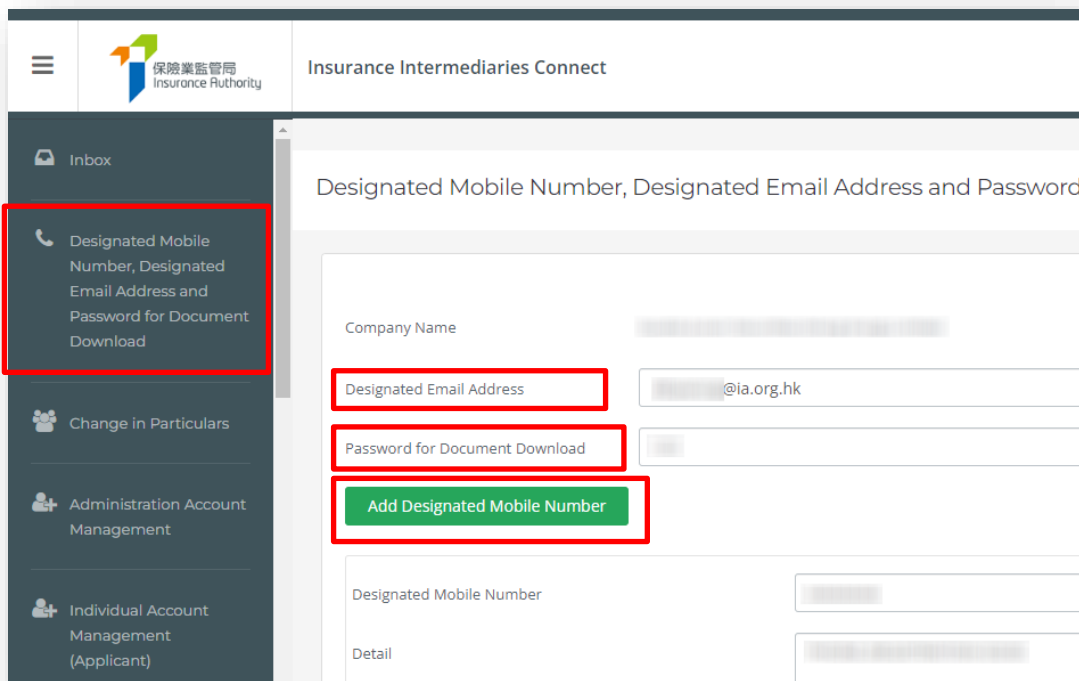
- CPD Non-Compliance Reporting
- CPD Non-Compliance (Submitted Records)
- Payment

1.2 Set up password, mobile phone number and email address

1.2.1 After Principal has uploaded the CPD Non-Compliance Excel Form for concerned Individual Licensee(s) to generate settlement agreement (please refer to [Para. 2.1 “Download CPD Non-Compliance Excel Form”](#)), a protected zipped folder would be downloaded to designation directory. To unzip the generated Settlement Agreement for concerned Individual Licensee(s), Principal should set up the password for document download at “Designated Mobile Number, Designated Email address and Password for Document Download” Section (the “Designated Section”).



- 1.2.2 One Time Password (“OTP”) is required for “Generate e-Payment Link” and “Upload Settlement”. Principal must save their designated mobile phone number in IIC for receiving OTP at the Designated Section.
- 1.2.3 Email notifications would be sent to Principal's Designated Email Address (as marked in the Designated Section) and the concerned Individual Licensee(s)' email address respectively after performing the CPD Non-Compliance Reporting functions (e.g. generate e-Payment Link for fine payment, e-Payment of fine completed, uploaded settlement agreement by Principal).
- 1.2.4 Principal should ensure the designated email Address, password for document download and designated mobile number have been input in Designated Section to perform the CPD Non-Compliance functions.





2. Functions in CPD Non-Compliance Reporting

There are four main functions on CPD Non-Compliance Reporting:

Download Section:

“Download Excel Form” – to download the s.84 Agreement _CPD Non-Compliance Excel Form (2023-2024 and after) (“Excel Form”) to perform the Upload Functions as below.

Upload Section:

1. Generate e-Payment Link
2. Generate Settlement Agreement
3. Upload Signed Settlement Agreement

“(1) Generate e-Payment Link”, “(2) Generate Settlement Agreement” and “(3) Upload Settlement Agreement” will be collectively referred to as “the Three Functions”.

There is no system sequence requirement for the upload functions of “(1) Generate e-Payment Link” and “(2) Generate Settlement Agreement”. Principal may perform either function (1) or (2) first according to their own practice.

For “(3) Upload Settlement Agreement” function, Principal may perform this function after the fine payment has to be made, and the Settlement Agreement has been signed by the Individual Licensee.

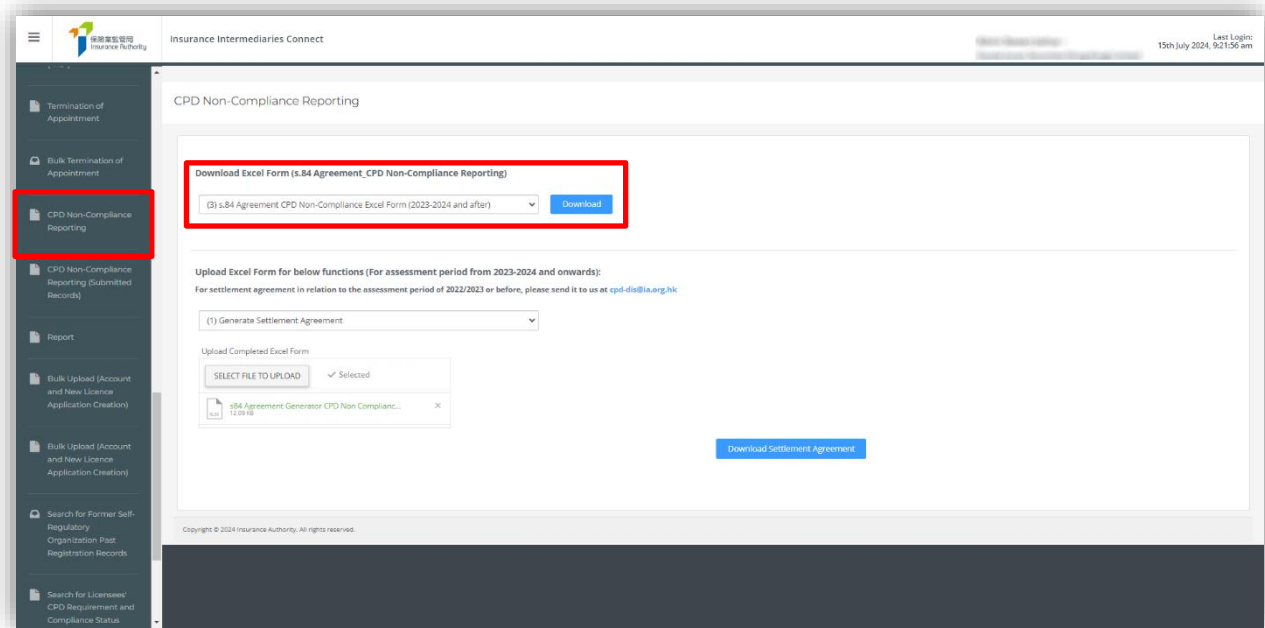
Only Principals have access and use the “CPD Non-Compliance Reporting” Section to perform the functions in relation to the Section 84 Settlement Agreement for the Individual Licensees **for the assessment period from 2023-2024 and after.**

For Individual Licensees, they can access to “CPD Non-Compliance Reporting (Submitted Records)” to view the records submitted by the Principal to Insurance Authority (IA) via IIC.



2.1 Download CPD Non-Compliance Excel Form

2.1.1 The Principal may enter “CPD Non-Compliance Reporting” and click “Download” at “Download Excel Form (s.84 Agreement CPD Non-Compliance Reporting)”. A blank Excel Form would be generated and ready to be downloaded.



因未能遵守持續專業培訓規定而制訂第84條協議 Section 84 Agreement for Non-compliance with Continuing Professional Development (“CPD”) Requirements						
保監局中介人牌照號碼 IA Licence No.	於7月31日持續專業培訓尚欠時數 No. of shortfall in CPD hour(s) as at 31 July	是否已經補回尚欠持續專業培訓時數? Has the shortfall been rectified? (是/Yes/否/No)	是否於10月31日前已經補回尚欠持續專業培訓時數? Was the shortfall rectified before 31 Oct? (是/Yes/否/No)	中介人是否同意簽訂<<第84條協議>>? Does individual agree to enter into Section 84 Agreement? (是/Yes/否/No)	繳款方 To be paid by (中介人 Licensee / 主事人 Principal)	<<第84條協議>>日期 Date of Section 84 Agreement (日/月/年) (DD/MM/YYYY)
持續專業培訓評核期 CPD Assessment Period:	2023-2024					



2.1.2 The Excel Form requires Principal to provide the following details for the Three Functions:

Field name (All Mandatory)	Description of Data to be input
CPD Assessment Period	<ul style="list-style-type: none">Select the CPD assessment period. (Must be 2023-2024 or after)²
IA Licence no.	<ul style="list-style-type: none">Enter the licence number of the concerned Individual Licensee(s).
No. of shortfall in CPD hour(s) as at 31 July	<ul style="list-style-type: none">Enter the shortfall of CPD hours the concerned Individual Licensee(s) has attained as at 31 July of the subject CPD assessment period. A range of 0.5 to 15 CPD hours can be inserted (i.e. decimal value of 0.5 is allowed).The pecuniary fine will be calculated based on the number of shortfall of CPD hours.
Has the shortfall been rectified? (Yes / No)	<ul style="list-style-type: none">Rectification of the shortfall of CPD hours is a prerequisite for the Individual Licensee(s) to enter into Section 84 Agreement with the IA.If the CPD non-compliance has not been rectified, the system will not generate a Section 84 Agreement.
Was the shortfall rectified before 31 Oct? (Yes / No)	<ul style="list-style-type: none">Please indicate if the shortfall of CPD hours was rectified before 31 October of the subject assessment period.Please refer to the circular letter on Penalty Framework for Non-compliance with Continuing Profession Development Requirements³ of the different sanctions to be imposed if the shortfall of CPD hours was rectified before or after 31 October of the subject assessment period.As the answer to this field will affect the sanction imposed on and be subjected to the Individual licensee, Principal must ensure the answer to this field is the same when <u>generating</u> the Section 84 Agreement, and <u>uploading</u> the

² The Principal should keep on referring to :

https://www.ia.org.hk/en/legislative_framework/files/Guide_to_prepare_Section_84_Agreement_Eng.pdf

for generating and submitting the settlement agreement for the CPD assessment period of 2022-2023 or before to the IA.

³ For penalty framework, please refer to

https://www.ia.org.hk/en/legislative_framework/circulars/reg_matters/files/23072021_CPD_Penalty_Framework_Eng_NoS.pdf



	Section 84 Agreement.
Does individual agree to enter into Section 84 Agreement? (Yes/No)	<ul style="list-style-type: none">• Individual licensee(s) must agree to enter into Section 84 Agreement before the system generates the agreement.
To be paid by (Licensee or Principal)	<ul style="list-style-type: none">• When perform (1) Generate e-Payment Link function: Principal may elect the pecuniary fine to be paid by the Individual Licensee(s) or by the Principal on behalf of the licensee(s).• When perform (2) Generate Settlement Agreement function: Principal may elect the pecuniary fine to be paid by the Individual Licensee(s) or by the Principal on behalf of the licensee(s). If fine payment has been made, please fill in the payor (i.e. Principal / Licensee)• Before perform (3) Upload Settlement Agreement: The fine payment must have been paid. This field shall refer to the payor (i.e. Principal / Licensee).



Date of Section 84 Agreement

- When perform (1) Generate e-Payment Link function:
 - Principal shall fill in the date when the e-Payment link was generated as the “Date of Section 84 Agreement” if the S84 Agreement has not yet been generated, printed and signed by the Individual Licensee.
 - In case the settlement agreement has been generated and signed by the individual licensee, the Principal shall fill in the Date of Section 84 Agreement as generated in the Settlement Agreement.
- When perform (2) Generate Settlement Agreement function:
 - **Date of Section 84 Agreement has to be filled in the same date when the Settlement Agreement was generated.** System would not allow previous or future date as Date of Section 84 Agreement under this function (i.e. must be today’s date).
 - The principal should provide the Agreement to the individual licensee for signature on the same date when it was generated from IIC. So the Date of Section 84 Agreement should be the date when the Individual Licensee signed on it.
- When perform (3) Upload Settlement Agreement function:
 - The Date of Section 84 Agreement for function (3) must be the same date as input in the Excel Form when performing function (2), i.e. the date as generated on the Settlement Agreement.**
 - As this date will affect the sanction imposed on and be subjected to the Individual licensee, Principal must ensure filling in the same Date of Section 84 Agreement in the Excel Form when performing functions of (2) generate Settlement Agreement, and (3) upload Settlement Agreement.



- 2.1.3 Up to 20 Individual Licensee(s) details can be entered into one single Excel Form to perform the Three Functions respectively.
- 2.1.4 Principal should verify the information provided by the Individual Licensee(s) and ensure the data is accurate and **ensure the Individual Licensee has rectified the shortfall in CPD hours before completing the Excel Form.**
- 2.1.5 When perform function (3) upload Settlement Agreement, Principal shall ensure the data input in the Excel Form must be exactly the same as when performing function (2) generate Settlement Agreement for an individual licensee. If there are any discrepancies of data in the Excel Form when performing function (2) and (3), it would affect the accuracy of data in IIC including sanction details, the sanction dates and sanction period, and such information would also be different from those generated in the signed Settlement Agreement of the individual licensee.

2.2 Generate e-Payment Link

- 2.2.1 The Principal may generate e-Payment link for fine payment for those Individual Licensee(s) who agreed to sign the settlement agreement.
- 2.2.2 The Principal may choose to pay the fine on behalf of the Individual Licensee or for the concerned Individual Licensee(s) to pay directly.
- 2.2.3 Once the payor has been elected, the e-Payment Link will be generated to the selected payor for payment.
- 2.2.4 Principal may perform function (2) Generate e-Payment Link again to change the payor if necessary.
- 2.2.5 The e-Payment Link is valid for 30 calendar days after generation. Payor needs to login IIC to make the payment.
- 2.2.6 The Payment Status will be “Void (Payment Link Expired)” if the e-Payment Link has expired after 30 calendar days. Please perform function (2) again to generate a new e-Payment Link.
- 2.2.7 If the Payment has been generated without payment, and there is another principal generating the e-Payment Link for the same licensee, the Payment Status of the primary principal would be shown as “Void (Superceded Link)” and the e-Payment Link will be disabled.
- 2.2.8 Once the fine payment has been made, Principal could not generate the e-Payment Link for the same individual licensee of the same assessment period again.



2.2.9 Below are the steps to generate e-Payment Link –

- *Step 1: Select “(1) Generate e-Payment Link” under “Upload Excel Form for below functions”.*
- *Step 2: Press “Select file to upload” and find the completed Excel Form for the concerned licensee(s).*

The screenshot shows the 'Insurance Intermediaries Connect' portal. The main content area is titled 'CPD Non-Compliance Reporting'. It features a 'Download Excel Form (s.84 Agreement_CP D Non-Compliance Reporting)' section with a dropdown menu showing '(3) s84 Agreement CPD Non-Compliance Excel Form (2023-2024 and aft)' and a 'Download' button. Below this is an 'Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):' section. A note states: 'For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at cpd-dis@ia.org.hk'. The dropdown menu is set to '(1) Generate e-Payment Link', which is highlighted with a red box and a '1' in a white box. Below the dropdown is the 'Upload Completed Excel Form' button, also highlighted with a red box and a '2' in a white box. A 'SELECT FILE TO UPLOAD' button is visible below the main upload button.



- *Step 3: The licence number, name and Date of Section 84 Agreement (Please refer to Para 2.1.2 for details) of the concerned licensee(s) as input in the Excel Form will appear in the confirmation page. Please verify and press “Confirm” if the information is correct. If not, please press “Cancel”, and revise the Excel Form and repeat Step 1 above.*

Insurance Intermediaries Connect ×

Please check and confirm again the following:
(1) The Assessment Period (2023-2024) is correct;
(2) The Date(s) of Agreement is/are correct;

(1) - Row 7 (License no. [redacted] [redacted] (Date of Agreement:05/08/2024)

Confirm to proceed? (Yes / No)

3

- *Step 4: Check the licence number, name and agreement date of the concerned licensee(s) again which is shown on the page.*
- *Step 5: Press “Generate e-Payment Link”*

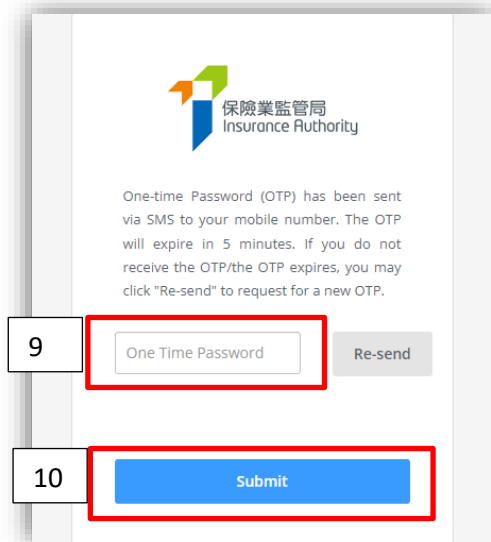
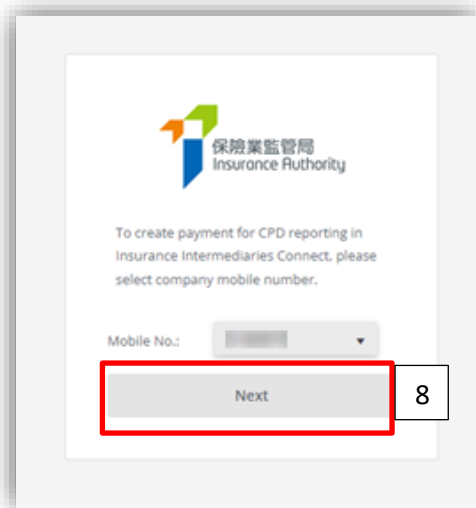


- Step 6: Press “Yes” to confirm generating the e-Payment Link.

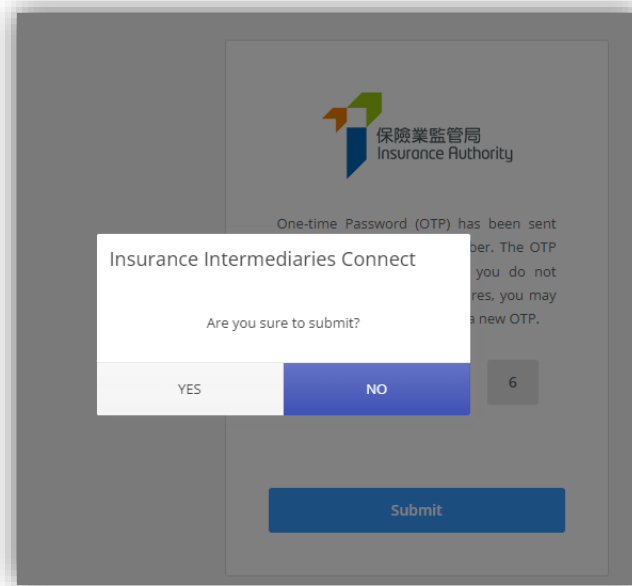
Step 7: Select a mobile phone number from the combo box (please refer to [Para. 1.2](#) to save any new mobile phone number).



- Step 8: Press “Next” to receive a One Time Password (“OTP”) which is sent to the mobile phone number that Principle selected in Step (7).
- Step 9: Enter the received OTP in the textbox.
- Step 10: Press “Submit”.

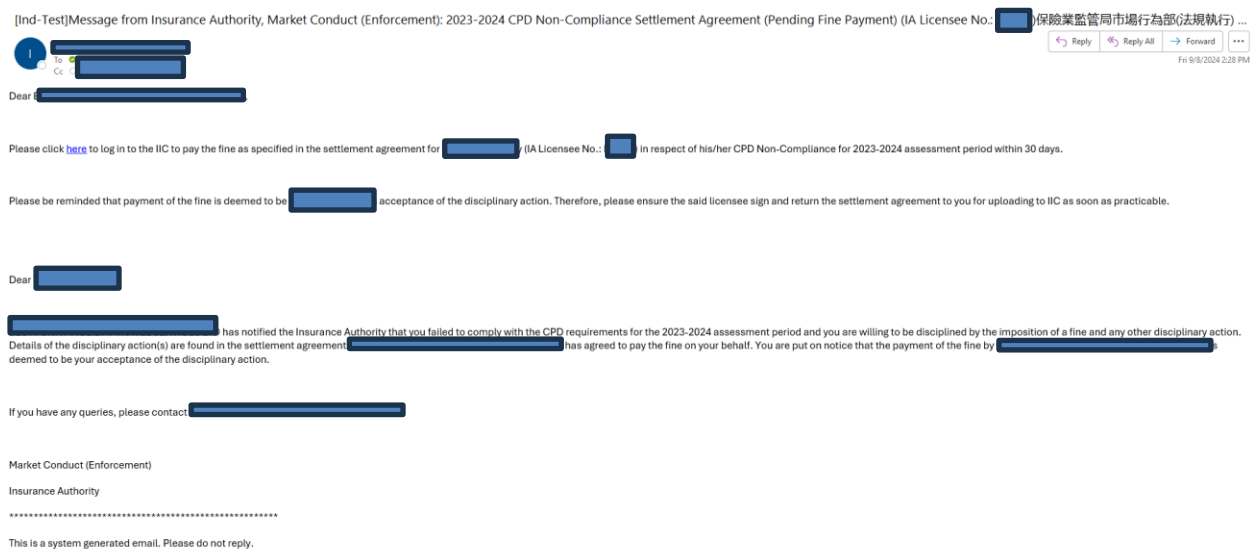


- Step 11: Press “YES” to confirm generating e-Payment Link.



2.2.10 An email notification would be sent to the Individual Licensee(s)' and Principal's *registered address in IIC* after the Principal has uploaded the Excel Form to Generate e-Payment Link with the concerned Individual Licensee(s) being selected as the Payor. If the Payor has been selected as "Principal", and an email would be sent to Principal, and concerned Individual Licensee(s).

2.2.11 The Payor (Individual Licensee(s) / Principal) may click "here" (for English page) in the email which would redirect to the login page of IIC and make E-Payment as described in below.





2.3 E-Payment

- 2.3.1 The fine payment has to be paid before the uploading of the Section 84 Agreement to IIC.
- 2.3.2 Principal / Individual Licensee(s) can pay the fine via the “Payment - Outstanding Payment (Disciplinary Action)” or “CPD Non-Compliance Reporting (Submitted Records)” sections of IIC.
- 2.3.3 There are 4 online Payment methods available in IIC, namely, Visa, Mastercard, Alipay HK and Wechat Pay.
- 2.3.4 It is recommended to login in the IIC via your desktop computer / laptop / notebook if you want to make the payment by scanning the QR code as generated by Alipay HK and Wechat Pay via your mobile Apps.
- 2.3.5 The maximum fine payment limit for each case at IIC is capped at HKD15,000. The maximum payment is capped at HKD100,000 for each transaction.
- 2.3.6 An acknowledgement of Receipt of the fine payment will be issued by email to the Payor (Principal / Licensee) and c.c. the other concerned party after the payment has been made successfully. If there is any problem with the payment, please contact cpd-dis@ia.org.hk.
- 2.3.7 After making payment, the Payor may view their own payment records including the receipt in the “Payment/Receipt” column in the “Payment” – “Payment History (Disciplinary Action)”

The screenshot shows a web interface for 'Payment' with two tabs: 'OUTSTANDING PAYMENTS (DISCIPLINARY ACTION)' and 'PAYMENT HISTORY (DISCIPLINARY ACTION)'. The 'PAYMENT HISTORY' tab is active. Below the tabs is a table with the following columns: Amount (HK\$), Payment Status, Payment Date (dd/mm/yyyy), Paid By, Payment Method, Transaction ID, Submitted Excel File for Generate Payment, Notices / Agreement, and Payment / Receipt. A single payment record is visible in the table:

Amount (HK\$)	Payment Status	Payment Date (dd/mm/yyyy)	Paid By	Payment Method	Transaction ID	Submitted Excel File for Generate Payment	Notices / Agreement	Payment / Receipt
\$4,200.00	Paid (by Principal)	30/07/2024	[Redacted]	MPCS VISA/MasterCard PC	[Redacted]	[Icon]		Receipt

- 2.3.8 No supporting documentation for payment is required to provide to the IA as the fine payment has been settled via IIC.
- 2.3.9 In case there is a need for refund, please contact cpd-dis@ia.org.hk. The Payor is required to fill in an “Application for Refund of Payment”. Depending on the payment methods, the handling time for refund may exceed 1 month.



2.4 E-Payment by Principal

E-Payment at “Outstanding Payment (Disciplinary Action)”

2.4.1 Principal should take the following steps:

- *Step 1: Enter “Payment” section and Select “Outstanding payments (Disciplinary Action)”. Please check the fine amount for the Individual Licensee(s) is correct before payment.*

The screenshot displays the 'Payment' section of the software. On the left, a dark sidebar contains several menu items: 'New or Change Appointment', 'Confirm Appointment (New or Change Appointment)', 'New or Change Appointment Records', and 'Payment'. The 'Payment' item is highlighted with a red border. The main content area is titled 'Payment' and shows a table with the heading 'OUTSTANDING PAYMENTS (DISCIPLINARY ACTION)'. The table has two columns: 'IA Case No.' and 'CPD Assessment Period'. There are two rows of data, each with a checkbox in the first column highlighted by a red box. The first row shows 'C-DIS/24/' and '2023-2024'. The second row shows 'C-DIS/24/' and '2023-2024'.

	IA Case No.	CPD Assessment Period
<input type="checkbox"/>	C-DIS/24/ [redacted]	2023-2024
<input type="checkbox"/>	C-DIS/24/ [redacted]	2023-2024

- **Step 2:**
 - Select the Individual Licensee(s) you wish to pay the fine and press “Pay Selected”.
 - Press the “Pay All” button, you may pay the outstanding fines of all the Individual licensee(s) under “Outstanding Payments (Disciplinary Action)” all at once.
 - Press “Pay” button at “Payment / Receipt” to pay the fine for an individual licensee.



- *Step 3: After “Pay”, “Pay Select” or “Pay All” has been pressed, the total fine amount for the selected or all outstanding cases will be displayed for confirmation. Press “Confirm” to proceed if confirm the amount is correct.*

Payment

OUTSTANDING PAYMENTS (DISCIPLINARY ACTION) PAYMENT HISTORY (DISCIPLINARY ACTION)

Pay All Outstanding Payments \$ **Pay by Selected \$** Export

<input checked="" type="checkbox"/>	IA Case No.	CPD Assessment Period	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	No. of CPD hour(s) Required	No. of shortfall in CPD hour(s) as at 31 Jul	Fine Generated Date (dd/mm/yyyy)	Fine Amount (HK\$)
<input checked="" type="checkbox"/>	C-DIS/24	2023-2024				15	8.5	23/07/2024	\$5,100.00
<input checked="" type="checkbox"/>	C-DIS/24	2023-2024				15	7.5	22/07/2024	\$4,500.00

Payment

OUTSTANDING PAYMENTS (LICENSE) PAYMENT HISTORY (LICENSE) OUTSTANDING PAYMENTS (DISCIPLINARY ACTION) PAYMENT HISTORY (DISCIPLINARY ACTION)

Pay Selected \$ Pay All Outstanding Payments \$ Export



<input checked="" type="checkbox"/>	CPD Assessment Period	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	No. of shortfall in CPD hour(s) as at 31 Jul	Fine Generated Date (dd/mm/yyyy)	Fine Amount	Payment Stage	Payment
<input checked="" type="checkbox"/>			Insurance Intermediaries Connect					Settlement	Pending
<input checked="" type="checkbox"/>			The total fine of this Payment is					Settlement	Pending

CONFIRM CANCEL

1 20 Items per page 1 - 2 of 2 items







- *Step 4: Select payment method (Visa, Mastercard, Alipay HK or Wechat Pay), and press “Continue”.*

 **mPay Payment Service** Pay safer with mPay 



Order Number	2407291511450004661
Merchant Name	Insurance Authority - 2
Total Amount	HKD 600.00

Choose the payment method


  


Please do not REFRESH/BACK or CLOSE the page during payment process

CANCEL

 **mPay Payment Service** Pay safer with mPay 

Order Number	
Merchant Name	Insurance Authority - 2
Total Amount	HKD 14,700.00
Payment Method	MPGS VISA/MasterCard

CONTINUE 

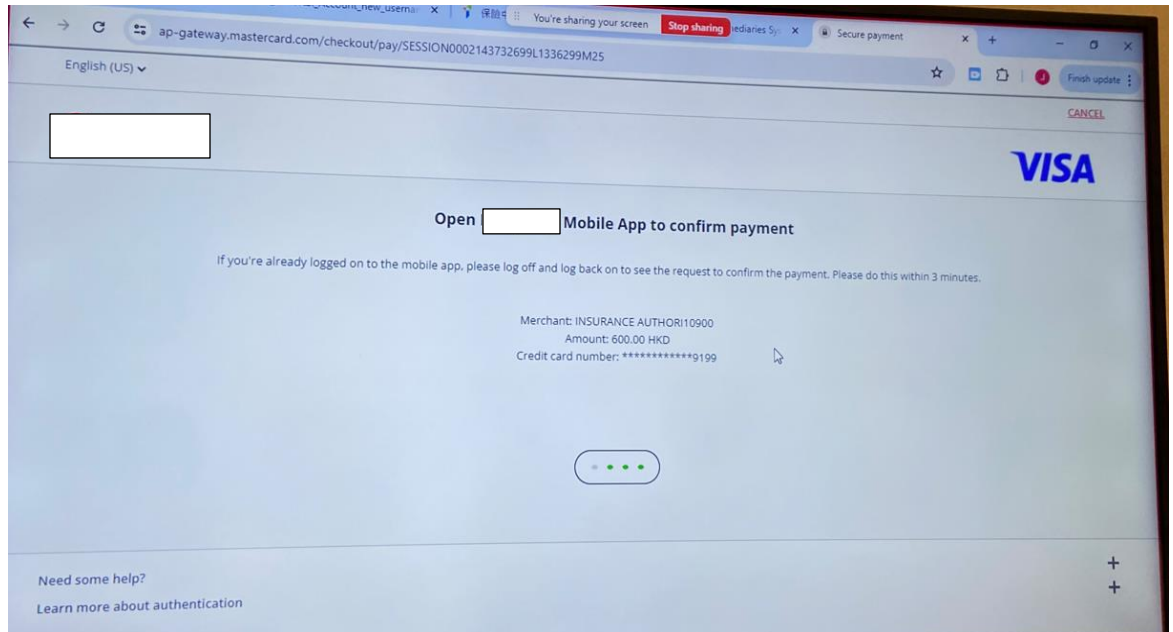
Please do not refresh-back or close the page during payment process
Redirect to payment page within 10 seconds.

- *Step 5: Process payment.*
 - *If select “Visa/ Mastercard” as payment method, please input the credit card information (card number, expiry month and year, cardholder name, security code and email address of the card holder (as required by bank for their authentication process).*
 - *Please note that there is a 5-minute time limit for inputting credit card (Visa/Mastercard) information. If you failed to complete the payment process within 5 minutes, you will have to retry the payment steps 2-4 again later. There would be a 10-minute session break before a new payment could be*

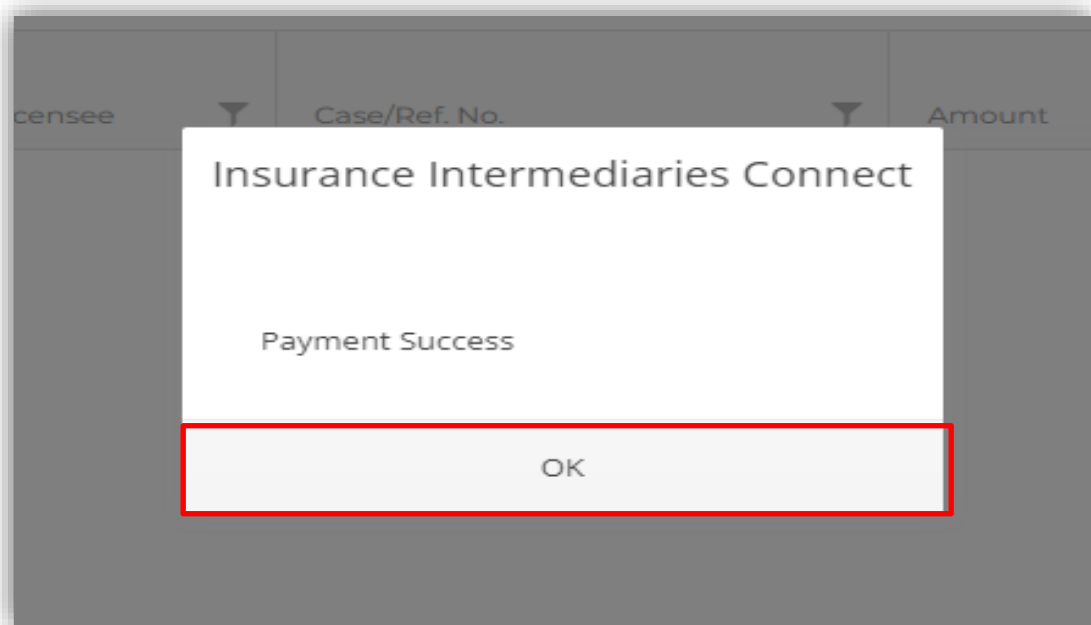


raised to avoid any duplicated payment.

- After input all the above information, **subject to your bank's security requirements, you may have to login your online banking account to verify and confirm the payment via your Visa/Mastercard/bank.**



- **Step 6: After the payment is made, a "Payment Success" message will pop up. Press "OK" to update the records on IIC.**



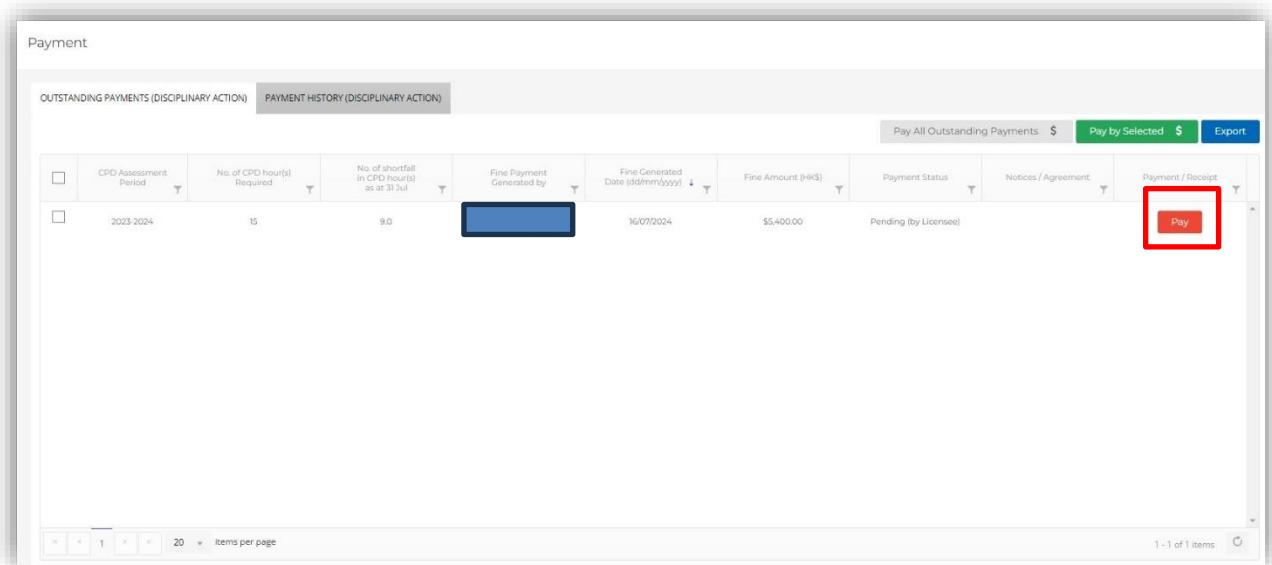


2.4.2 Principal may also make E-Payment at “CPD Non-Compliance Reporting (Submitted Records)” Section with the steps at [Para. 2.4.1](#)

2.5 E-Payment by Individual Licensee

2.5.1 If Individual Licensee is elected to pay the fine, he/she may pay at “Payment - Outstanding Payment (Disciplinary Action)” by adopting the following steps:

- *Step 1: Enter “Payment” section and Select “Outstanding payments (Disciplinary Action)”. Please check if the fine amount of the assessment period is correct before payment.*
- *Step 2: Licensee pressed “Pay” button at “Payment / Receipt” at the record.*
- *Step 3: Press “Confirm” to proceed if confirm the amount is correct.*



- *Steps 4 : Select payment method (Visa, Mastercard, Alipay HK or Wechat Pay), and press “Continue”.*
- *Step 5: If select “Alipay HK” or “Wechat Pay”, a QR code for payment would be generated with the payment amount.*

Enter your Alipay HK or Wechat Pay Apps, then find the scanner to scan the QR Code for payment.

Please note that there is a 5-minute time limit for the validity of the QR code generated for Alipay HK and Wechat Pay. If you failed to complete the payment process within 5 minutes, you will have to retry the payment steps 2-4 again later. There would be a 10-minute session break before a new payment could be raised to avoid any duplicated payment.



- *Step 6: After the payment is made, a “Payment Success” message will pop up. Press “OK” to update the records on IIC.*

2.5.2 Individual Licensee may also made E-Payment at “CPD Non-Compliance Reporting (Submitted Records)” with the steps at [Para. 2.5.1.](#)

2.6 Generate Settlement Agreement

2.6.1 After completion of the Excel Form, Principal may generate the Section 84 Settlement Agreement by taking the following steps:

- *Step 1: Select “(2) Generate Settlement Agreement” under “Upload Report / Settlement Agreement”.*
- *Step 2: Press “Select file to upload” and attach the completed Excel Form.*
- *Step 3: Press “Download Settlement Agreement”.*

The screenshot shows the Insurance Intermediaries Connect (IIC) system interface. The top header includes the Insurance Authority logo and the text "Insurance Intermediaries Connect". The main content area is titled "CPD Non-Compliance Reporting".

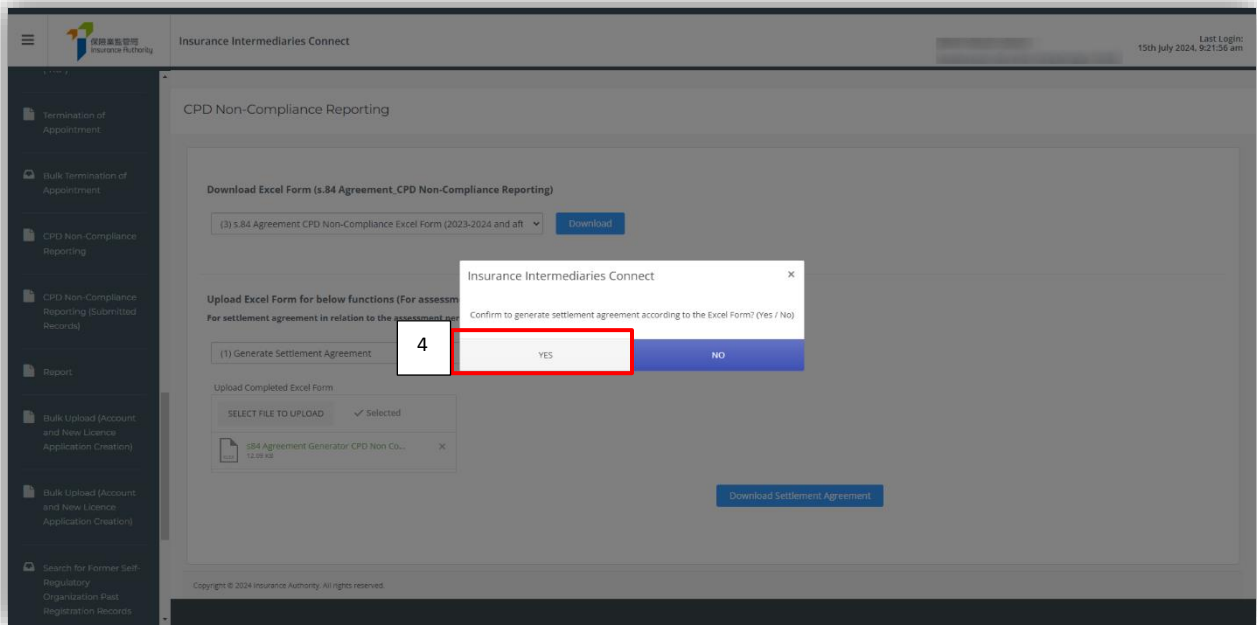
Under the heading "Download Excel Form (s.84 Agreement_CPD Non-Compliance Reporting)", there is a dropdown menu. Below this, the text reads: "Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards): For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at cpd-dis@ia.org.hk".

The interface shows a list of functions with the following items highlighted:

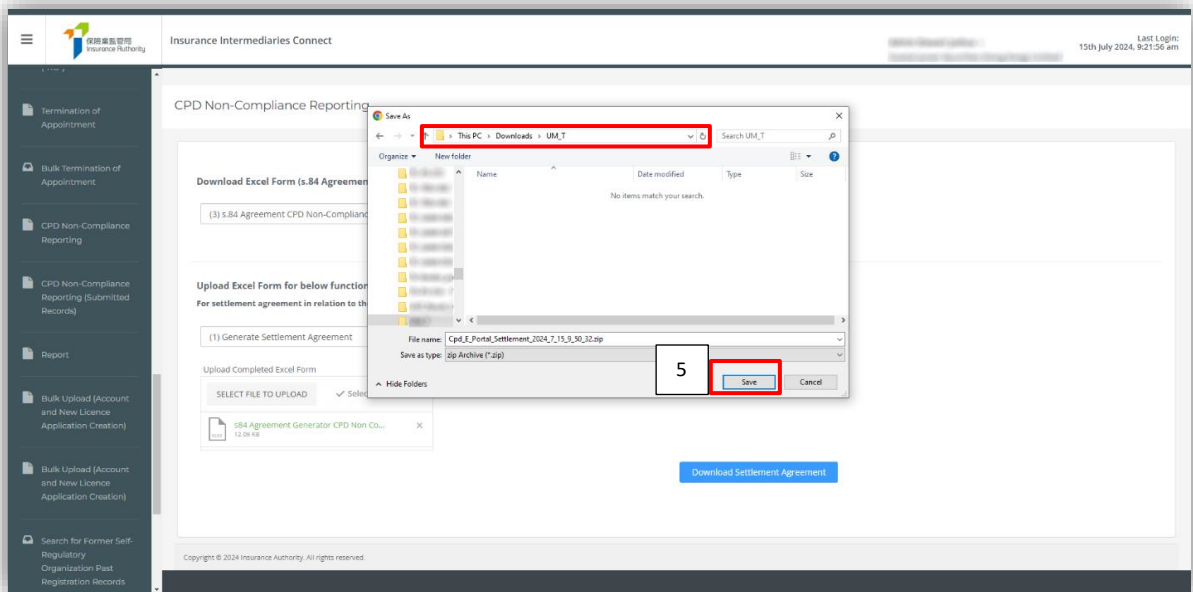
- Item 1: "(2) Generate Settlement Agreement" (highlighted with a red box and a '1' in a box).
- Item 2: "s84 Agreement Generator CPD Non Co..." (12.20 KB) (highlighted with a red box and a '2' in a box).
- Item 3: "Download Settlement Agreement" (highlighted with a red box and a '3' in a box).



Step 4: Press “Yes” to confirm generating the Settlement Agreement.

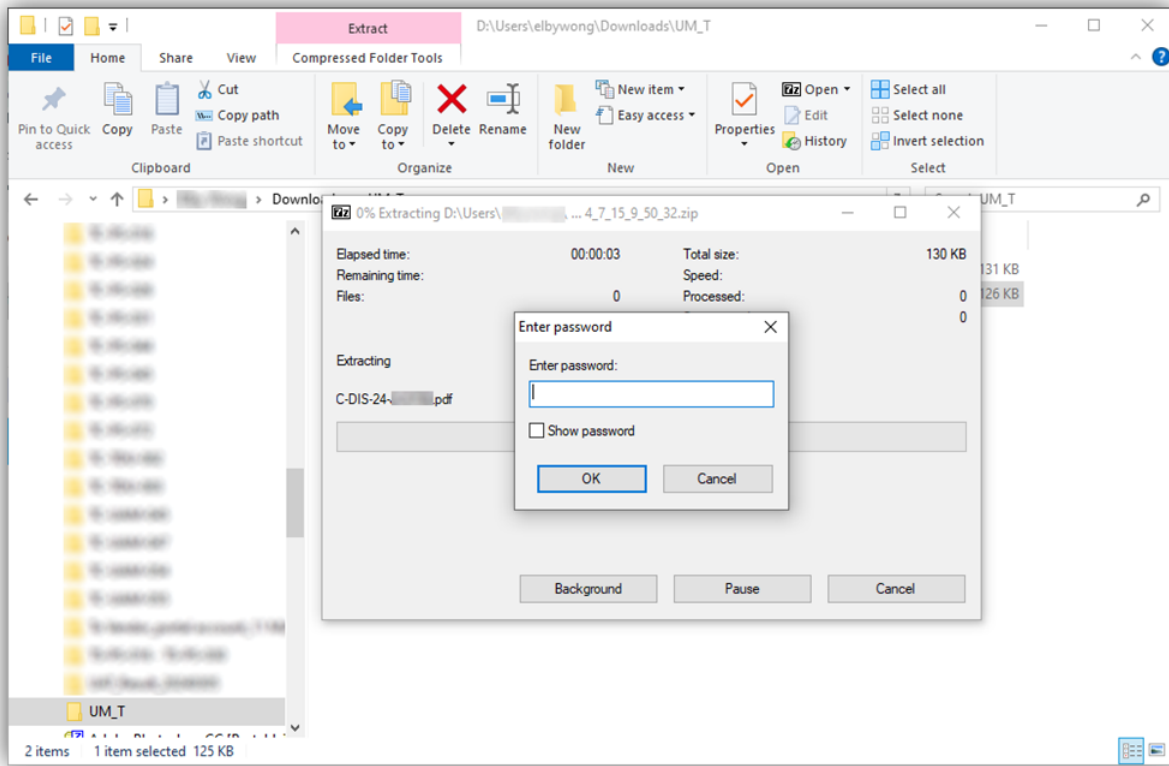


- **Step 5: A password protected zipped folder containing The Settlement Agreement(s) will be downloaded to the designated directory.**





- *Step 6: Enter password to unzip the folder for the Settlement Agreement(s) (please refer to Para. 1.2 "Set up password, mobile phone number and email address").*



2.6.2 The Section 84 Settlement Agreement for each concerned Individual Licensee(s) would be generated with a designated file name. The Principal should generate, print and provide the settlement agreement to the Individual Licensee(s) for signature **on the same date**.

- *The PDF file will be named in the following designated format: "C-DIS-[YY]-[Licence Number].pdf".*
- *[YY] means the year of CPD assessment period that the concerned licensee(s) ends at. For example, CPD Assessment Period of the year 2023-2024 and the licence number of concerned licensee is XX0000, then the file name would be "C-DIS-24-XX0000.pdf".*
- *The same file name should be used when uploading the agreement for the same individual licensee when performing function (3) upload Settlement Agreement.*



- 2.6.3 The sanction details generated in the Settlement Agreement are derived from the data extracted from the Excel Form, including the Date of Section 84 Agreement. Thus, no manual alternation is allowed for the Settlement Agreement generated by IIC, including the Date on the agreement.
- 2.6.4 For individual licensee who had been currently imposed disciplinary action by IA when generated the Settlement Agreement, the sanction start date for the CPD Non-Compliance shall take the Date of Section 84 Agreement.
- 2.6.5 The settlement agreement in PDF will be generated in three language types: English, Traditional Chinese and Simplified Chinese, the Individual licensee shall sign and submit on the version which he/she can read and understand.

2.7 Upload Settlement Agreement

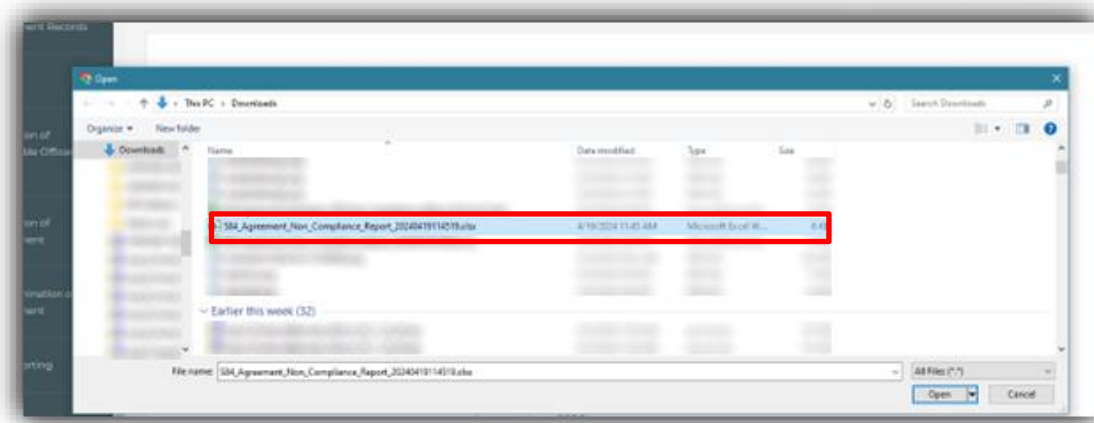
- 2.7.1 Principal shall scan the signed settlement agreement to PDF format and upload to IIC at CPD Non-Compliance Reporting for submission to IA as soon as practicable.
- 2.7.2 The Principal shall ensure and verify that the Individual Licensee has rectified the shortfall of CPD hours before submitting the Settlement Agreement to IA. The Principal shall retain the rectification documents and original Settlement Agreements if the individual licensees for IA's checking.
- 2.7.3 To perform function (3) upload Settlement Agreement, the data as input in the Excel Form for the individual licensee must be exactly the same as in the Excel Form uploaded to perform function (2) generate Settlement Agreement. Please refer to the above paras. 2.1.2 to 2.1.5 for details.
- 2.7.4 The upload date may be later than the Date of Section 84 Settlement. Yet, the Principal is advised to do it as soon as practicable.
- 2.7.5 If the upload date has exceeded **30 calendar days** (excluded 1st day) from the Date of Section 84 Agreement, the system would reject the uploading. Principal needs to perform (2) Generate Settlement Agreement to generate the settlement Agreement for signature by the individual licensee and upload again.
- 2.7.6 When uploading, system will pop up message if detected that the date of Section 84 Agreement as input when performing (1) Generate e-Payment Link is different from the one when performing (3) Upload Settlement Agreement. Please confirm and use the date of Section 84 Agreement when performing (2) Generate Settlement Agreement.
- 2.7.7 Below are the views and steps for Principal to upload settlement Agreement (for up to 20 licensee(s)) each time.
- *Step 1: Select "(3) Upload Signed Settlement Agreement" at "Upload Excel Form for below functions".*



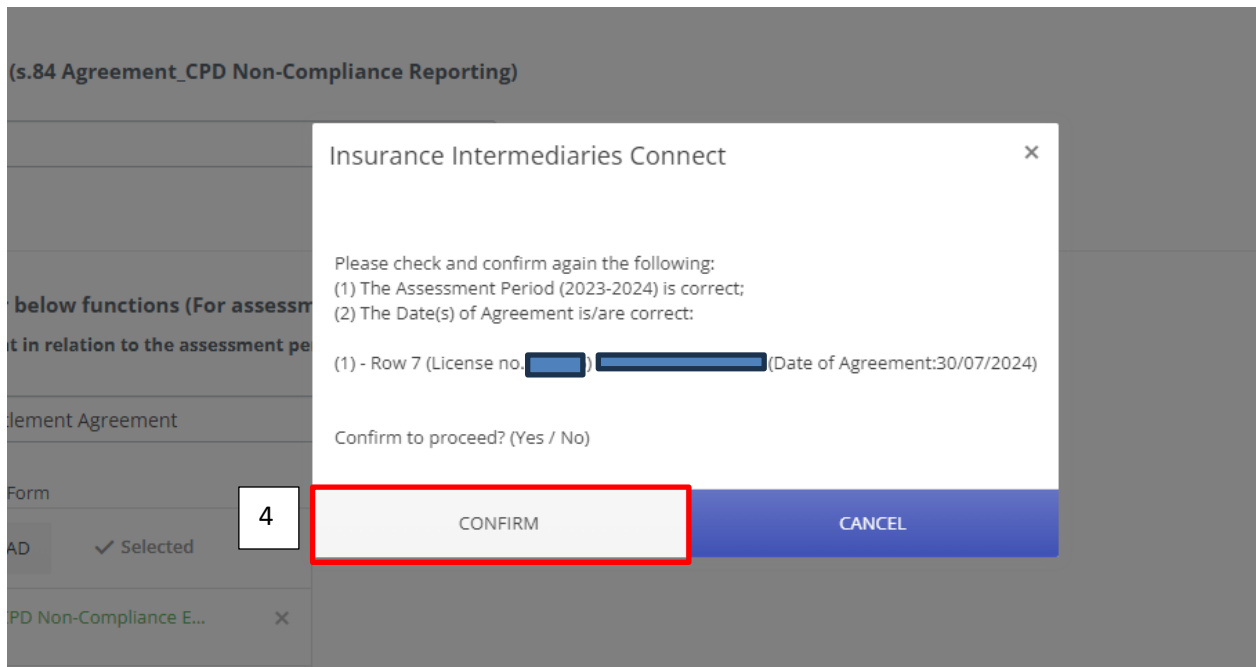
- *Step 2: Press “Select file to upload”.*

The screenshot displays the 'Insurance Intermediaries Connect' portal. The left sidebar contains navigation items: Appointment Records, Payment, Termination of Responsible Officer ("RO"), Termination of Appointment, Bulk Termination of Appointment, CPD Reporting, CPD Non-Compliance Reporting, CPD Non-Compliance Reporting (Submitted Records), Report, and Bulk Upload (Account and New Licence Application Creation). The main content area is titled 'CPD Non-Compliance Reporting' and includes a 'Download CPD Non-Compliance Form' dropdown menu. Below this is the 'Upload Report / Settlement Agreement' section, which features a dropdown menu with '(3) Upload Settlement Agreement' selected, accompanied by a callout box labeled '1'. The 'CPD Non-Compliance Report' section contains a 'SELECT FILE TO UPLOAD' button, which is highlighted with a red box and a callout box labeled '2'. The footer of the page reads 'Copyright © 2024 Insurance Authority. All rights reserved.'

- *Step 3: Select the completed s.84 CPD Non-Compliance Excel Form of 2023-2024 (and onwards) for the concerned individual Licensee(s)*



- *Step 4: After uploading the Excel Form, press confirm after having verified the information shown in the message box.*



- *Step 5: After confirmation, an attachment box for each Individual Licensee will be popped up for uploading the Settlement Agreement. Press “Select file to upload” to open a file dialog.*
- *Step 6: Select a PDF file for uploading. The PDF file must be named in the following format: “C-DIS-[YY]-[Licence Number].pdf” which is the same file name when the settlement agreement is generated at Para. 2.6.2.*
- *Step 7: Press “Upload” to upload the signed Section 84 Agreement*



CPD Non-Compliance Reporting

Download Excel Form (s.84 Agreement_CPD Non-Compliance Reporting)

(3) Upload Signed Settlement Agreement

Upload Completed Excel Form

Licence Number

Name

s.84 Agreement Date

Settlement Agreement

SELECT FILE TO UPLOAD ✓ Selected

s84 Agreement CPD Non-Compliance ... 13.75 KB

SELECT FILE TO UPLOAD ✓ Selected

C-DIS-24-...pdf 132.47 KB

Upload

5

6

7

- **Step 8: Press “Yes” to confirm that you have uploaded the signed Section 84 Agreement**

Insurance Intermediaries Connect

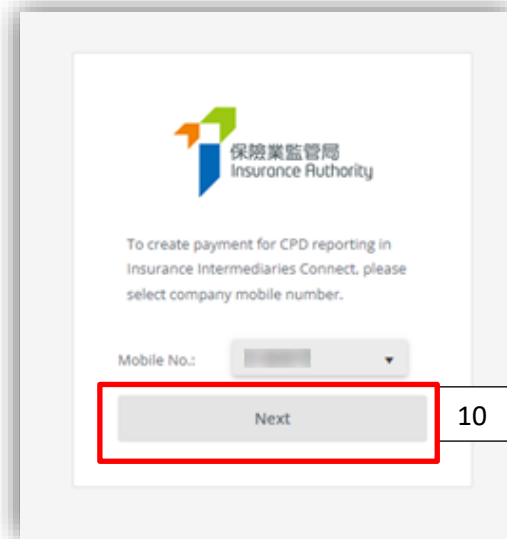
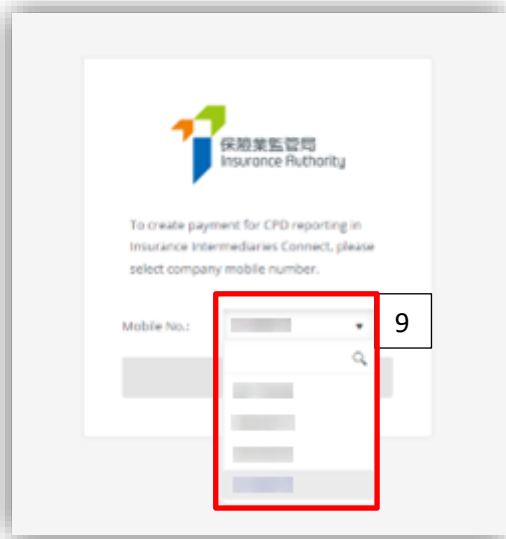
Please confirm that you have checked the supporting rectification documents of the outstanding CPD hours with the licensee(s) before uploading the signed Section 84 Agreement.

8

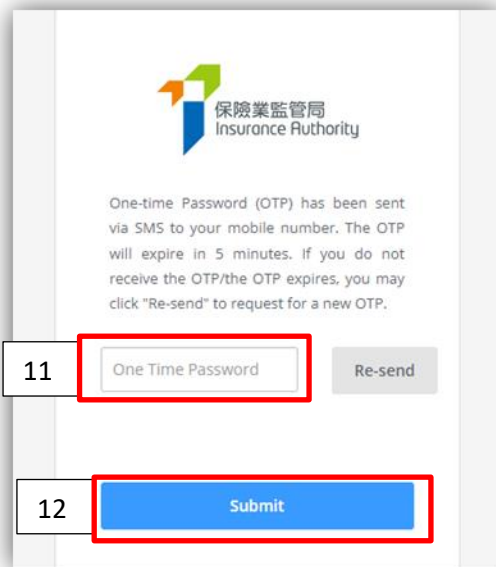
YES

NO

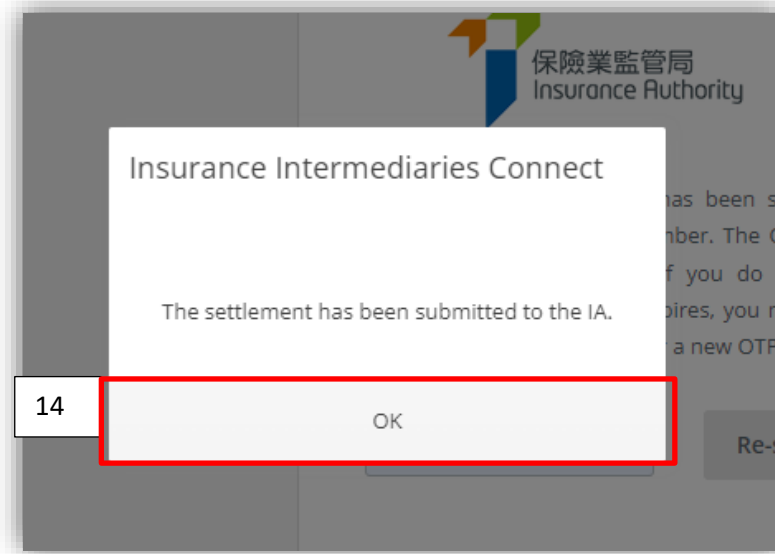
- **Step 9: Select a mobile phone number to receive OTP.**
- **Step 10: Press “Next” to receive OTP.**



- Step 11: Input the received OTP.
- Step 12: Press "Submit" to submit the OTP.
- Step 13: Press "Yes" to confirm submit.



- Step 14: The OTP is submitted successfully, press "OK" to complete the action.



2.7.8 An email notification would be sent to the Principal and the concerned Individual Licensee(s) after the Section 84 Agreement has been uploaded to IIC.

3. CPD Non-Compliance Reporting (Submitted Records)

3.1 Principal's view of Submitted Records

3.1.1 Principal may view and download CPD non-compliance records by taking the following steps:

- *Step 1 : Enter "CPD Non-Compliance Reporting (Submitted Records)".*

Insurance Intermediaries Connect

CPD Non-Compliance Reporting (Submitted Records)

CPD Assessment Period: 2023-2024

CPD Assessment Period	IA Case No.	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	Licence Status as at the Date of Section 84 Agreement	No. of CPD hour(s) Required	No. of shortfall in CPD hour(s) as at 31 Jul	Has the shortfall been rectified (Yes/No)
2023-2024	C-DIS/24				Active	15	11.0	Yes
2023-2024	C-DIS/24				Active	15	11.0	Yes
2023-2024	C-DIS/24				Revoked	15	6.0	Yes
2023-2024	C-DIS/24				Revoked	15	8.5	Yes
2023-2024	C-DIS/24				Revoked	15	9.0	Yes
2023-2024	C-DIS/24				Revoked	15	7.0	Yes

20 items per page | 1 - 7 of 7 items



- **Step 2: View and download the submitted Excel Form and uploaded documents (PDF) (e.g. the settlement agreement, receipt) by pressing the icons.**

CPD Non-Compliance Reporting (Submitted Records)

CPD Assessment Period	2023-2024		Pay Selected \$	Export				
Section 84 Agreement (dd/mm/yyyy)	Section 84 Agreement Submission Date (dd/mm/yyyy)	Section 84 Agreement Submitted by	Suspension/Prohibition for CPD non-compliance	Suspension/Prohibition Start Date for CPD non-compliance (dd/mm/yyyy)	Suspension/Prohibition End Date for CPD non-compliance (dd/mm/yyyy)	Submitted Excel File for Upload Agreement	Notices / Agreement	Payment / Receipt
09/08/2024								Show Receipt
10/07/2024	09/08/2024		Suspension	30/07/2024	28/10/2024			Show Receipt
10/07/2024	09/08/2024							Show Receipt
12/07/2024								Show Receipt
12/07/2024								Show Receipt
12/07/2024								Show Receipt

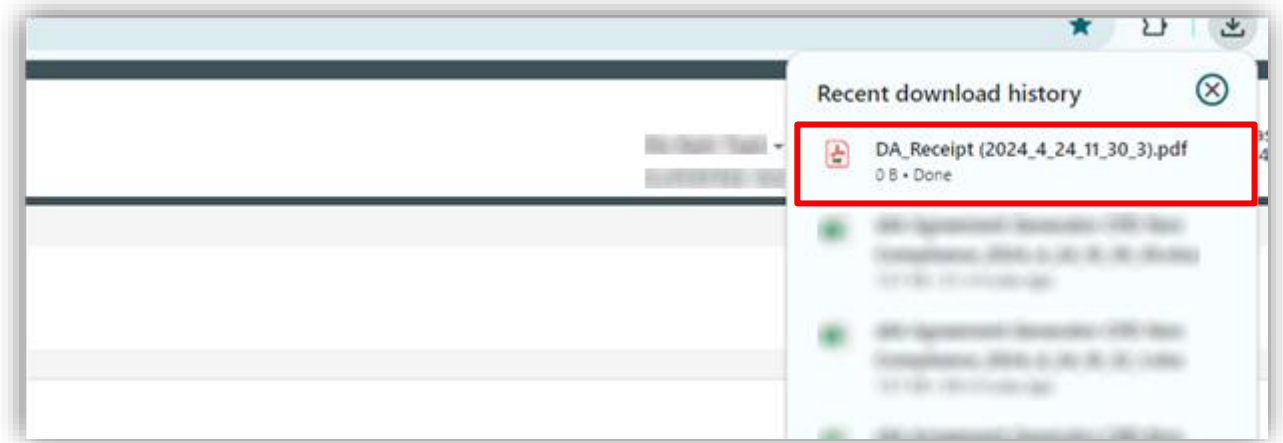
- **Step 3: Download the payment receipt of fine (PDF file format) by pressing the "Show Receipt".**

CPD Non-Compliance Reporting (Submitted Records)

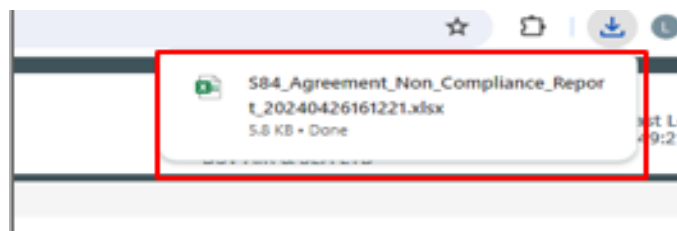
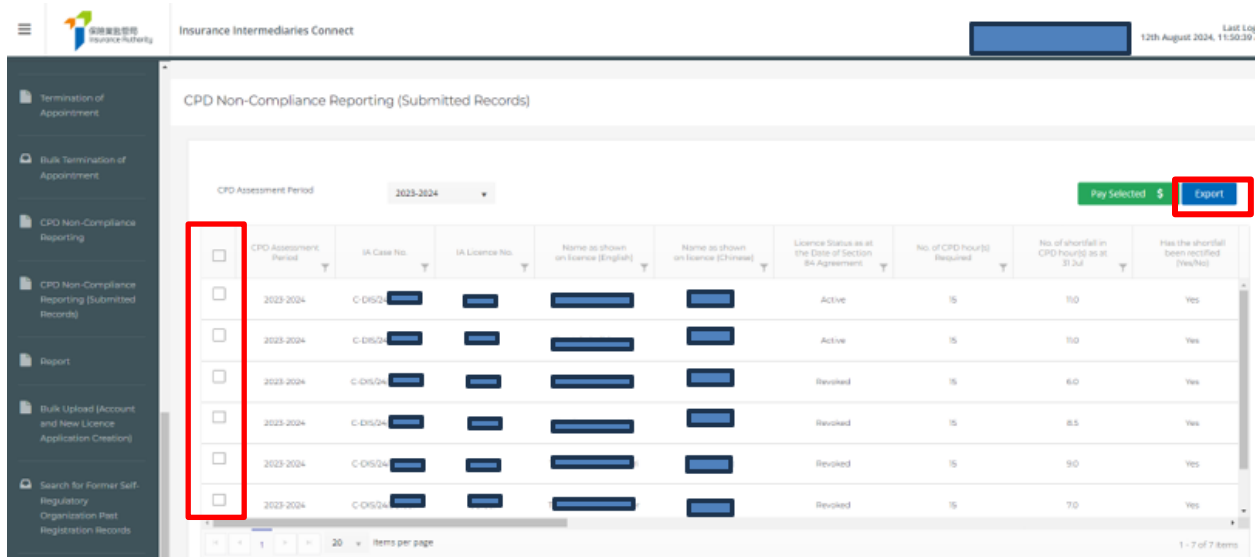
CPD Assessment Period	2023-2024		Pay Selected \$	Export				
Section 84 Agreement (dd/mm/yyyy)	Section 84 Agreement Submission Date (dd/mm/yyyy)	Section 84 Agreement Submitted by	Suspension/Prohibition for CPD non-compliance	Suspension/Prohibition Start Date for CPD non-compliance (dd/mm/yyyy)	Suspension/Prohibition End Date for CPD non-compliance (dd/mm/yyyy)	Submitted Excel File for Upload Agreement	Notices / Agreement	Payment / Receipt
09/08/2024								Show Receipt
10/07/2024	09/08/2024		Suspension	30/07/2024	28/10/2024			Show Receipt
10/07/2024	09/08/2024							Show Receipt
12/07/2024								Show Receipt
12/07/2024								Show Receipt
12/07/2024								Show Receipt



- The receipt is then downloaded to your device.



- Step 4: There is a download function for all the data in the CPD Non-Compliance Reporting (Submitted Record).
 - Press “Export” to export the selected record(s) to an Excel file. An Excel file is downloaded to your device; By pressing “Export” without selecting any records, a full report will be generated.





3.2 Individual Licensee's view of CPD non-compliance records

Individual Licensee(s) may view and download his/her own record in the CPD Non-Compliance Reporting (Submitted Records) when he/she commenced the CPD non-Compliance Reporting process with the Principal.

It was when the e-Payment link has been generated by the Principal, payment of fine was made, and/or settlement uploaded by the Principal, that the Individual Licensee may view his/her own records in this CPD Non-Compliance Reporting (Submitted Records).

The screenshot displays the 'Insurance Intermediaries Connect' portal. The main content area is titled 'CPD Non-Compliance Reporting (Submitted Records)'. It features a table with the following columns: CPD Assessment Period, IA Case No., IA License No., License Status as at the Date of Section B4 Agreement, No. of CPD hours Required, No. of shortfall in CPD hours as at 31/3/24, Fine Amount (HK\$), Fine Payment Generated by, Payment Status, Payment Code (8831/m/yyyy), Date of Section B4 Agreement (8831/m/yyyy), and Section B4 / Submitted (dd/mm/yyyy). A single record is visible for the period 2023-2024, with a payment status of 'Paid by Principal'. The interface includes a sidebar with navigation options like 'Inbox', 'CPD Requirement and Compliance Status', 'CPD Declaration', 'View Former Self-Regulatory Organization Past Registration Records', 'CPD Non-Compliance Reporting (Submitted Records)', and 'User Profile'. At the top right, it shows the user's last login on 7th August 2024 at 9:21:52 am. The bottom of the page contains a copyright notice: 'Copyright © 2024 Insurance Authority. All rights reserved.'