

7 July 2021

Our Ref: MC/CPD/CIR

By email only

To: Chief Executives of all authorized insurers, Responsible Officers of all licensed insurance agencies and licensed insurance broker companies

Dear Sirs,

**Continuing Professional Development (“CPD”) Requirements
CPD Compliance Reporting for Combined Assessment Periods 2019/20 and 2020/21
Detailed instructions for reporting by principals to the Insurance Authority (“IA”)**

We write further to our circular dated 1 April 2021 regarding the CPD compliance reporting procedures for the Combined Assessment Periods of 23 September 2019 to 31 July 2020 (2019/20) and 1 August 2020 to 31 July 2021 (2020/21).

Important deadlines

By way of recap, the key deadlines for the Combined 2019/20 and 2020/21 Assessment Periods are:

31 July 2021 – Deadline for individual licensees [i.e. licensed individual insurance agents, technical representatives (agent) and technical representatives (broker)] to complete their CPD hours for the Combined 2019/20 and 2020/21 Assessment Periods.

30 September 2021 – Deadline for individual licensees to submit their completed CPD Declaration Forms to their appointing principals (i.e. their appointing authorized insurers, licensed insurance agencies or licensed insurance broker companies).

31 October 2021 – Deadline for appointing principals to report CPD compliance status of their appointed individual licensees to the IA.

Information on CPD hours available through the IA’s Insurance Intermediaries Connect

The following information may be obtained through the IA’s [Insurance Intermediaries Connect](#) (“[IIC](#)”) in relation to the Combined 2019/20 and 2020/21 Assessment Periods.

1. Individual licensees can view the CPD hours they are required to obtain by logging into their [IIC](#) individual accounts and clicking the ‘CPD requirement’ option from the vertical menu on the left.
2. Appointing principals may download their CPD list showing the CPD hours which each of their appointed individual licensees are required to obtain, by:
 - i. logging into their [IIC](#) Supervisor account;

- ii. clicking the 'Report' option from the vertical menu on the left;
- iii. selecting '6. CPD hours required for the Combined Assessment Periods [2019/20 & 2020/21]' from the pull down menu of "Report Type"; and
- iv. clicking 'Download'.

The CPD lists have been updated by the IA on a monthly basis to keep track of changes in the appointed individual licensees for each principal. The finalized CPD list will show the appointed individual licensees for each principal as at 31 July 2021 and these will be available in [IIC](#) on 6 August 2021. Principals should use the CPD list as at 31 July 2021 in reporting the CPD compliance of their appointed individual licensees to the IA.

A number of licensed insurance agencies and licensed insurance broker companies have still not created a Supervisor Account in [IIC](#). For this reason, the IA, in mid-June 2021, sent the CPD lists by email to all licensed insurance agencies and licensed insurance broker companies so they could monitor the CPD compliance status of their appointed individual licensees. However, to access their latest CPD list, it is imperative that principals open a Supervisor Account in [IIC](#) as soon as possible, if they have not already done so. A Supervisor Account in [IIC](#) can be opened by submitting a signed [Form A2](#) to the IA. Please visit the ["Forms – Insurance Intermediaries" webpage on the IA website](#) for the application form and user guides.

Detailed instructions for CPD reporting by principals to the IA

Each principal, after receiving the completed CPD Declaration Forms from its appointed individual licensees, should report the CPD compliance status of its appointed individual licensees to the IA. This must be done by the principal completing the requested information in its CPD list and uploading it through [IIC](#) to the IA by 31 October 2021.

A principal must, in its CPD list, indicate the compliance status for each of its individual licensees using the following codes:

Code	Explanation
Y	The individual licensee has completed his/her CPD hours for the Combined 2019/20 and 2020/21 Assessment Periods by 31 July 2021 and submitted his/her CPD Declaration Form to the principal by 30 September 2021.
N-1	The individual licensee has not completed the CPD hours required for the Combined 2019/20 and 2020/21 Assessment Periods by 31 July 2021.
N-2	The individual licensee has not submitted a completed CPD Declaration Form to the principal by 30 September 2021.
N/A	The individual licensee has not appointed the principal, as the principal responsible for reporting the individual licensee's CPD compliance to the IA.
NR	The individual licensee was not required to complete any CPD hours for the Combined 2019/20 and 2020/21 Assessment Periods

Note that for individual licensees who are not required to earn any CPD hours for the Combined Assessment Periods 2019/20 and 2020/21, the compliance code 'NR' has been pre-populated in the CPD lists. These individual licensees are not required to submit a completed CPD Declaration Form to their principal(s).

To submit its completed CPD list to the IA, a principal should:

1. login to its [IIC](#) Supervisor account;
2. click the option '*CPD reporting*' from the vertical menu on the left;
3. click '*UPLOAD*' and select the completed CPD list;
4. click '*Validate*' to check the format and version of the CPD list;
5. click '*Confirm*' to submit the selected CPD list to the IA.

In relation to all individual licensees indicated by the principal to be N-1 (i.e. the individual licensee has not completed the CPD hours required) in the CPD list, the principal must also email copies of the individual licensees' CPD Declaration Forms together with the relevant supporting document(s) to cpdreporting@ia.org.hk separately for IA's follow-up actions.

The IA is aware that certain licensed insurance agencies may seek assistance from their appointing insurer(s) to report the CPD compliance status of their appointed technical representatives (agent). To support this process, each insurer will be provided by email, CPD lists which include the technical representatives (agent) of its appointed licensed insurance agencies. An insurer can upload the completed CPD lists for its appointed licensed insurance agency(ies) to the IA using insurers' [IIC](#) Supervisor (following the steps stated above).

If, following the submission of a completed CPD list to the IA, a principal needs to amend the reported CPD compliance status of its appointed individual licensee(s), it should send its request to amend by email to cpdreporting@ia.org.hk as soon as practicable.

Enquiries

- For matters concerning the information contained in this circular, or [Insurance Intermediaries Connect](#), or the opening/ the use of a Supervisor Account, please send your enquiries or applications by email to licensing@ia.org.hk
- For matters concerning the CPD lists, please send your enquiries by email to cpd@ia.org.hk

Yours faithfully,

Peter Gregoire
Head of Market Conduct (Acting)
General Counsel
Insurance Authority

c.c. The Hong Kong Federation of Insurers
Professional Insurance Brokers Association
The Hong Kong Confederation of Insurance Brokers

檔號：MC/CPD/CIR

僅經電郵發送

致：所有獲授權保險人的行政總裁、持牌保險代理機構及持牌保險經紀公司的負責人

敬啟者：

**持續專業培訓（「培訓」）規定
2019/20 及 2020/21 合併評核期的培訓合規情況匯報程序
主事人向保險業監管局（「保監局」）匯報之詳細說明**

就本局於 2021 年 4 月 1 日發出有關 2019 年 9 月 23 日至 2020 年 7 月 31 日 (2019/20) 及 2020 年 8 月 1 日至 2021 年 7 月 31 日 (2020/21) 的合併評核期的培訓合規匯報程序通函，本局現發出本通函作進一步說明。

重要的期限

2019/20 及 2020/21 合併評核期的主要期限為：

2021 年 7 月 31 日 – 個人持牌人 [即持牌個人保險代理、持牌業務代表(代理人) 或持牌業務代表(經紀)] 須完成其於 **2019/20 及 2020/21** 合併評核期所需的培訓時數的期限

2021 年 9 月 30 日 – 個人持牌人須向其委任主事人 (即其委任獲授權保險人、持牌保險代理機構或持牌保險經紀公司) 提交已填妥的《持續專業培訓聲明書》的期限

2021 年 10 月 31 日 – 委任主事人須向保監局匯報其委任個人持牌人的培訓合規情況的期限

通過保險中介一站通取得培訓時數的資訊

以下有關 2019/20 及 2020/21 合併評核期的資訊，可經由保監局的[保險中介一站通](#)（「一站通」）取得：

1. 個人持牌人可透過登入其[一站通](#)的個人帳戶，並點擊左側直向選單中的「培訓規定」選項，以查閱其所需的培訓時數。
2. 委任主事人可通過以下方式，下載已列明其每名獲委任個人持牌人所需取得的培訓時數的培訓清單：
 - i. 登入其[一站通](#)的監督人帳戶，
 - ii. 點擊左側直向選單中的「報告」選項，

- iii. 在「報告類別」的下拉選單中揀選「6. [2019/20 及 2020/21] 合併評核期的所需培訓時數」，及
- iv. 點擊「下載」。

保監局會每月就培訓清單作出更新，以讓每位委任主事人可了解其獲委任個人持牌人的改動情況。培訓清單的最終更新版本會顯示每位委任主事人截至 2021 年 7 月 31 日的獲委任個人持牌人的情況，並於 2021 年 8 月 6 日起在[一站通](#)可供下載。主事人應使用該最終更新版本的培訓清單向保監局匯報其獲委任個人持牌人的培訓合規情況。

保監局了解到部份持牌保險代理機構和持牌保險經紀公司仍未透過[一站通](#)開設監督人帳戶。有見及此，保監局於 2021 年 6 月中旬已將培訓清單透過電郵向所有持牌保險代理機構及持牌保險經紀公司發送，以便他們可監察其獲委任個人持牌人的合規情況。然而，為獲取其最新的培訓清單，仍未開設監督人帳戶的主事人必須盡快透過[一站通](#)開設監督人帳戶。申請人可透過向保監局提交已簽妥的[表格 A2](#) 以開設[一站通](#)的監督人帳戶。請瀏覽保監局網站「[保險中介人表格](#)」頁面，以取得有關申請表及用戶指南。

主事人向保監局匯報培訓之詳細說明

每位主事人在收妥其獲委任個人持牌人已填妥的《持續專業培訓聲明書》後，應向保監局匯報其獲委任個人持牌人的培訓合規情況。主事人必須透過在其培訓清單上填寫所需資料，並於 2021 年 10 月 31 日或之前經由[一站通](#)上載該培訓清單予保監局。

每位主事人必須在其培訓清單中使用以下代碼以顯示其每名個人持牌人的合規情況：

代碼	註釋
Y	個人持牌人已在 2021 年 7 月 31 日或之前完成了其於 2019/20 及 2020/21 合併評核期所需的培訓時數，並在 2021 年 9 月 30 日或之前向委任主事人提交了其《持續專業培訓聲明書》
N-1	個人持牌人在 2021 年 7 月 31 日的期限前尚未完成其於 2019/20 及 2020/21 合併評核期所需的培訓時數
N-2	個人持牌人在 2021 年 9 月 30 日的期限前尚未向主事人提交已填妥的《持續專業培訓聲明書》
N/A	個人持牌人未有指定主事人作為其向保監局匯報個人持牌人的培訓合規情況的主事人
NR	個人持牌人無需在 2019/20 及 2020/21 合併評核期中取得任何培訓時數

請注意，就在 2019/20 及 2020/21 合併評核期中無需取得任何培訓時數的個人持牌人，合規代碼「NR」已預先填寫在培訓清單上。該等個人持牌人無需向其主事人提交已填妥的《持續專業培訓聲明書》。

主事人應按照以下步驟將其已填妥的培訓清單提交予保監局：

1. 登入其[一站通](#)的監督人帳戶，
2. 點擊左側直向選單中的「[培訓匯報](#)」選項，
3. 點擊「[上載](#)」並選擇已填妥的培訓清單，
4. 點擊「[核實](#)」以檢查培訓清單的格式及版本，
5. 點擊「[確認](#)」以上載已選擇的培訓清單予保監局。

就主事人在培訓清單中註明為「N-1」(即該個人持牌人尚未完成其所需的培訓時數) 的所有個人持牌人，主事人必須個別地將該等個人持牌人的《持續專業培訓聲明書》副本，連同相關證明文件，經電郵發送至 cpdreporting@ia.org.hk，以供保監局跟進。

保監局知悉部份持牌保險代理機構可能會尋求其委任保險人的協助以匯報其委任業務代表(代理人)的培訓合規情況。為支援此程序，每位保險人將會經電郵獲提供載有其委任保險代理機構的獲委任業務代表(代理人)的培訓清單。保險人可(按照上述步驟)使用其[一站通](#)的監督人帳戶將其獲委任的持牌保險代理機構已填妥的培訓清單上載至保監局。

如主事人在向保監局提交了已填妥的培訓清單後，有需要修改其獲委任個人持牌人已匯報的培訓合規情況，則應在切實可行的範圍內盡快將有關修改要求以電郵發送至 cpdreporting@ia.org.hk。

查詢

- 有關本通函所載資料、[保險中介一站通](#)或開設/使用監督人帳戶之事宜，請將有關查詢或申請以電郵發送至 licensing@ia.org.hk
- 有關培訓清單之事宜，請將有關查詢以電郵發送至 cpd@ia.org.hk

保險業監管局
市場行為部主管(署理)及法律總監
郭家華 謹啟

2021年7月7日

副本送： 香港保險業聯會
香港專業保險經紀協會
香港保險顧問聯會