



維護專業水平
Upholding the
Professional Standard



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Upholding the Professional Standard

操守與守則

根據《地產代理條例》成立的監管局，獲賦予權力規管及管制地產代理及營業員的執業，透過採取其認為適當或需要的行動，以促使地產代理及營業員行事持正及稱職，或維持或提高他們的地位。地產代理及營業員必須遵守《地產代理條例》及其附屬法例，特別是關於香港住宅物業的《地產代理常規(一般責任及香港住宅物業)規例》，以及監管局發出的《操守守則》及執業通告。

法律事務

監管局不時檢視業界的執業手法並發出執業通告，並提供指引予業界依循，指明監管局認為屬於持牌人在其執業過程中應當遵從的專業操守及執業手法標準。年內，監管局共發出了三份執業通告。

有鑑於公眾關注地產代理在一手住宅物業銷售地點進行推廣活動時的秩序，尤其關注是否有非持牌人士參與該等活動，以及為了改善地產代理在參與該等活動時的秩序和操守，監管局發出了一份新的執業通告，就有關一手樓盤銷售地點秩序的不同範疇列出詳細指引。為協助業界遵守此執業通告的有關要求，相關的「問與答」及表格範本已載於監管局網頁，供業界參考。

針對關於有騙徒假冒業主騙取近三百萬元訂金的新聞報導，監管局發出一份有關「核實賣方的身分」的執業通告，提醒持牌人在處理物業交易時核實賣方身分的重要性，並為持牌人就防範類似欺詐行為而應採取的預防措施提供額外指

Ethics and Regulations

The EAA established under the Estate Agents Ordinance (“EAO”) is empowered to, inter alia, regulate and control the practice of estate agents and salespersons and to take such actions as the EAA considers appropriate or necessary to promote integrity and competence amongst, or maintain or enhance the status of, estate agents and salespersons. Estate agents and salespersons must comply with the EAO and its subsidiary legislation, including in particular the Estate Agents Practice (General Duties and Hong Kong Residential Properties) Regulation in respect of Hong Kong residential properties. They should also comply with the *Code of Ethics* and the practice circulars issued by the EAA.

Legal Services

The EAA reviews the practices of the trade from time to time and issues practice circulars to provide guidelines and directives specifying any conduct or practice which the EAA considers is a professional standard that ought to be followed by licensees in the course of their practice. In the year, three circulars were issued.

In light of the increasing public concern about the order of estate agents engaging in promotional activities at the sale sites of first-hand residential properties, particularly whether any unlicensed persons are hired to participate in such activities, and with a view to improving the order and conduct of estate agents when participating in such activities, the EAA issued a fresh practice circular setting out detailed guidelines on various areas concerning the order of promotional activities at first-sale sites. To assist the trade to comply with the requirements of the practice circular, a set of relevant “Questions and Answers” and sample forms were provided at the EAA website for the trade’s reference.

In response to news report about a fraudster impersonating a flat owner and swindling a deposit of nearly three million dollars, the EAA issued a practice circular on “Verifying the Identity of Vendors” to remind licensees of the importance to verify the identity of vendors when handling property transactions and to provide additional guidelines for licensees on the precautionary steps to

引。例如，在安排雙方簽訂臨時買賣協議之前，持牌人須以書面形式建議客戶安排律師行託管所有訂金，並告知客戶不託管訂金的風險。倘若雙方決定不託管訂金而繼續進行交易，持牌人應取得買方的書面確認，證明買方已知悉有關建議。在此情況下，持牌人亦應取得有關物業最近一份轉讓契的副本，以確定賣方現時出示的身分證明文件種類和號碼與最近一份轉讓契中所記錄的物業業主的身分證明文件種類和號碼是否相同。倘若在核實賣方身分時有任何可疑情況，應建議客戶尋求法律意見。

此外，監管局亦發出了一份關於「遵守《競爭條例》」的執業通告，提醒持牌人在從事地產代理業務時，必須遵守由2015年12月14日起全面實施的《競爭條例》(第619章)中所適用的條文。

投訴與執法

處理投訴與查詢

在2016/17年度，監管局共開立477宗投訴，較2015/16年度的339宗增加了41%。投訴數字急增，主要是涉及本地住宅物業以外之物業的投訴有所上升。2016/17年度，在477宗的投訴中，有154宗涉及本地住宅物業以外的物業，而在2015/16年度此類投訴只有60宗，該等投訴包括涉及商場舖位和非本地物業銷售的個案。出現這個現象可能是由於市場對本地非住宅物業及海外物業的需求大增，以致在本地二手住宅市場不活躍的情況下，愈來愈多地產代理參與此類物業交易所導致。此外，涉及一手住宅物業銷售的投訴亦有上升，由2015/16年度的52宗增加至2016/17年度的74宗。

be taken on the prevention of similar fraudulent acts. For example, licensees are required to advise their clients in writing to arrange for the stakeholding of all deposits by a firm of solicitors, before arranging for the parties to enter into the provisional agreement for sale and purchase and the risk of not doing so. If the parties decide to proceed with the transaction without arranging for the stakeholding of the deposit, licensees should obtain a written acknowledgement from the purchaser that such advice has been given. In such a case, licensees should also obtain a copy of the last assignment to ascertain whether the type and number of the identification document as presented by the vendor and that of the owner of the property recorded in the last assignment are the same, and to advise the clients to seek legal advice if there are any suspicious circumstances in verifying the vendor's identity.

In addition, the EAA also issued a practice circular on "Compliance with the Competition Ordinance" to remind licensees that they must comply with the applicable competition rules when carrying out their estate agency businesses in light of the full implementation of the Competition Ordinance (Cap. 619) as from 14 December 2015.

Complaints and Enforcement

Complaints and Enquiries Handling

In 2016/17, the EAA opened files on a total of 477 complaints, an increase of 41% from 339 complaints in 2015/16. The upsurge was mainly due to the increase in complaints related to properties other than local residential properties. In 2016/17, out of the 477 complaints, 154 were related to properties other than local residential properties while there were only 60 such complaints in 2015/16. These complaints included cases involving the sale of retail units of shopping malls and non-local properties. The situation might be attributed to an upsurge of demand for local non-residential properties and overseas properties such that more and more estate agents were participating in these types of property transactions amid the stagnant local second-hand residential market. In addition, the complaints concerning the sale of first-hand residential properties were also on the rise, from 52 cases in 2015/16 to 74 cases in 2016/17. The most common

維護專業水平

Upholding the Professional Standard

投訴部於年內處理了5,421宗涉及地產代理執業事宜的查詢及已採取相應的跟進行動。

The Section handled 5,421 enquiries on estate agency practices in 2016/17 and took follow-up actions in response to those enquiries.



涉及一手住宅物業最常見的投訴包括發出違規廣告、未能兌現回贈承諾及提供具誤導性的按揭資料。

為應對瞬息萬變的營商環境以及應付複雜而又涉及法律事宜的違規個案不斷增加，投訴部在2016/17年度進行了架構重組。在新架構下，成立了特別職務組，專門處理與本地住宅物業以外的物業有關的投訴，另有三個小組負責處理涉及本地住宅物業特定類別交易的投訴。新的安排旨在充分利用人力資源、簡化投訴處理程序以及提升員工處理特定的違規個案所需的專門知識，從而提高投訴調查的質素及個案處理的效率。

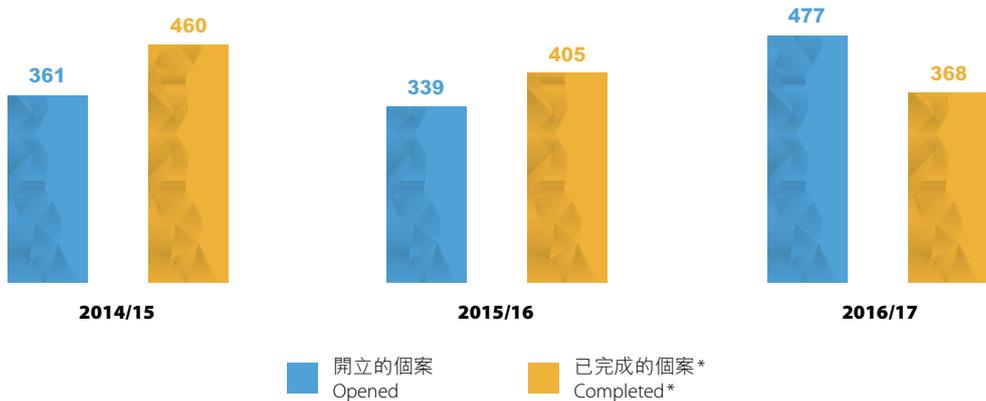
除了處理投訴個案，監管局亦於2016/17年度處理了5,421宗涉及地產代理執業事宜的查詢及已採取相應的跟進行動。

complaints related to first-hand residential properties included the issuance of non-compliant advertisements, failure to honour rebate promises and provision of misleading mortgage information.

To cope with the rapidly changing business environment and the exponential growth in the number of sophisticated non-compliant cases involving legal issues, the Complaints Section underwent a re-structuring exercise in 2016/17. Under the new structure, a Special Assignment Team was set up to exclusively deal with complaints related to properties other than local residential properties. Three other small teams are tasked to handle complaints related to specific types of transactions of local residential properties. The aim of the new arrangement is to maximise manpower resources, streamline the complaints handling process, and develop staff expertise in dealing with specific types of non-compliances, thereby enhancing the quality of complaint investigation and case handling efficiency.

Apart from complaints, the EAA also handled 5,421 enquiries on estate agency practices in 2016/17 and took follow-up actions in response to those enquiries.

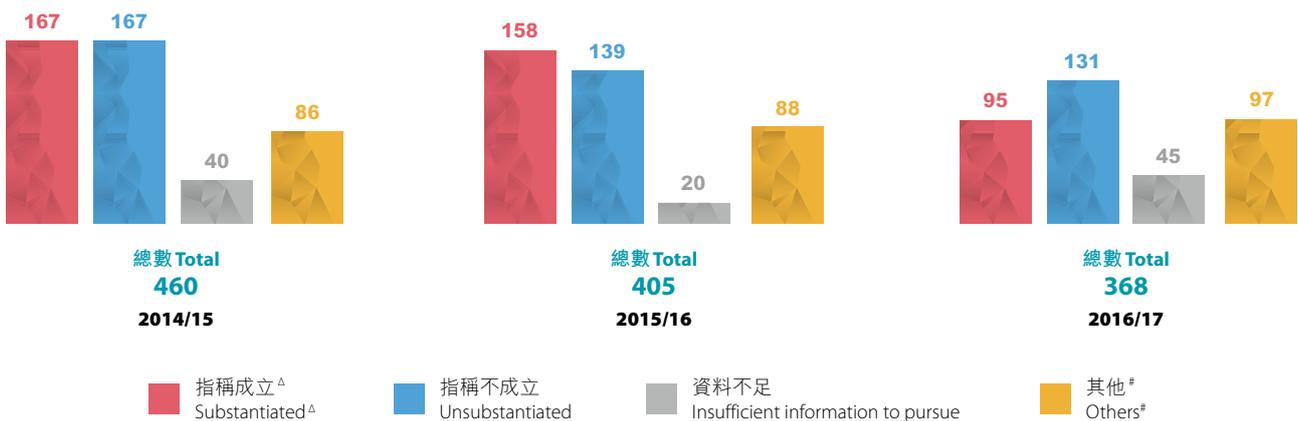
投訴個案 Complaint Cases



* 年內完成的個案部分為往年接獲的個案，當中包括表面證據成立並轉介予紀律委員會處理的個案，以及由投訴部及執行部處理的表面證據不成立的個案。

* Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Complaints and Enforcement Sections.

已完成的投訴個案結果* Results of Cases Completed*



* 年內完成的個案部分為往年接獲的個案，當中包括表面證據成立並轉介予紀律委員會處理的個案，以及由投訴部及執行部處理的表面證據不成立的個案。

* Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Complaints and Enforcement Sections.

[△] 如個案中所涉及任何一項指稱被分類為「指稱成立」，該已完成處理的個案即會被歸類為「指稱成立」。

[△] A completed case will be classified as "Substantiated" if any of the allegations involved therein has been concluded as "Substantiated".

[#] 包括擱置調查、取消投訴和因其他原因而終止的個案。

[#] Includes cases which were curtailed, withdrawn or closed due to other reasons.

維護專業水平

Upholding the Professional Standard

巡查及調查

過去一年，監管局繼續進行其規管工作，包括主動巡查經營地產代理業務的不同地點及一手樓盤銷售地點，並監察網上平台、網上廣告及印刷廣告。持續的執法行動旨在提升地產代理業的專業和操守，以及確保有關地產代理工作由持有牌照的人士進行。在不斷轉變的營商環境中，監管局將繼續檢討和優化執法策略及規管措施，以提高其規管成效。

2016/17年度，監管局加強執法力度，以確保持牌人於一手住宅物業的樓盤銷售地點進行推廣活動時保持良好秩序。監管局不時定期巡查一手樓盤銷售地點，以監察及跟進地產代理公司是否遵循有關一手樓盤銷售的執業指引，恰當地監督其持牌及非持牌員工在一手樓盤銷售地點的活動。

Compliance Inspections and Investigations

In the past year, the EAA continued to exercise its regulatory functions by conducting proactive compliance checks at various places of estate agency business and first-sale sites. Online portals, as well as online and printed advertisements were also monitored. The continuous enforcement actions taken by the EAA aimed to raise the professional and ethical standards of the estate agency trade while at the same time, ensured that estate agency work was being carried out by licensed persons. In an ever-changing operating environment, the EAA will continue to review and refine the enforcement strategy and regulatory measures to enhance the effectiveness of its regulatory functions.

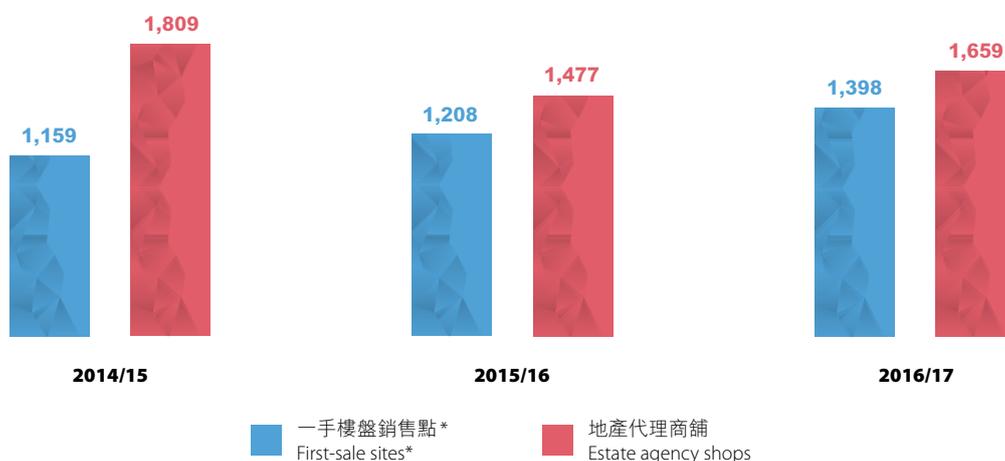
In 2016/17, much enforcement effort was made to ensuring the good order of licensees in the conduct of promotional activities in relation to the first sale of residential properties. Regular inspections on these first-sale venues were conducted to see if the estate agency companies had abided by the practice circular guidelines on properly supervising the activities of both licensed and non-licensed staff at the first-sale sites.

巡查行動

Compliance Inspections

巡查次數

Number of Inspections



* 包括樓盤所在處、樓盤銷售處及其附近。

* Include development sites, sales offices and vicinity areas.

年內，監管局共進行了3,057次巡查，當中1,398次是巡查一手樓盤銷售地點，其餘1,659次則是巡查地產代理商舖。期內，局方亦就網上廣告進行了668次抽查，並就網上物業平台進行了392次抽查。

在進行有關巡查和抽查後，監管局共開立了71宗個案進行調查，當中有14宗在巡查一手樓盤銷售地點時發現，19宗在巡查地產代理商舖時發現，34宗則為網上及報章的抽查個案，另有4宗涉及其他性質。而發布虛假或誤導性的廣告、未經賣方書面同意發布廣告，以及未管有物業資料，均屬於巡查及抽查期間最常發現的違規行為。

In the year, a total of 3,057 compliance inspections were conducted, of which 1,398 were at first-sale sites and 1,659 at estate agency shops. 668 spot checks on online advertisements and 392 on online property portals were also carried out during the period.

Subsequent to these inspections and spot checks, 71 enforcement cases were opened, of which 14 cases arose from first-sale inspections, 19 from estate agency shop visits, 34 cases from online and newspaper patrols and 4 cases of a miscellaneous nature. False or misleading advertisements, advertising without vendors' written consents, and failing to possess property information were the most common non-compliances detected from these inspections and spot checks.

執行個案

Enforcement Cases

個案數目 Number of Cases	2014/15	2015/16	2016/17
開立的個案 Opened	59	78	71

在申請牌照或續牌時，倘若作出虛假或具誤導性的聲明或提供虛假或具誤導性的資料，均屬違法行為。在2016/17年度，監管局調查了60宗涉嫌在申請牌照或續牌時作出虛假聲明或提供虛假文件的個案。

It is an offence to make false or misleading statement or furnish false or misleading information when making applications for the grant or renewal of licences. In 2016/17, investigations were conducted into 60 licence applications in which the applicants were suspected of making false statements or providing false documents in the licence application or licence renewal process.

維護專業水平

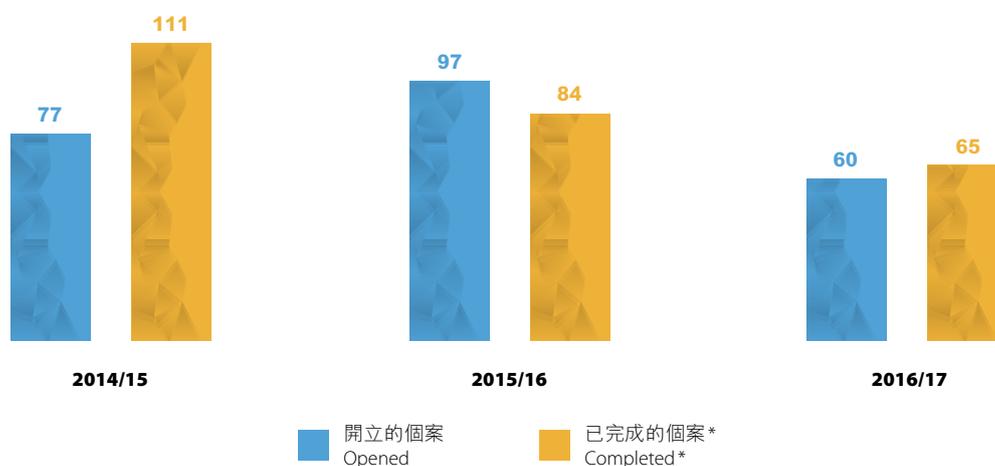
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對涉嫌在申請牌照或續牌時作出虛假聲明或提供虛假文件的持牌人／牌照申請人的調查

Investigations into Licensees/Licence Applicants who were suspected of Making False Statements or Providing False Documents in the Licence Application or Renewal Process

個案數目

Number of Cases



* 年內完成的個案部分為往年接獲的個案。

* Some cases completed in a year were brought forward from previous years.

紀律行動

紀律研訊

紀律委員會是根據《地產代理條例》成立的常設委員會，主要負責調查監管局行政總裁接獲的投訴及提出的呈述。

當行政總裁有理由相信任何持牌人沒有遵守《地產代理條例》及／或其附屬法例；或沒有資格持有或繼續持有牌照；或沒有遵守附加於其牌照上的任何指明的條件，行政總裁可向紀律委員會提出呈述，以決定是否就該個案進行研訊。

Disciplinary Actions

Inquiry Hearings

The Disciplinary Committee, a standing committee established under the EAO, is primarily responsible for inquiring into complaints received and submissions by the EAA's Chief Executive Officer ("CEO").

Where the CEO has reasons to believe that a licensee has failed to comply with the EAO and/or its subsidiary legislation; or is not eligible to hold or continue to hold a licence; or has failed to comply with a specified condition attached to his licence, the CEO shall make a submission to the Disciplinary Committee for consideration if an inquiry hearing should be conducted.

經研訊後，倘若紀律委員會認為有關的投訴或呈述成立，監管局可行使紀律制裁權，當中包括訓誡或譴責有關持牌人，將條件附加於有關牌照上或更改附加於該牌照上的條件，暫時吊銷或撤銷其牌照，判處罰款以及作出支付費用的命令。

在2016/17年度，紀律委員會共判決了187宗個案，其中185宗(佔98.9%)的指稱成立。結果，共有190名持牌人被紀律處分，其中103名為個人持牌人¹，87名為公司持牌人。

同期，紀律委員會暫時吊銷了24個牌照，吊銷期由七天至六個月不等。被處分的持牌人涉及作出違反專業操守的行為，例如作出誤導性陳述、未有保障和促進客戶的利益，以及沒有盡量小心和盡一切應盡的努力。

另外，共有132名持牌人被罰款，金額由500元至100,000元不等。

If an inquiry hearing is conducted and the Disciplinary Committee is satisfied that the complaint or submission is well-founded, the EAA may exercise disciplinary powers including admonishing or reprimanding the licensee concerned, attaching/varying a specified condition attached to his/her licence, suspending/revoking his/her licence, imposing a fine and making a costs order.

In 2016/17, the Disciplinary Committee adjudicated 187 cases, of which 185 were substantiated (i.e. 98.9%). As a result, a total of 190 licensees were disciplined, among whom 103 were individual licensees¹ and 87 company licensees.

During the same period, 24 licences were suspended for periods ranging from seven days to six months. Licensees disciplined were found to have been engaged in unprofessional conduct such as making misrepresentations, failing to protect and promote the interests of their clients, or failing to exercise due care and due diligence.

In addition, a total of 132 licensees were fined, with the fines ranging from \$500 to \$100,000.



模擬紀律研訊圖片。
A staged inquiry hearing.

¹ 包括地產代理公司的獨資經營者／合夥人。

¹ Including sole-proprietors and partners of estate agency firms.

維護專業水平

Upholding the Professional Standard

公布研訊的裁決理由

為提高透明度，監管局自2017年2月起於局方的網站上公布紀律委員會所進行的研訊的裁決理由。

公布裁決理由不僅能讓地產代理業界進一步了解監管局的紀律裁決，還讓持牌人對如何遵守《地產代理條例》及／或其附屬法例有更深入的理解，以避免日後出現類似的投訴。此外，公布監管局採取的規管行動及其背後原因，亦有助維持公眾對監管局擔任規管角色的信心。

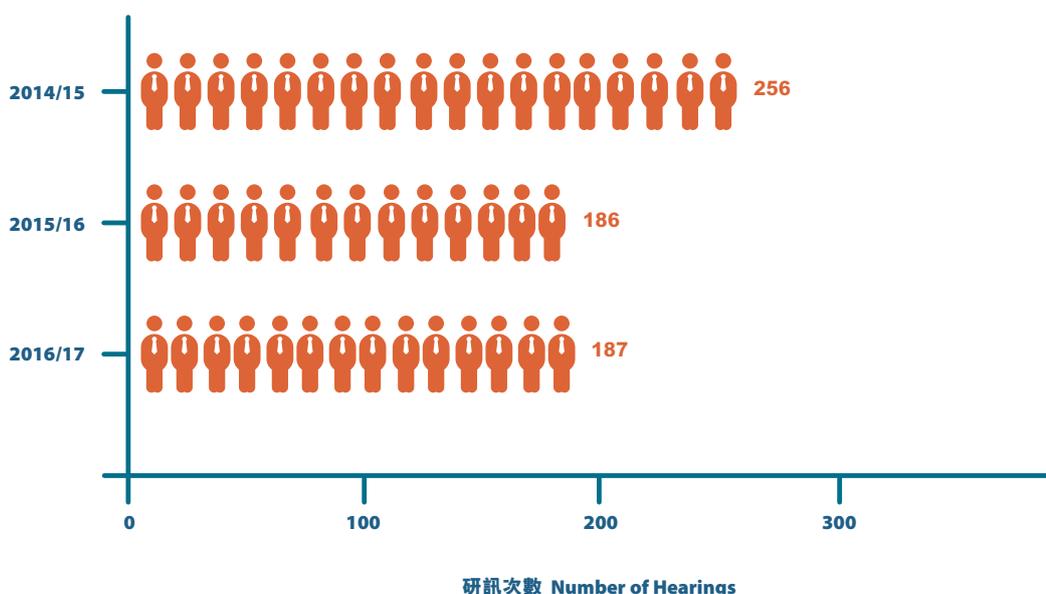
Publication of Reasons for the Decisions of Inquiry Hearings

For achieving greater transparency, the EAA has since February 2017 published on its website the reasons for the decisions of the inquiry hearings conducted by the Disciplinary Committee.

The publication of the reasons for the decisions enables the estate agency trade to have a better understanding of the EAA's disciplinary decisions. It also gives licensees an opportunity to learn about how to comply with the EAO and/or its subsidiary legislation so that similar complaints may be prevented in the future. Moreover, by demonstrating what regulatory action is being or has been taken and the reasons behind it, public confidence in the regulatory role of the EAA can also be maintained.

已舉行並作出裁決的紀律研訊次數

Number of Inquiry Hearings with Decision Handed Down



2016/17 年度常見違規事項 *		指稱宗數 Number of allegations
1.	發出虛假或誤導性廣告；未獲賣方事先書面同意而發出廣告；發出違反賣方指示的廣告 Issuing a false or misleading advertisement; advertising without vendor's prior written consent; advertising in contravention of vendor's instruction	44
2.	未有與客戶訂立地產代理協議 Failure to enter into an estate agency agreement with clients	22
3.	向客戶提供錯誤的物業或交易資料；未有查核提供予客戶的物業或交易資料的準確性 Providing wrong property or transaction information to clients; failure to verify the accuracy of property or transaction information provided to clients	19
4.	未獲業主書面同意而在物業上張貼海報／廣告板；未獲許可而在公共場所張貼廣告 Affixing an advertisement poster/board on a property without the owner's written consent; affixing an advertising bill in public place without the requisite permission	18
5.	在廣告提供有關物業的實用面積時未有遵守監管局發出的指引 Failure to comply with the guidelines issued by the EAA when providing the saleable area of the property concerned in the advertisement	15
6.	提供／提出提供貸款予一手樓盤的準買家 Offering/making a loan to a prospective purchaser of a first-hand property	14
7.	未有履行向客戶作出的現金回贈承諾及／或以書面形式列明有關承諾 Failure to give and/or set out in writing the cash rebate as promised to clients	14
8.	未有於聘用或停止聘用營業員後31天內向監管局發出書面通知 Failure to notify the EAA in writing within 31 days of the employment or cessation of employment of a salesperson	11
9.	未有確保代表簽署臨時買賣協議／租約／臨時租約／地產代理協議的人士已獲賣方／出租方或買方／租客正式授權 Failure to ensure that the signatory was duly authorised by the vendor/lessor or purchaser/tenant to sign the provisional agreement for sale and purchase/tenancy agreement/provisional tenancy agreement/estate agency agreement	10
10.	有關向客戶索取佣金的違規行為，例如聘用收數公司及使用騷擾方式追討佣金時未有遵守監管局的通告 Breaches relating to demand of commission from clients such as failure to comply with the EAA circulars when engaging a debt collector and using harassing means to chase for commission	10

* 部分紀律研訊個案或涉及超過一項違規事宜。

* There might be more than one type of non-compliances in some inquiry hearing cases.

維護專業水平

Upholding the Professional Standard

向持牌人或前持牌人採取的行動*	2014/15	2015/16	2016/17
有關的持牌人或前持牌人人數 Number of licensees or former licensees involved	423	368	324
行動性質 ¹ Type of actions ¹			
訓誡／譴責 Admonishment/reprimand	255	193	192
罰款 Fine	179	123	132
在牌照上附加條件 ² Attachment of conditions to licence ²	238	223	177
暫時吊銷牌照 Suspension of licence	10	22	25
撤銷牌照 Revocation of licence	45 ^Δ	56 ^Δ	29 ^Δ

* 以上行動是根據《地產代理條例》的權力而作出的判決。當中有部份可能不屬於紀律性質。部份是往年展開調查的個案。

¹ 在部分個案中，會對同一持牌人或前持牌人採取超過一項行動。

² 部分條件於批出牌照時附加，其餘則隨後附加。

^Δ 這些撤銷牌照的個案均由牌照委員會裁定，理由是持牌人不再符合相關的發牌條件。

* These actions were taken pursuant to powers under the EAO. Some actions may be disciplinary in nature and others not. Some cases were carried over from previous years.

¹ In some cases more than one action was imposed on the same licensee or former licensee.

² Some conditions were attached upon the granting of licences and others attached thereafter.

^Δ These cases were decided by the Licensing Committee on the ground that the licensees concerned no longer met the relevant licensing requirements.

專業發展

監管局自2005年起以自願參與形式推行持續專業進修計劃，旨在提升地產代理從業員的專業水平以及讓他們掌握最新的專業知識。透過持續專業進修計劃，監管局致力在地產代理業界營造追求學習及進修的文化，藉以提高從業員的水平，加強公眾對業界的信心。

持續專業進修計劃

在持續專業進修計劃下，監管局鼓勵地產代理從業員參加不同學習模式的活動，例如講座、研討會、學術資格課程及網上遙距學習活動等，以取得持續專業進修學分。一般而言，每參與一小時的學習活動，將可獲得一個學分。在為期12個月的進修時段內取得至少12個持續專業進修學分的持牌人，將被視為達到持續專業進修計劃的學分要求，並可獲頒發持續專業進修計劃嘉許獎章。自2013年10月1日的持續專業進修時段開始計算，連續三個及五個持續專業進修時段達到計劃的學分要求的持牌人，將分別獲頒發持續專業進修計劃優越嘉許獎章銀章（「銀章」）及持續專業進修計劃優越嘉許獎章金章（「金章」）。

年內，427名持牌人（第一批銀章得獎者）於截至2014、2015及2016年9月30日止的持續專業進修時段，連續達到該進修計劃的學分要求並獲頒發銀章予以佩戴，以表揚其努力學習的成果。

除個人持牌人會獲頒發持續專業進修計劃優越嘉許獎章外，如地產代理商舖有80%或以上的持牌僱員（包括分行經理）達到該計劃的學分要求，亦可獲頒發地產代理商舖專業進修嘉許獎章。

Professional Development

Aimed at furthering the competence of the estate agency trade practitioners and keeping their professional knowledge up to date, a Continuing Professional Development (“CPD”) Scheme has been implemented since 2005 on a voluntary basis. Through the CPD Scheme, the EAA strives to build amongst the estate agency trade a culture of a quest for learning and development, which helps raise the standards of the practitioners and thus strengthen public confidence in the trade.

Continuing Professional Development Scheme

Under the CPD Scheme, estate agency trade practitioners are encouraged to take part in activities of different learning modes, such as seminars, lectures, award-bearing courses and web-based distance learning, etc., to earn CPD points. Generally, one CPD point is awarded for each contact hour of learning activity. Licensees who earn not less than 12 CPD points in a 12-month CPD period are considered to have achieved the CPD attainment target and will be awarded the CPD Attainment Symbol. With effect from the CPD period commencing 1 October 2013, licensees who have achieved their CPD attainment targets for three and five consecutive CPD periods will also be awarded the Silver Premium CPD Attainment Symbol (“Silver Symbol”) and Gold Premium CPD Attainment Symbol (“Gold Symbol”) respectively.

During the year, 427 licensees (being the first batch of the Silver Symbol awardees) who achieved the CPD attainment target consecutively in the CPD periods ended 30 September 2014, 2015 and 2016, were awarded a silver badge for their wearing as recognition of their learning efforts.

In addition to the Premium CPD Attainment Symbols which are presented to individual licensees, holders of Statement of Particulars of Business (“SPOB”) with 80% or more of their licensed employees (including the branch manager) having achieved the CPD attainment target will be presented with the CPD Mark for Estate Agencies.

維護專業水平

Upholding the Professional Standard

年內，427名持牌人獲頒發銀章予以佩戴，以表揚其努力學習的成果。

During the year, 427 licensees were awarded a silver badge for their wearing as recognition of their learning efforts.



成就

Achievement

在一個進修時段達到持續專業進修計劃的學分要求的持牌人*
Licensees achieving CPD attainment target for one CPD period*

在連續三個進修時段達到持續專業進修計劃的學分要求的持牌人
(自2013年10月1日起的進修時段開始計算)
Licensees achieving CPD attainment target for three consecutive CPD periods
(with effect from the CPD period commencing 1 October 2013)

在連續五個進修時段達到持續專業進修計劃的學分要求的持牌人
(自2013年10月1日起的進修時段開始計算)
Licensees achieving CPD attainment target for five consecutive CPD periods
(with effect from the CPD period commencing 1 October 2013)

有80%或以上持牌僱員(包括分行經理)達到持續專業進修計劃的學分要求的營業詳情說明書持有人
Holders of SPOB with 80% or more of licensed employees (including the branch manager) having achieved the CPD attainment target

獎勵

Award

持續專業進修計劃嘉許獎章
CPD Attainment Symbol

持續專業進修計劃優越嘉許獎章
— 銀章
Silver Premium CPD Attainment
Symbol – (“Silver Symbol”)

持續專業進修計劃優越嘉許獎章
— 金章
Gold Premium CPD Attainment
Symbol – (“Gold Symbol”)

地產代理商舖專業進修嘉許獎章
CPD Mark for Estate Agencies

* 每個持續專業進修時段為期12個月，由每年10月1日起至翌年9月30日止。

* Each CPD period shall be a 12-month period commencing 1 October each year and ending on 30 September the following year.

持續專業進修活動的統計數字

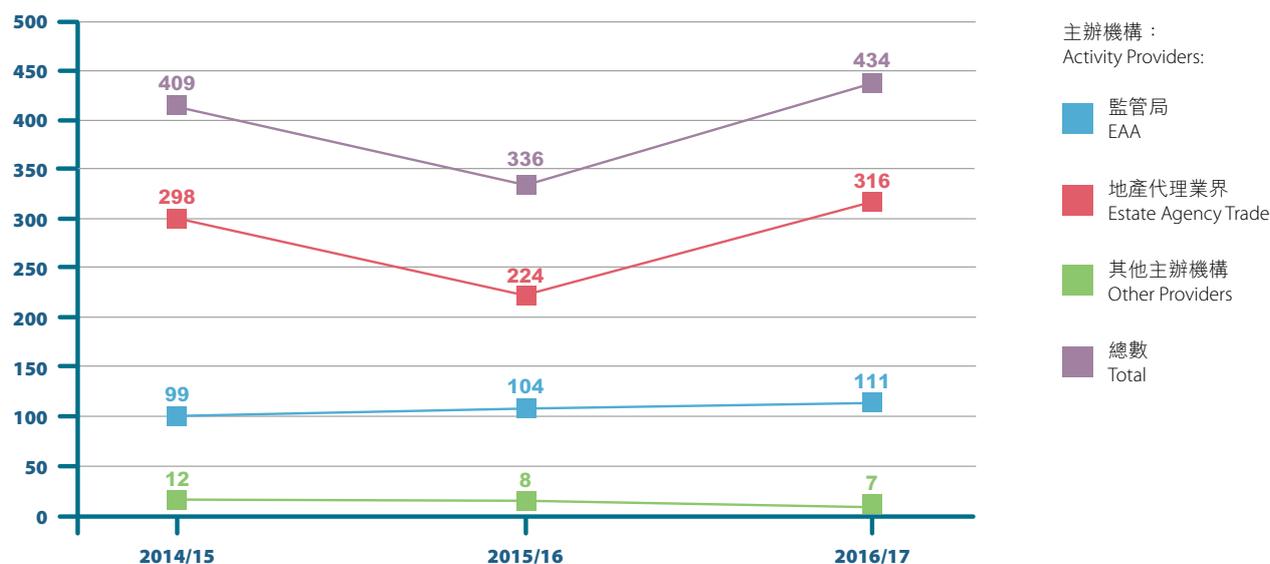
年內，各主辦機構(包括監管局當局、地產代理業界及來自教育機構與專業團體的其他主辦機構)合共舉辦了434場持續專業進修活動，吸引26,552人次參加，共取得52,763個持續專業進修學分。在434場活動中，111場(佔活動總數的26%)由監管局舉辦，參與人次為15,747人(約佔總參與人次的59%)。

Statistics of CPD Activities

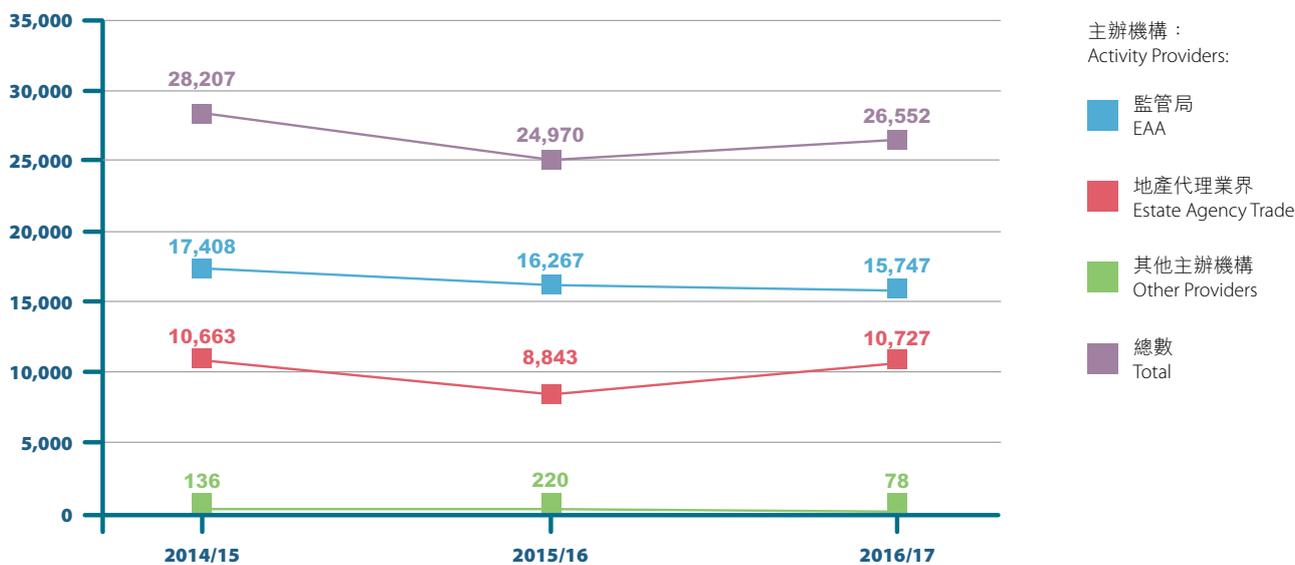
During the year, 434 CPD activities were organised by various activity providers, including the EAA itself, the estate agency trade and other activity providers from educational institutions and professional bodies. In total, there were 26,552 enrolments with 52,763 CPD points attained. Among the 434 activities, 111 (26% of the total number of activities) were organised by the EAA with 15,747 enrolments (about 59% of total enrolments).

過往三年的持續專業進修活動 CPD Activities in the Past Three Years

活動數目
Number of Activities



參與人次
Number of Enrolments



維護專業水平

Upholding the Professional Standard

局方邀請專業團體及監管機構的代表向地產代理從業員主講講座。

Representatives of professional associations and regulatory bodies are invited to give talks to the estate agency practitioners.



監管局舉辦之持續專業進修活動摘要

地產代理監管局實務證書課程

為使持牌人掌握地產代理有效執業所需的實用及法律知識，監管局推出了全新的結構性課程，名為「地產代理監管局實務證書課程」。年內，監管局就結構性課程舉辦了10個課程，吸引1,339人次參加。所提供的課程以地產代理工作流程為主，讓參加者掌握有關恰當執業的實務知識。全新設計的課程及互動活動加強了參加者對物業交易之法律及監管要求的了解，這對他們的日常工作至為重要。此外，講師生動的講解使學習更富趣味和有效。鑑於參加者反應良好，監管局將定期為持牌人提供此結構性課程。

Highlights of CPD Activities Organised by the EAA

EAA's Certificate Programme in Practice

To equip the licensees with necessary practical and legal knowledge for effective estate agency practices, the EAA developed a new structured programme titled "EAA's Certificate Programme in Practice". During the year, 10 classes of the structured programme were held and they attracted 1,339 enrolments. The delivery of the programme was oriented towards estate agents' workflow, which equipped participants with practical knowledge for proper practice. The newly designed classes and interactive exercises enhanced the participants' understanding of legal and regulatory requirements of property transactions, which is of vital importance to their daily work. Moreover, the instructors' lively and vivid presentations and explanations made the learning more interesting and effective. In light of the positive responses from the participants, the structured programme will be offered to the licensees on a regular basis.

專業團體及監管機構代表主講的講座

為使監管局所提供的持續專業進修活動更多元化，監管局邀請專業團體及監管機構的代表向地產代理從業員主講講座。年內，監管局與多個專業團體及監管機構合作舉辦了35場持續專業進修活動，包括特許公認會計師公會、競爭事務委員會、平等機會委員會、香港綠色建築議會、入境事務處、香港營造師學會、香港測量師學會、地政總署、香港按揭證券有限公司、個人資料私隱專員公署、香港警務處、英國皇家特許測量師學會，以及證券及期貨事務監察委員會。據觀察所得，持牌人在追求其他學科或其他專業範疇上的知識有所提高。

提升專業操守的持續專業進修活動

為加強持牌人對誠信及專業操守的重視性，監管局與廉政公署、保安局禁毒處及聯合財富情報組合辦了多場持續專業進修活動。年內，局方合共舉行了七場活動，以提醒持牌人注意打擊洗黑錢、防止賄賂、妥善管治及有效內部監控的相關法例。

網上學習

除面授的持續專業進修活動外，持牌人亦可選擇隨時隨地參與網上持續專業進修活動，為他們提供另一個學習渠道以增進其執業知識。年內，監管局在「網上學習活動」的平台上新增了四個網上學習活動。從監管局網上學習活動的參與人次佔所有監管局持續專業進修活動參與人次的比例來看，愈來愈多持牌人視網上學習活動為另一選擇。

Talks Given by Representatives of Professional Associations and Regulatory Bodies

In order to enrich the EAA's CPD offerings, representatives of professional associations and regulatory bodies were invited to give talks to the estate agency practitioners. During the year, 35 CPD activities were organised in collaboration with various professional associations and regulatory bodies namely: Association of Chartered Certified Accountants; Competition Commission; Equal Opportunities Commission; The Hong Kong Green Building Council; Immigration Department; the Hong Kong Institute of Construction Managers; The Hong Kong Institute of Surveyors; the Lands Department; The Hong Kong Mortgage Corporation Limited; Office of the Privacy Commissioner for Personal Data; The Hong Kong Police Force; Royal Institution of Chartered Surveyors; and Securities and Futures Commission. It has been observed that the licensees' quest for knowledge of other disciplines or other professions has been intensifying.

CPD Activities for Promotion of Professional Ethics

To highlight the importance of integrity and ethical practices to the licensees, CPD activities were jointly organised by the EAA, the Independent Commission Against Corruption, the Narcotics Division of the Security Bureau and the Joint Financial Intelligence Unit. During the year, seven activities were held to draw licensees' attention to legislations in relation to anti-money laundering, corruption prevention, proper governance and effective internal control.

e-Learning

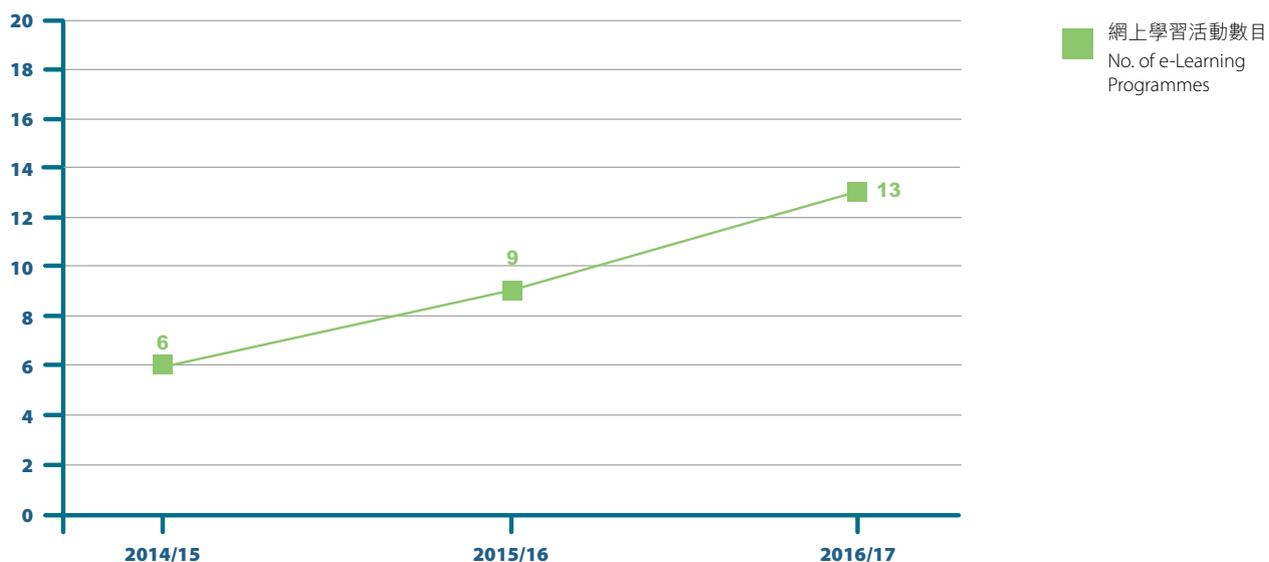
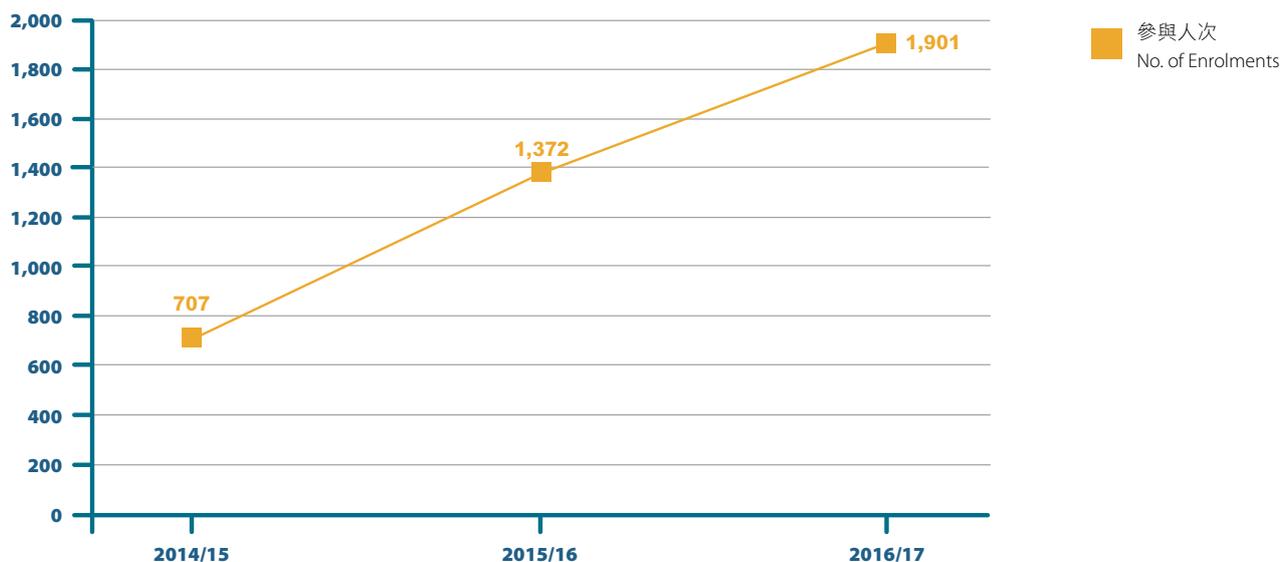
In addition to face-to-face CPD activities, the licensees are provided a learning alternative by undertaking online CPD activities at anytime and anywhere to enhance their competence for effective practices. During the year, the EAA added four new e-Learning programmes to its e-Learning platform. As from the number of enrolments of EAA's e-Learning programmes as a percentage of the total number of enrolments of all EAA's CPD activities, it is shown that the licensee's reliance of e-Learning as an alternative of face-to-face CPD activities has been growing.

維護專業水平

Upholding the Professional Standard

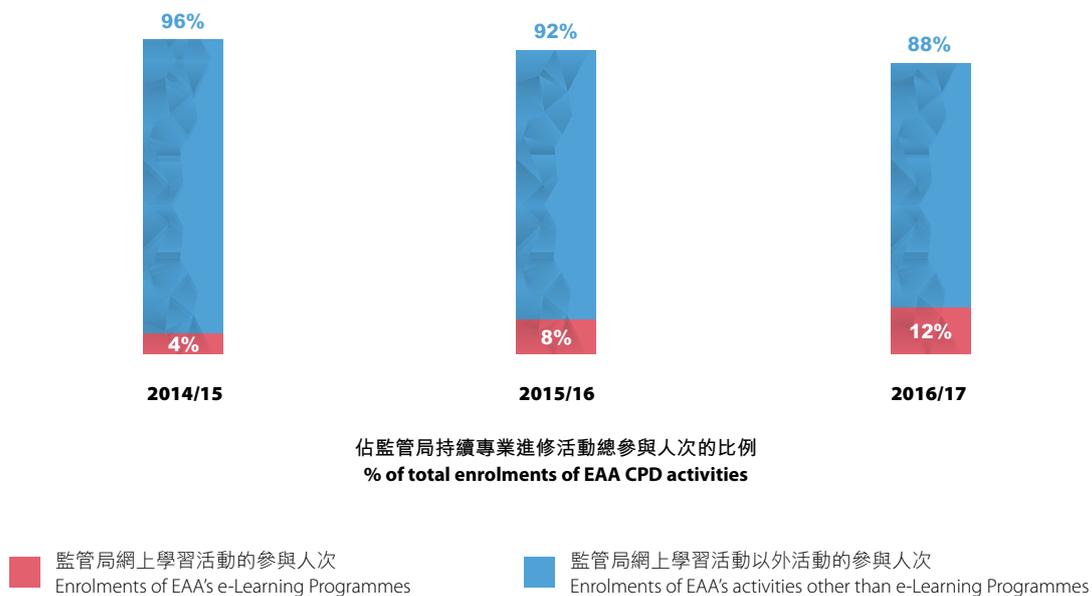
監管局網上學習活動的參與人次

Number of Enrolments of EAA's e-Learning Programmes



監管局網上學習活動的參與人次佔所有監管局持續專業進修活動參與人次的比例

Number of Enrolments of EAA's e-Learning Programmes as a Percentage of Enrolments of All EAA's CPD Activities



活動後申請獲承認為持續專業進修活動

過往，主辦機構在舉辦其培訓活動前須事先向監管局作出申請，以獲局方承認為持續專業進修計劃下的活動。為鼓勵主辦機構舉辦更多培訓活動及更具彈性，自2016年10月1日起，主辦機構可就已舉辦的活動向監管局提交認可申請成為持續專業進修活動。換言之，主辦機構今後可於活動舉行前或後向局方申請成為持續專業進修計劃的活動。該新措施深受主辦機構歡迎，局方在年內共收到11項的相關申請。

Post-event Applications for Recognition of Activities under the CPD Scheme

In the past, activity providers need to make applications to the EAA prior to their training activities for recognition of the activities under the CPD Scheme. To encourage the activity providers to organise more training activities which are recognised under the CPD Scheme and offer the activity providers more flexibilities in arranging CPD activities which are topical in nature, with effect from 1 October 2016, post-event applications for recognition of CPD activities are also allowed i.e. applications for recognition of activities under the CPD Scheme can now be made before or after the activities are held. This new initiative was well received by the activity providers and 11 post-event applications for recognition of CPD activities were made during the year.