

# **User Guide of the Insurance Intermediaries Connect for Principals**

- Licence Renewal Application

Applicable to Authorized Insurers, Licensed Insurance Agencies and Licensed Insurance Broker Companies

Last update: July 2022



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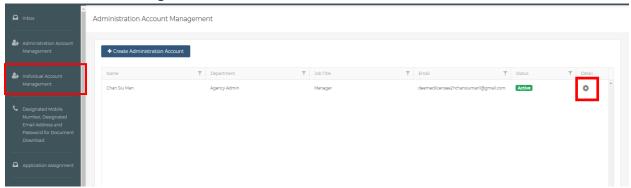


Important: Users shall have basic understanding of the account management and basic functionality for principals in Insurance Intermediaries Connect ("IIC"). For details, please refer to below User guides.

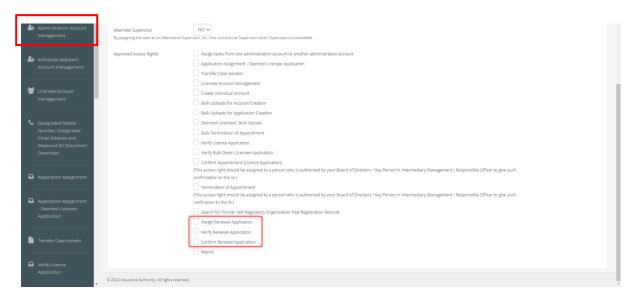
<u>A2 User Guide of the Insurance Intermediaries Connect for Principals</u> https://ia.org.hk/en/infocenter/forms/intermediaries.html

### 1. Account Setting in Supervisor Account

- 1.1. Set Access Rights of Administration Account for Renewal Application Assignment functions
- Go to **Detail** of selected administration account under **Administration** Account Management.



 Tick the access rights of Assign Renewal Application, Verify Renewal Application and/or Confirm Renewal Application and click Save at top right corner of the page.

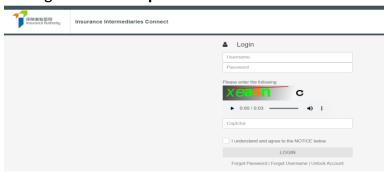




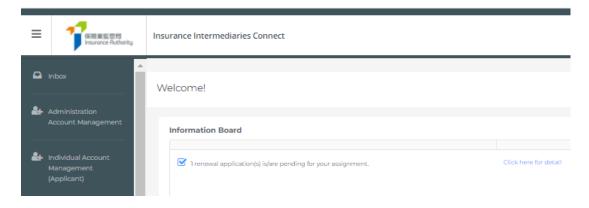
#### 2. Renewal Application Assignment by Principal

#### 2.1. Assign Renewal Application

- When a licensee submits a renewal application for principal's verification, a daily email with a list of application cases pending verification will be sent to the principal's company designated email. If principal would like to update the company designated email for receiving these emails, please go to "Designated Mobile Number, Designated Email Address and Password for Document Download" for the set up. For details, please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals.
- Principal will be required to assign the renewal application case to a case handler before the verification, this can be performed by the Supervisor/ Alternate Supervisor/ Administration account owner with relevant access right (collectively, Principal Authorized Administrator ("PAA")). For setting access right details, please refer to section 1.1.
- Log in IIC with Supervisor account or PAA.

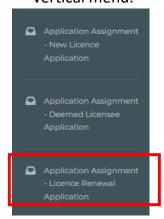


• Notification will be shown in the Information Board if the account owner got the assignment right.

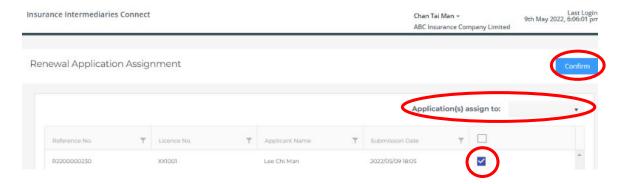




• Select "Application Assignment – Licence Renewal Application" on the left vertical menu.

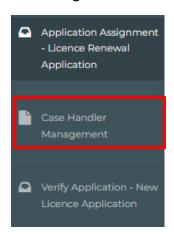


 Choose the application(s) and assign to designated case officer and click "Confirm".

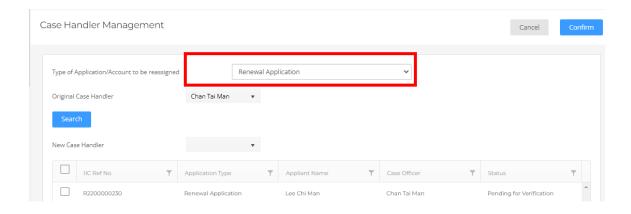


# 2.2. Reassign Renewal Application

• After case assignment, PAA can further reassign the case in "Case Handler Management".







 Case Handler will receive daily notification if renewal cases were assigned and have not yet reviewed at the end of the day.

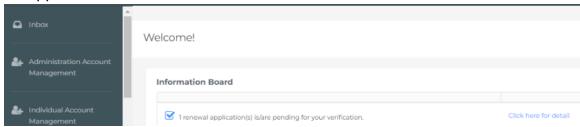
# 3. Verification by Principal

#### 3.1. Verify Renewal Application by Principal

 Log in Supervisor account (or other admin account designated as "Case Handler"). For details of access right setting, please refer to section 1.1.

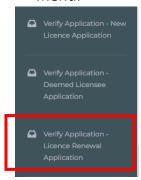


 Notification will be shown in the Information Board regarding renewal application verification.

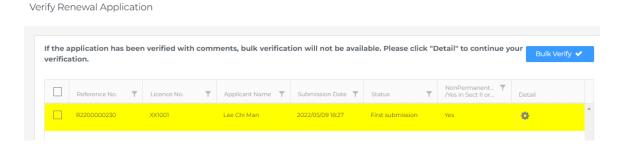




• Select "Verify Application – Licence Renewal Application" in the left vertical menu.



- Below renewal applications will be highlighted in yellow:
  - Non-Hong Kong Permanent Resident
  - Indicated "Yes" in any of the questions in relation to Authorized Insurer/Licensed Insurance Agency/Licensed Insurance Broker Company (Section II)
  - Indicated "Yes" in any of the 14 questions in relation to Character, Financial Status, Disciplinary Action & Investigation



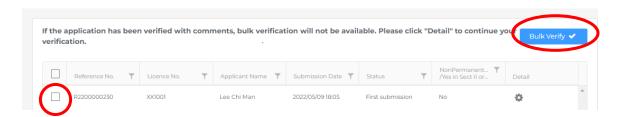
• Case Officer may choose multiple cases and "Bulk verify" the cases without putting remarks/ticking the checkbox on each page of the application form. Alternatively, case officer can click the gearwheel icon for details and view each section of the application.



- Principals should put in place proper controls to ensure all the information provided in the application and any documents in connection with the application are COMPLETE, TRUE and CORRECT.
- Please refer to Step 3.2 for Bulk Verification to verify MORE THAN ONE applications OR refer to Step 3.3 for Verification of ONE particular application

#### 3.2. Bulk Verification by Principal – Verify MORE THAN ONE applications

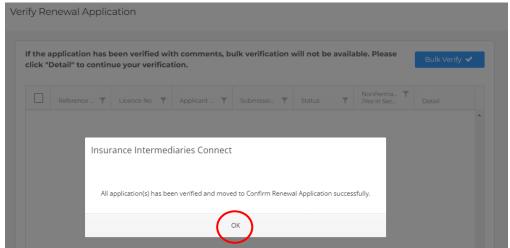
• Select the applications to proceed with Bulk Verification. Click "Bulk Verify". Verify Renewal Application



• Click "YES" in the pop-up message.



Click "OK" in the pop-up message.

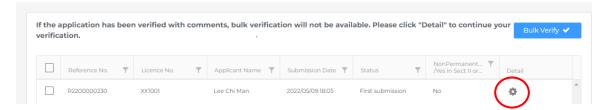




#### 3.3. Verification of ONE particular application

Click the gearwheel icon to open the application and view details.

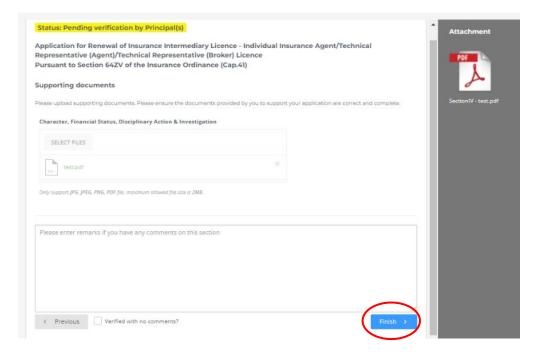
Verify Renewal Application



 Scroll down and tick the checkbox "Verify with no comments?" or enter the comments for that section. Then click "Next Section".

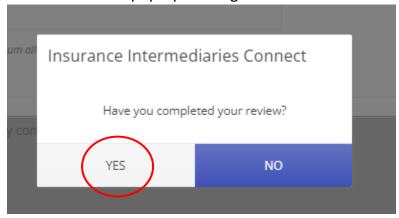


After reviewing the whole application, Click "Finish".

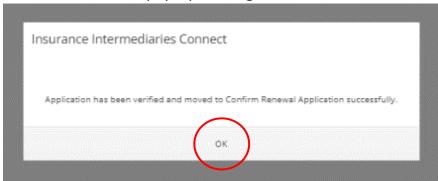




• Click "YES" in the pop-up message.



• Click "OK" in the pop-up message.

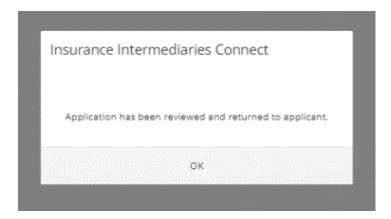


# 3.4. Return Renewal Application to applicant

• If there is any page with comments, application will be returned to applicant after completion of review.

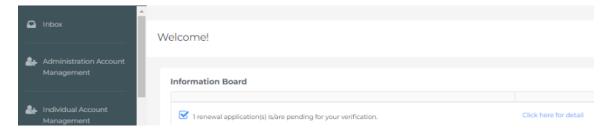






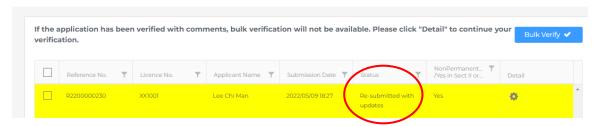
#### 3.5. Verification of resubmitted Renewal Application

- If the application is resubmitted after amendment, Case Handler shall verify the renewal application amended.
- Case Handler will receive daily notification regarding resubmitted application.
- Notification will be shown in the Information Board.



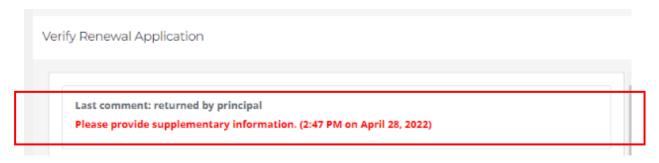
• Resubmitted applications will be indicated in Status column.

Verify Renewal Application

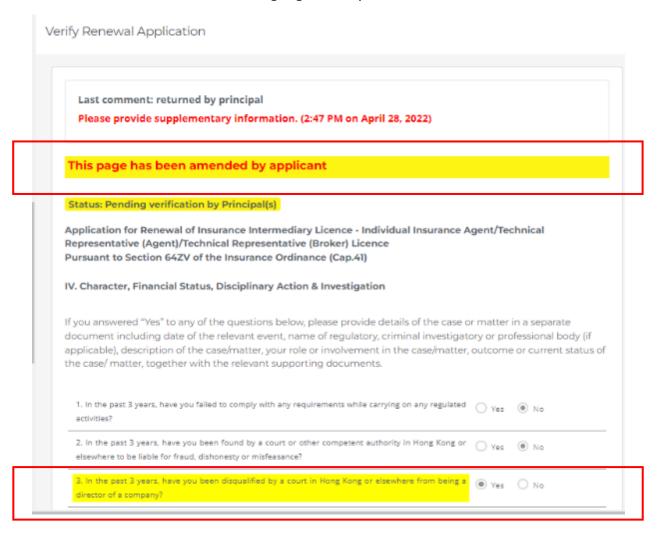




 Case Handler will be able to see last comment on the top during the reverification stage.



• The page which was amended by the applicant will be indicated on the top and amended details will be highlighted in yellow.



Please refer to Step 3.3 for verifying application.



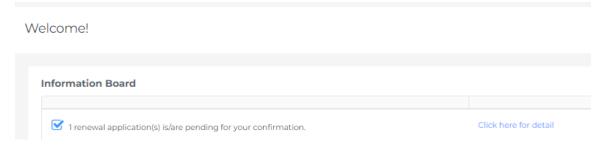
# 4. Confirmation of appointment by Principal

# 4.1. Confirm Renewal Application by Principal

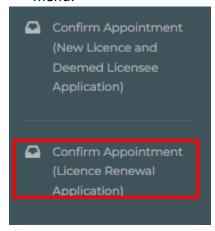
- A daily email with a list of application cases pending confirmation will be sent to the principal's company designated email.
- Log in Supervisor account or Admin account with Confirm Renewal
  Application access right. For details of access right setting, please refer to section 1.1



• Notification will be shown in the "Information Board" if the admin user got the confirmation right.



 Click "Confirm Appointment (Licence Renewal Application)" on the left vertical menu.





• The PAA shall review the appointment pending for confirmation by clicking the gearwheel icon. If the PAA is satisfied with the appointment information, he/she can proceed the appointment by selecting the subject appointment and clicking "Add to Cart +".

Confirm Renewal Application

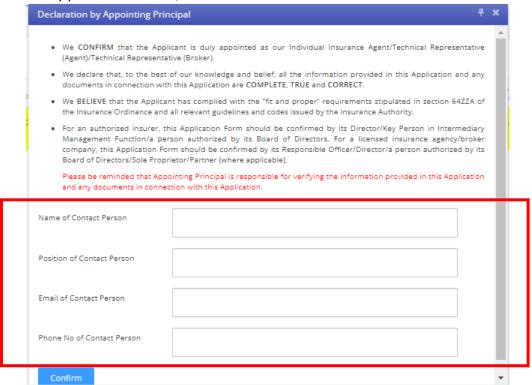


- Click "Cart". The number of applications added to cart is indicated next to "Cart".
- Click "Confirm".
  Confirm Renewal Application

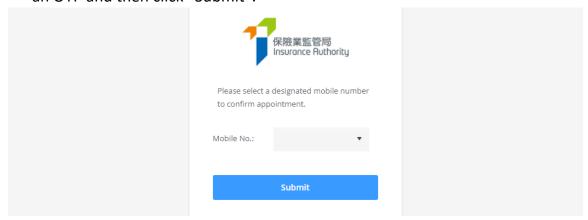




• The PAA will then be required to make relevant declarations and provide the information of the contact person for the renewal application whom will be the principal's contact point for the IA in processing this renewal application. Then, click "Confirm".



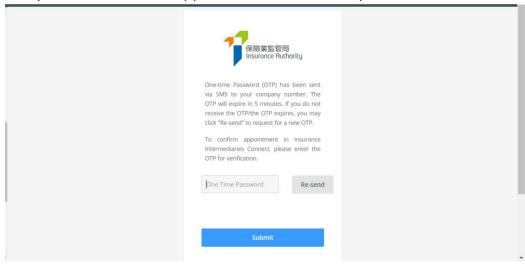
• Select the Designated Mobile Number from the drop-down menu to receive an OTP and then click "Submit".

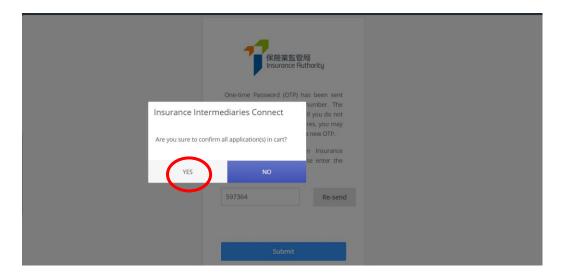




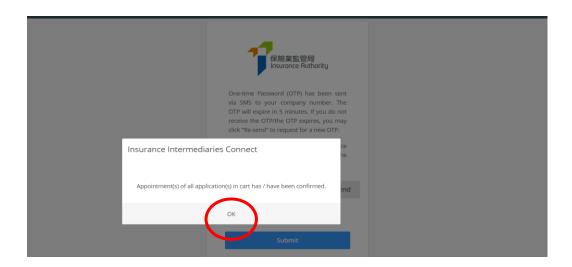
 A SMS message containing an OTP will be sent to the Designated Mobile Number. Please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals for setting up designated mobile number.

• Input the OTP received. Click "Submit". Once the OTP is inputted into the system, the renewal application will be formally submitted to the IA.









## 5. Status Report

There are three status reports to facilitate appointing principals to manage and monitor the progress the licence renewal:

#### • (5) Renewal Application E-portal Status Report :

This report shows the application status of appointed *individual licensees* (i.e. Individual Insurance Agents, TR(A) & TR(B)) who have submitted renewal application in IIC.

# (6) Status Report of Licences to be Expired in Coming 6 months:

This report is an outstanding list of appointed *individual licensees* whose licence will be expired in coming **6 months**, regardless of whether renewal applications have been created or not.

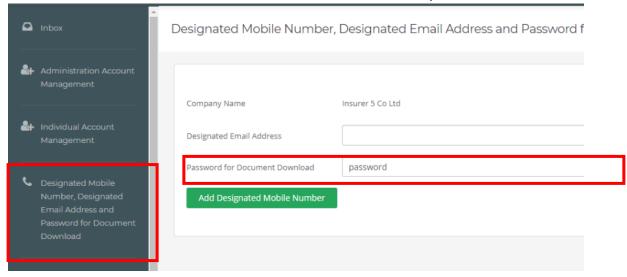
#### (8) Renewal Application Form pdf

This report shows a particular renewal application form of an appointed *individual licensees* (i.e. Individual Insurance Agents, TR(A) & TR(B)).

 All status reports are password-protected. The password is maintained by the Supervisor and can be set/updated in the "Designated Mobile Number, Designated Email Address and Password for Document Download" function. The document will not be available for download if password is not set. Administrator Account users shall request the password from the Supervisor Account user. The screen capture below shows the relevant part

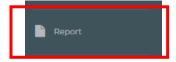


for the password setting. For details, please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals.

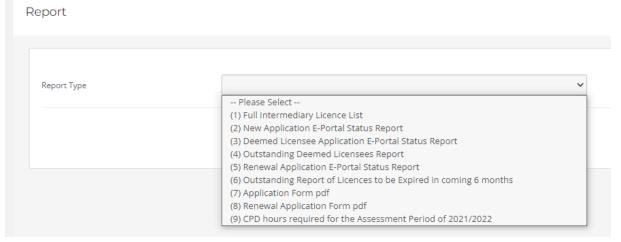


#### 5.1. Download Status Report

• Select "Report" in the left vertical menu.

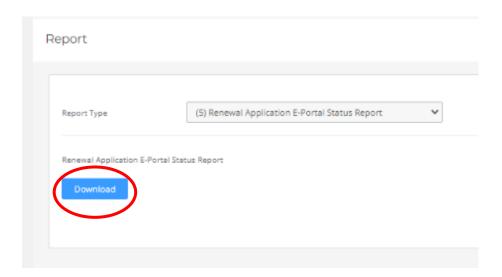


• Click the dropdown list and select the report to be downloaded (e.g. (5) Renewal Application E-portal Status Report).



 Click "Download" to download the report and then click "Save" to save the zip file.

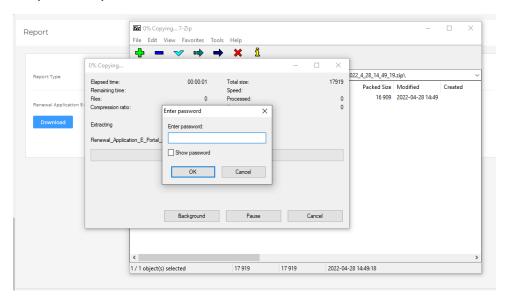




• Open the zip file and double click the report to open.

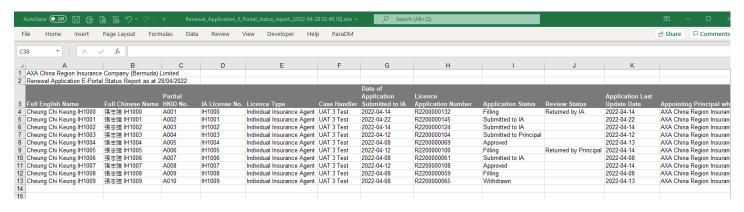


 Enter the "Password for Document Download" which can be found in eportal Supervior Account.





• The report (extracted) is as below:

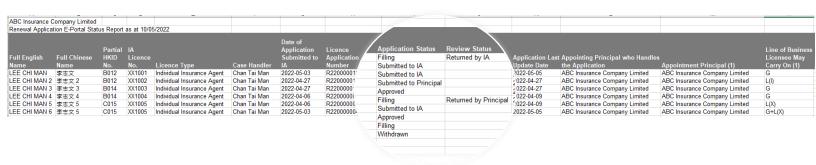


## 5.2. Check the Renewal Application Status

#### 5.2.1. Renewal Application E-portal Status

The status report – (5) Renewal Application E-portal Status Report ("Status Report (5)") contains the details of renewal application of individual **licensee who have submitted renewal application**, including the status which is shown as follows:

# Status Report (5)



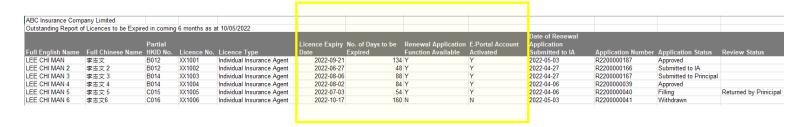


#### 5.2.2. Licensee's Renewal application status

The status report – (6) Status Report of Licences to be Expired in Coming 6 months ("Status Report (6)") contains the details of licence to be expired in coming 6 months, regardless of whether renewal applications have been created or not.

#### Status Report (6)

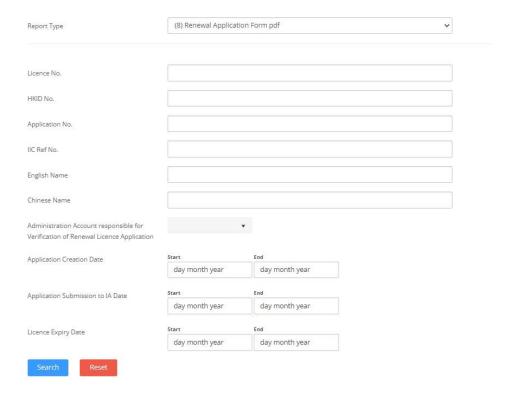
- Licence expiry date will be indicated in Column F.
- Number of days to be expired will be indicated in Column G.
- The renewal function's availability will be indicated in Column H "Renewal Application Function Available":
  - **Y**= renewal application function is available for the licensee (i.e. start from 135 days before the licence expiry);
  - N= renewal application function is not available for the licensee
- The e-portal account status will be indicated in Column I "E-Portal Account Activated":
  - Y= licensee's e-portal account is activated;
  - N= licensee's e-portal account has not yet been activated

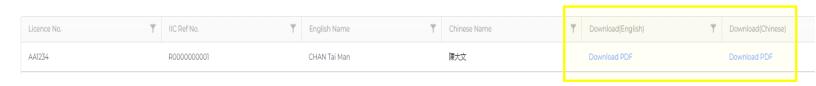




#### 5.3. Retrieve the Renewal Application Form

- PAA can use different criteria to search for a particular application (including cases submitted to principal for verification but not yet submitted to the IA) and download the application form in PDF format.
- The latest renewal application form will be available for download.





-----End------End------