



Good corporate governance
through effective control systems

合宜制度 良好機構管治

機構管治

Corporate governance

“監管局通過採取多項措施以提升管治和公眾信心，希望確保機構有效和暢順運作，並維持高公信力和透明度，以及體現問責精神。”

監管局作為規管地產代理的公共機構，一直致力實施良好的機構管治。監管局通過採取多項措施以提升管治和公眾信心，希望確保機構有效和暢順運作，並維持高公信力和透明度，以及體現問責精神。局方也不時檢討政策，在機構管治方面力臻完善。

監管局董事局及行政架構

董事局是監管局的最高決策組織，負責制定監管局的主要政策，包括工作計劃和預算案。

監管局董事局成員由香港特別行政區行政長官委任，設有正、副主席各一名及普通成員十八名。成員來自社會上不同界別，包括地產代理行業。監管局董事局轄下共有五個常設委員會和一個專責小組。常設委員會和專責小組的職權範圍和成員名單載於附錄一。董事局可不時就處理特別事宜，成立其他專責小組。

監管局實施兩層的申報利益制度，維持公眾對於監管局董事局成員的誠信，以及他們提交意見的公正性的信心。監管局董事局成員獲委任後，須向監管局申報其利害關係，並每年更新資料。他們亦須申報涉及監管局審議的事宜的利害關係，以及任何與監管局有利益衝突或潛在利益衝突的事件的詳情。公眾可要求查閱紀錄有關利害關係申報詳情的登記冊。

監管局制定了一套機構授權指引，實行良好的機構管治，並加強問責。有關指引訂明董事局授權予常設委員會、專責小組和監管局行政部門的權力範圍，確保監管局盡責和有效地運作，以及具備完善的制衡措施。

此外，監管局備有員工手冊，制定行為守則，讓員工跟從。

As a public body with a regulatory role, the EAA is committed to good governance. It strives to operate effectively and efficiently and to maintain a high level of accountability, credibility and transparency, by adopting measures that enhance governance and foster public confidence. The EAA reviews its policies from time to time in a bid to meet a high standard of excellence.

EAA Board and Administration

The Board is the highest decision-making authority and sets all major policies including the work plan and budget of the EAA.

Members of the EAA Board are appointed by the Chief Executive of the Hong Kong Special Administrative Region. The Board consists of a Chairman, a Vice-chairman, and 18 ordinary members from various sectors in the community, including the estate agency sector. Five standing committees and one working panel were set up to advise the Board on various matters. The terms of reference and membership of the committees and panel are at Annex 1. The Board may also from time to time set up other working parties or groups to deal with specific issues.

To maintain public confidence in the integrity of Board Members and in the impartiality of their advice, the EAA adopts a two-tier reporting system – that is, Board Members are required to register their interests with the EAA upon appointment to membership, and annually thereafter; and they are also required to declare their interests in any matter under consideration by the EAA, as well as any conflict or potential conflict of interest they may have with the EAA. The register of interests is available for public inspection upon request.

As a measure of good corporate governance and to reinforce the culture of accountability, the Board formulated a *Corporate Authorisation Manual* for the EAA, specifying in detail the Board's delegation of authority to its standing committees, working groups/panels and the EAA Administration, to ensure that the business and affairs of the EAA are conducted responsibly and effectively, and that a comprehensive framework of checks and balances is in place.

All EAA staff are further subject to the rules in the *Staff Handbook*, which sets out the code of conduct for them to observe.

“The EAA strives to operate effectively and efficiently and to maintain a high level of accountability, credibility and transparency, by adopting measures that enhance governance and foster public confidence.”

2009/10 年度，董事局共舉行五次會議，並審議 68 份文件。成員的平均出席率為 81%。常設委員會和專責小組會議的舉行次數和成員的出席率如下：

常設委員會	2009/10 年度 會議數目	董事局成員 平均出席率	審議的 文件數目
財務及策略發展委員會	2	75%	14
牌照及執業委員會	3	95%	11
紀律委員會	2	89%	14
專業發展委員會	1	100%	11
第 28 條調查委員會	1	100%	1
考試小組	0	—	2

監管局的行政部門由行政總裁領導。監管局行政總裁負責執行監管局的政策，以及管理局方的運作和事務。

問責性和透明度

監管局須於每個財政年度屆滿後的六個月內，向運輸及房屋局局長提交一份該財政年度的事務報告、由核數師審核的帳目報表和核數師報告。上述各文件須提交立法會省覽。

監管局不時透過新聞稿、網頁和《專業天地》通訊，公布其規管措施。另外，監管局定期在網頁公布牌照和資格考試的統計資料，以及紀律研訊結果。

作為負責任和靈活應變的規管機構，監管局設有服務承諾制度，並定期檢討服務是否達標，並找出有待改善之處。2009/10 年度，監管局服務承諾的整體達標率令人滿意。有關詳情列載於附錄二。

In the year 2009/10, the Board met five times and considered 68 papers. The average attendance rate of Board Members was 81 %. The number of meetings and the average attendance rate of the standing committees and working panel were as follows:

Standing Committee	Number of meetings held in 2009/10	Average attendance rate of Board Members	Number of papers considered
Finance and Strategic Development Committee	2	75%	14
Licensing and Practice Committee	3	95%	11
Disciplinary Committee	2	89%	14
Professional Development Committee	1	100%	11
Section 28 Investigation Committee	1	100%	1
Examination Panel	0	–	2

The Administration of the EAA is headed by the Chief Executive Officer, who is responsible for implementing the EAA's policies and managing the EAA's operations and affairs.

Accountability and transparency

The EAA is required to furnish to the Secretary for Transport and Housing an annual report, an audited statement of accounts and the auditor's report within six months after the end of the financial year. Copies of which have to be laid before the Legislative Council.

Members of the public are kept abreast of the EAA's regulatory affairs and initiatives through its press releases, website and *Horizons* newsletter. Licensee figures, examination statistics and the results of inquiry hearings are released on the EAA website regularly.

As a responsible and responsive regulatory body, the EAA has a set of performance pledges whose level of attainment is reviewed regularly to identify areas for improvement. The attainment level in 2009/10 was satisfactory. Details of the pledges and the attainment level are at Annex 2.

獨立的制衡措施

外部檢討

監管局的財務報表須由外聘核數師審核。本年度，監管局的核數師是德勤·關黃陳方會計師行。

2009/10年度，監管局成立了人力資源顧問建議工作小組，並委託一間顧問公司，檢討監管局的人力資源政策及程序，以及提出改善建議，供監管局考慮。

隨著香港特別行政區行政長官於2009年10月頒布《2009年申訴專員條例（修訂附表1）令》，監管局將於2010年7月被納入申訴專員的職權範圍。

對監管局的決定提出上訴

根據《地產代理條例》，任何人士可透過書面方式通知運輸及房屋局局長，對監管局的決定提出上訴，包括監管局拒絕批給牌照或批出續牌申請的決定，或監管局施行的紀律處分。

運輸及房屋局局長須委任一小組人士組成委員會（包括委員會主席），專責聆訊上訴。委員會的主席須就每宗上訴個案，從委員會成員中委任成員組成審裁小組進行裁決。

Independent checks and balances

Review by external parties

The EAA's statement of accounts is subject to audit by an external auditor. During the year, Deloitte Touche Tohmatsu was the auditor of the EAA.

In 2009/10, the EAA formed a Work Group on Human Resources Consultancy Recommendations and engaged an external consultant to review its human resources policies and procedures and to recommend alternative measures for the EAA's consideration.

With The Ombudsman Ordinance (Amendment of Schedule 1) Order 2009 as ordered by the Chief Executive of the HKSAR Government taking effect in October 2009, the EAA will come under the jurisdiction of The Ombudsman in July 2010.

Appeals against EAA decisions

Under the Estate Agents Ordinance, any person may appeal against the EAA's decisions concerning refusal to grant or renew a licence or its disciplinary sanctions by writing to the Secretary for Transport and Housing.

The Secretary for Transport and Housing is required to appoint a panel of persons for the purpose of hearing such appeals. The appeals are determined by a tribunal, the members of which are appointed by the Chairman of the panel from members of the panel.

職權範圍和成員名單

Terms of reference and membership

A. 財務及策略發展委員會

A. Finance and Strategic Development Committee

1. 研究具有長遠性影響的策略性議題以備提交監管局董事局審議。
2. 審核重要的財政議題 — 特別是員工開支對監管局財政狀況的影響、預算事項、長遠的財政規劃和資產管理，並將建議提交監管局董事局審議。
3. 監督人力資源管理事宜，並審視及批核編制架構和重組安排、人力規劃，以及人力資源政策和程序的發展。
4. 審核重要的人力資源管理議題 — 尤其薪酬和津貼政策，以及監管局員工（包括行政總裁和總監）的聘用條款和條件，並將建議提交監管局董事局審議。
5. 根據監管局主席的指示，審視及檢討行政總裁和總監的工作表現，以確定是否聘用、延長試用期、晉升、解僱、終止或繼續聘用，或其他與聘用相關事宜，以及確定是否批出按表現發放的獎賞，並將建議提交監管局董事局審議。
6. 審視及批署由監管局行政部門所預備的年度工作計劃和預算案，並於確認後提交監管局董事局審議。

1. To consider strategic issues of long-term significance, in preparation for consideration by the Board.
2. To examine issues of major financial significance, in particular, staff cost implications, budgetary matters, long-term financial planning and asset management, and to make recommendations to the Board for consideration.
3. To oversee human resources management and to review and approve establishment structure, reorganisation, manpower planning and development of human resources policies and procedures.
4. To examine issues of major significance in human resources management, in particular, remuneration and allowance policies and terms and conditions of employment of the EAA employees (including the Chief Executive Officer and Directors), and to make recommendations to the Board for consideration.
5. At the direction of the Chairman, to review and evaluate the performance of the Chief Executive Officer and Directors for the purpose of confirmation of appointment, extension of probation, promotion, dismissal, termination or renewal of employment or other employment related issues and the granting of any performance-linked awards, and to make recommendations to the Board for consideration.
6. To review and endorse the annual work plan and budget prepared by the Administration and to recommend the same to the Board for consideration.

7. 就監管局資金的投資事宜向監管局董事局提交建議。
8. 留意業界及公眾人士對監管局的規例及政策的反應，並據此向監管局董事局及／或有關委員會建議適當對策。
9. 執行由監管局董事局授權處理的工作。
10. 如認為需要，就委員會行使其職能和權力獲取法律及／或專業意見或服務。

7. To make recommendations to the Board on the investment of the EAA monies.
8. To monitor trade and community response to the EAA regulations and policies and, on such basis, recommend appropriate actions to the Board and/or the standing committees for consideration.
9. To perform such other tasks as the Board may from time to time delegate.
10. To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

成員

Membership

主席：陳韻雲女士，BBS，JP

Chairman: Ms Vivien Chan, BBS, JP

成員：廖譚婉瓊女士，JP

Members: Mrs Amy Liu Tam Yuen-king, JP

劉燕卿女士

Ms Connie Lau Yin-hing

李峻銘先生

Mr Eric Lee Chun-ming

梁永祥先生，BBS，JP

Mr William Leung Wing-cheung, BBS, JP

呂耀華先生

Mr Alexander Lui Yiu-wah

馬豪輝先生，SBS，JP

Mr Ma Ho-fai, SBS, JP

孫寶源先生

Mr Richard Sun Po-yuen

黃建業先生

Mr Wong Kin-yip

運輸及房屋局常任秘書長(房屋)

Permanent Secretary for Transport and

或其代表

Housing (Housing) or his representative

B. 牌照及執業委員會

1. 制訂地產代理／營業員之發牌規定。
2. 研究及建議豁免某類人士發牌規定的準則。
3. 指示監管局行政部門處理牌照／營業詳情說明書的申請，並發出有關牌照／營業詳情說明書予符合發牌條件的申請人。
4. 審閱提交予委員會考慮之牌照／營業詳情說明書申請，若認為適當，可批准或拒絕申請。
5. 在牌照上附加委員會認為適當之條件。
6. 檢討及建議牌照費用及監管局各類服務之收費幅度。
7. 研究及設計申請表格、牌照表格、牌照登記冊、通知表格及其他相關文件。
8. 制訂操守守則，規管地產代理行業的操守及執業方式。
9. 檢討《地產代理條例》所載有關地產代理的執業及運作的規例，並就此提供建議。

B. Licensing and Practice Committee

1. To prescribe licensing requirements for estate agents/salespersons.
2. To consider and recommend the criteria for exemption from the licensing requirements for any particular class of persons.
3. To instruct the EAA Administration to process applications for licences/SPOBs and to grant such licences/SPOBs to applicants meeting the licensing requirements.
4. To consider and if thought appropriate, to approve or refuse applications for licences/SPOBs brought before the Committee for consideration.
5. To attach to licences such conditions as the Committee may consider appropriate.
6. To review and make recommendation on the scale of licence fees and charges for services provided by the EAA.
7. To consider and design the application forms, licence forms, licence register, notice forms and other related documents.
8. To draw up a code of ethics governing the conduct and practice of the estate agency trade.
9. To review and make recommendation on regulations under the EAO relating to the practice and operation of estate agents.

10. 不時考慮及檢討地產代理行業的執業手法，並制訂關於地產代理工作的執業通告或指引。
11. 監察業界遵行《地產代理條例》及其附屬法例、《操守守則》、執業通告或指引的情況；並聯絡業界，共同研究提升執業水準及服務質素的方法。
12. 如認為需要，就委員會行使其職能和權力獲取法律及／或專業意見或服務。

10. To consider and review practices within the trade and prepare practice circulars or guidelines on various aspects of estate agency work from time to time.
11. To monitor compliance of the EAO and its subsidiary legislation, the Code of Ethics, practice circulars or guidelines; and to liaise with the trade on ways to improve the standard of practice and quality of service.
12. To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

成員	Membership
主席： 梁永祥先生，BBS，JP	Chairman: Mr William Leung Wing-cheung, BBS, JP
副主席： 劉燕卿女士	Vice-chairman: Ms Connie Lau Yin-hing
成員： 洪小蓮女士 郭昶先生 李景亮先生 李國麟議員，SBS，JP 運輸及房屋局常任秘書長 (房屋)或其代表	Members: Ms Katherine Hung Siu-lin Mr Anthony Kwok Chong Mr Lee King-leong Dr the Hon Joseph Lee Kok-long, SBS, JP Permanent Secretary for Transport and Housing (Housing) or his representative
委任成員： 吳芝萍女士 柯興捷先生 黃靜怡小姐 汪敦敬先生 消費者委員會代表	Board-appointed members: Ms Jasmine Ng Chi-ping Mr Stephen Or Hing-chit Ms Angela Wong Ching-yee Mr Lawrance Wong Dun-king Representative of the Consumer Council

C. 紀律委員會

1. 訂立指引和程序，確保以公平及貫徹一致的立場，處理紀律個案。
2. 接受、考慮和查究由監管局轉介至紀律委員會，根據《地產代理條例》第29(1)條所作的投訴及《地產代理條例》第29(2)條所提行政總裁作出的呈述，並在考慮該等投訴和呈述後，進行其認為合適的研訊。
3. 接受及查究涉及持牌地產代理／營業員的投訴，是否抵觸監管局不時向業界發出的《操守守則》、執業通告或指引。
4. 審閱監管局根據《地產代理條例》第28條委任的調查員提交的報告及建議（經由第28條調查委員會轉介），考慮就涉嫌和指稱觸犯或沒有遵守《地產代理條例》條文的個案，進行其認為合適的研訊。
5. 按照《地產代理條例》第30條賦予之紀律制裁權，行使其認為適當的權力。
6. 在牌照上附加委員會認為適當的條件。

C. Disciplinary Committee

1. To draw up guidelines and procedures to ensure consistency and fairness in handling disciplinary cases.
2. To receive, consider and inquire into complaints as mentioned in section 29(1) of the EAO and submissions by the Chief Executive Officer as mentioned in section 29(2) of the EAO that are referred by the EAA to the Committee, and to conduct such inquiry as the Committee may think fit after having considered such complaints and submissions.
3. To receive and inquire into complaints lodged against licensed estate agents or salespersons for breaches of the Code of Ethics, practice circulars or guidelines issued to the trade from time to time by the EAA.
4. To consider the reports and recommendations of the investigator appointed by the EAA under section 28 of the EAO, with referral by the Section 28 Investigation Committee, to look into suspected and alleged breaches or non-compliance of the provisions of the EAO and to conduct such inquiry as the Committee may think fit after having considered such reports and recommendations.
5. To exercise any of the disciplinary powers provided under section 30 of the EAO as the Committee considers appropriate.
6. To attach to licences such conditions as the Committee may consider appropriate.

7. 視乎情況將委員會審議的不良執業手法或投訴個案轉交其他委員會，以便制訂及／或修訂政策、常規或規例，從而更有效地執行監管局之職能。
8. 如認為需要，就委員會行使其職能和權力獲取法律及／或專業意見或服務。

7. To refer from time to time cases of malpractice or complaints considered by the Committee to other committees for formulation and/or revision of policies, practice or regulations for better discharge of the EAA's functions.
8. To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

成員		Membership	
主席：	馬豪輝先生，SBS，JP	Chairman:	Mr Ma Ho-fai, SBS, JP
成員：	陳友正博士 黃嘉純先生，JP 劉詩韻女士 李峻銘先生 李景亮先生 呂耀華先生 伍景華先生 孫寶源先生	Members:	Dr Bob Chan Yau-ching Mr Lester Garson Huang, JP Ms Serena Lau Sze-wan Mr Eric Lee Chun-ming Mr Lee King-leong Mr Alexander Lui Yiu-wah Mr Ng King-wah Mr Richard Sun Po-yuen
委任成員：	朱樂生先生 郭榮鏗先生 梁家駒先生 梁繼昌先生 廖志明先生 謝順禮先生 王羅桂華女士 黃燦光先生，OBE，QPM，CPM	Board-appointed members:	Mr Antonio Chu Lok-sang Mr Dennis Kwok Wing-hang Mr Johnny Leung Ka-kui Mr Kenneth Leung Kai-cheong Mr Liu Chi-ming Mr Calvin Tse Shun-lai Mrs Karen Wong Law Kwai-wah Mr Wong Tsan-kwong, OBE, QPM, CPM

D. 專業發展委員會

1. 研究業界的培訓需要，並設計合適的培訓課程，以提升持牌人的執業水平。
2. 監督「持續專業進修計劃」的執行，包括：
 - a. 定期檢討計劃的重點、範疇和要求；
 - b. 訂立分配核心及非核心科目活動的指引；
 - c. 審批持續專業進修活動的主辦機構及評估持續專業進修活動；
 - d. 將其他專業界別和行業的合適持續專業進修活動納入地產代理監管局的持續專業進修計劃；及
 - e. 監察計劃的成效，並向監管局董事局提交適當建議。

D. Professional Development Committee

1. To examine the training needs and design appropriate training programmes to raise the competence of licensees.
2. To oversee the implementation of the CPD Scheme including:
 - a. conducting periodic reviews on its focus, scope and requirements;
 - b. determining guidelines for assigning core and non-core activities;
 - c. approving CPD activity providers and evaluating CPD activities;
 - d. adopting appropriate CPD activities of other professions and trades into the CPD Scheme of the EAA; and
 - e. monitoring the effectiveness of the Scheme and making recommendations to the Board as appropriate.

3. 就專業交流活動提供意見，並監察地產代理業內專業資格互認計劃的執行。
4. 如認為需要，就委員會正確履行及行使其職能和權力獲取這方面的法律及／或專業意見。

3. To advise on professional exchange activities and monitor the administration of scheme(s) relating to reciprocal recognition of professional qualifications for the estate agency trade.
4. To obtain such legal and/or expert advice as the Committee may consider necessary for or in relation to the proper discharge and exercise of the Committee's functions and powers.

成員		Membership	
主席：	李峻銘先生	Chairman:	Mr Eric Lee Chun-ming
成員：	洪小蓮女士 郭昶先生 劉詩韻女士 廖玉玲女士 伍景華先生 運輸及房屋局常任秘書長 (房屋)或其代表	Members:	Ms Katherine Hung Siu-lin Mr Anthony Kwok Chong Ms Serena Lau Sze-wan Ms Elaine Liu Yuk-ling Mr Ng King-wah Permanent Secretary for Transport and Housing (Housing) or his representative
委任成員：	鄺子文博士 劉光耀博士 黃傑雄博士 楊彩鳳小姐 余家旗先生 職業訓練局代表	Board-appointed members:	Dr Kwong Tsz-man Dr Joseph Lau Kwong-yiu Dr Charles Wong Kit-hung Ms Caroline Yeung Choi-fung Mr Alex Yu Ka-ki Representative of the Vocational Training Council

E. 第28條調查委員會

1. 就如何選取需要根據《地產代理條例》(《條例》)第28條展開調查的個案制定指引和程序。
2. 監督根據《條例》第28條進行的調查，確保調查工作符合法例規定。
3. 接受和考慮監管局行政部門就其認為有需要根據《條例》第28條進行調查的懷疑或涉嫌違反或沒有遵守《條例》的規定／條文的個案所呈交的報告和建議。
4. 根據《條例》第28條委任調查員，展開委員會認為有需要的調查及執行其認為有需要的職務。
5. 接受和考慮根據《條例》第28條委任的調查員所提交的報告和建議。
6. 如調查員建議委員會該考慮行使《條例》第30條所訂明的紀律處分的權力，則將有關個案轉交紀律委員會處理。
7. 如認為需要，就行使《條例》第28條所訂明的監管局職能和權力獲取法律及／或專業意見或服務。
8. 行使及執行《條例》第28條所訂明的監管局職能和權力。

E. Section 28 Investigation Committee

1. To formulate guidelines for and procedures on the selection of cases for investigation under section 28 of the EAO.
2. To oversee the conduct of investigation under section 28 of the EAO to ensure its full compliance.
3. To receive and consider reports and recommendations from the EAA Administration on suspected or alleged cases of breaches or non-compliance of a requirement(s) or other provision(s) of the EAO warranting investigation under section 28 of the EAO.
4. To appoint investigator(s) under section 28 of the EAO to conduct such investigation and carry out such duties as the Committee considers necessary.
5. To receive and consider the reports and recommendations from the investigator appointed by the Committee under section 28 of the EAO.
6. Where the investigator recommends to the Committee that the exercise of disciplinary powers under section 30 of the EAO should be considered, to refer the case to the Disciplinary Committee for its consideration.
7. To obtain legal and/or expert advice or service relating to the exercise of the EAA's functions and powers as prescribed by section 28 of the EAO as and when the Committee considers necessary.
8. To exercise and perform any and such of the EAA's functions and powers as prescribed by section 28 of the EAO.

成員	Membership
主席：廖譚婉瓊女士，JP	Chairman: Mrs Amy Liu Tam Yuen-king, JP
成員：廖玉玲女士 蔡克剛先生，BBS，JP	Members: Ms Elaine Liu Yuk-ling Mr Herbert Tsoi Hak-kong, BBS, JP

F 考試小組

1. 制訂地產代理和營業員資格考試的範圍及費用。
2. 研究業界的培訓需要，並設計合適的培訓課程，提升有志入職人士的知識水平。
3. 為資格考試的執行工作制訂準則。
4. 監督資格考試的試題設定與調整、考生違反考試規則的懲處決定，並就此向監管局行政部門發出指引。
5. 檢討及釐定資格考試及其各個部分的合格分數和優異分數。
6. 如認為需要，就小組行使其職能和權力獲取法律及／或專業意見或服務。

F Examination Panel

1. To determine the examination syllabi and examination fees for the qualifying examinations for estate agents and salespersons.
2. To examine the training needs and design appropriate training programmes to raise the knowledge level of aspiring licensees.
3. To set the parameters for the administration of the qualifying examinations.
4. To oversee and give direction to the EAA Administration in the setting and moderation of examination questions and determination of penalties for breaches of examination regulations by candidates.
5. To review and determine the pass marks and commendation marks for the qualifying examinations and each part thereof.
6. To obtain legal and/or expert advice or service relating to the exercise of the Panel's functions and powers as and when the Panel considers necessary.

成員		Membership	
主席：	陳友正博士	Chairman:	Dr Bob Chan Yau-ching
成員：	郭昶先生 李峻銘先生 李景亮先生 伍景華先生	Members:	Mr Anthony Kwok Chong Mr Eric Lee Chun-ming Mr Lee King-leong Mr Ng King-wah
委任成員：	傅德華先生 吳健源先生 謝國生博士 黃錦昌博士	Board-appointed members:	Mr Fu Tak-wah Mr Ng Kin-yuen Dr Maurice K S Tse Ir Dr Stanley K C Wong

服務類別 Service type		指標 Standard		達標率 Results
查詢 Enquiries				
回覆查詢	Respond to enquiries			
• 電話查詢 （留言訊息）	• Telephone enquiries (voice mail messages)	• 1 個工作天內	• Within 1 working day	100%
• 書面查詢	• Written enquiries	• 10 個工作天內	• Within 10 working days	100%
資格考試 Qualifying examinations				
發出成績 通知單 ¹⁵	Issue result slips ¹⁵	考試後的 23 個 工作天內	Within 23 working days after the examination	100%
牌照 Licensing				
處理新牌照及 續牌申請	Process new licence and licence renewal applications	10 個工作天內 ¹⁶	Within 10 working days ¹⁶	100%
退款予不獲發牌 照或取消牌照申 請的申請人	Refund of application fees for rejected/ cancelled applications	10 個工作天內 ¹⁷	Within 10 working days ¹⁷	98.8%

¹⁵ 監管局委託香港考試及評核局舉辦資格考試。考試的成績通知單由香港考試及評核局發出。

¹⁶ 由監管局收妥牌照申請、所需費用及文件之日起計，至發出牌照／營業詳情說明書（即牌照可供領取之日）為止。如監管局須將牌照申請交由牌照及執業委員會考慮是否符合法定的「適當人選」標準，服務指標則不適用。監管局處理此類牌照申請時，須向申請人或第三者（例如破產管理署、信託人或警務處）查詢有關詳情，待得到回覆後，才可以決定批准或拒絕申請。

¹⁷ 由取消或拒絕申請之日起計；如屬破產個案，則由收到破產管理署或信託人指示之日起計。

¹⁵ Issued by the Hong Kong Examinations and Assessment Authority, authorised by the EAA to administer the examinations.

¹⁶ From receipt of the application, the required fee and documents to the date of issuance of a licence/statement of particulars of business (i.e. the date the licence is available for collection). This service target does not apply to applications requiring determination by the EAA Licensing and Practice Committee as to whether the applicant fulfils the statutory "fit and proper" requirement. A longer duration is needed for such cases for the EAA to make enquiries and for the applicant or any third party (such as the Official Receiver's Office, trustees-in-bankruptcy or the Police) to respond before the EAA approves or rejects the application.

¹⁷ From the date the application is cancelled or rejected; for bankruptcy cases, from the date of receipt of instructions from the Official Receiver's Office or the trustee-in-bankruptcy in question.

服務類別 Service type		指標 Standard		達標率 Results
投訴處理 Complaints and enforcement				
確認收到投訴人的書面投訴	Acknowledge receipt of written complaints	5 個工作天內	Within 5 working days	100%
收到足夠證明文件後向投訴人作出書面回覆	Provide a written response to complainants upon receipt of sufficient supporting documents	15 個工作天內	Within 15 working days	99.8%
通知投訴人調查結果	Notify complainants of the outcome of the investigation	10 個工作天內 ¹⁸	Within 10 working days ¹⁸	99.7%
通知被投訴人（持牌人）調查結果	Notify complainees (licensees) of the outcome of the investigation	10 個工作天內 ¹⁹	Within 10 working days ¹⁹	99.8%
紀律研訊 Disciplinary proceedings				
舉行首次紀律研訊	Conduct the first disciplinary inquiry hearing of a case	完成調查後的 90 個工作天內	Within 90 working days after completion of investigation	98.5%
持續專業進修計劃 CPD				
完成處理持續專業進修活動認可的申請	Process applications for endorsement of CPD activities	20 個工作天內	Within 20 working days	100%
發出「出席證書」予參加監管局舉辦的持續專業進修活動的持牌人	Issue certificates of attendance for EAA-organised CPD activities	30 個工作天內	Within 30 working days	100%

¹⁸ 由完成調查之日起計；假如監管局須要為有關個案舉行紀律研訊，則以向被投訴人發出研訊結果通知書之日起計。

¹⁹ 不包括要舉行紀律研訊的投訴個案。法例規定，監管局「須自有關決定日期起 21 天內，將該決定以書面通知持牌人和通知該決定所針對的任何其他人……」。

¹⁸ From completion of investigation or, in the event the case is submitted for an inquiry hearing, the date of the letter notifying the complainees of the result of the hearing.

¹⁹ Excluding cases that are submitted for inquiry hearings. In these cases, the statutory requirement is for the EAA to "within the period of 21 days beginning on the date of the relevant decision, [to] notify in writing the licensee and any other person against whom the decision is made of the decision..."