

Received on:

Acknowledged on:

Application no:

SAMPLE
ONLY

Certification Application Form for Certified Operational Risk Management Professional (CORP)

Important notes:

1. The application is only for the **Relevant Practitioner** engaged by an Authorized Institutions (AIs) at the time of application **ONLY**.
2. Read carefully the Guidelines of Certification Application for CORP (ORM-G-008) **BEFORE** completing this application form.
3. Only completed application form with all valid supporting documents, including the HR verification forms, will be processed.

Section A: Personal Particulars ¹

Title: <input type="checkbox"/> Mr <input checked="" type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof	HKIB Member: <input type="checkbox"/> Yes _____ <input type="checkbox"/> No <small>(Membership No.)</small>	
Name in English ² : <div style="text-align: center; font-size: 1.2em;">Wong Siu Man</div> <small>(Surname) (Given Name)</small>	Name in Chinese ² : <div style="text-align: center; font-size: 1.2em;">黃小敏</div>	
HKID/ Passport Number: Y111222(3)	Date of Birth: (DD/MM/YYYY) 31/12/1975	
Contact information		
Mobile Phone Number.: (Area Code) 9222-9222	(Primary) Email Address ³ : <div style="text-align: right; font-size: 1.1em;">siumanwong@gmail.com</div> (Secondary) Email Address: <div style="text-align: right; font-size: 1.1em;">marywong@abc.com</div>	
Correspondence Address: <div style="text-align: center; font-size: 1.1em;">Flat 8, 18/F, Block A, Health Garden, North Point, Hong Kong</div>		
Employment information		
Name of Current Employer: <div style="text-align: center; font-size: 1.1em;">ABC Bank</div>	Office Telephone Number: <div style="text-align: center; font-size: 1.1em;">(Area Code) 2211-2211</div>	
Position/ Job Title: <div style="text-align: center; font-size: 1.1em;">Assistant Vice President</div>	Department: <div style="text-align: center; font-size: 1.1em;">Operational Risk Department</div>	
Office Address ⁴ : <div style="text-align: center; font-size: 1.1em;">8/F, ABC Bank Tower, 8 Garden Road, Central</div>		
Academic and Professional Qualifications		
Highest Academic Qualification Obtained: <div style="text-align: center; font-size: 1.1em;">MSc in Data Analyst</div>	University/ Tertiary Institution: <div style="text-align: center; font-size: 1.1em;">Oxford University</div>	Date of Award: <div style="text-align: center; font-size: 1.1em;">07/2003</div>
Other Professional Qualifications: <div style="text-align: center; font-size: 1.1em;">N.A.</div>	Professional Bodies: <div style="text-align: center; font-size: 1.1em;">N.A.</div>	

¹ Put a "✓" in the appropriate box(es).

² Information as shown on identity document

³ All the HKIB communication will be sent to the Primary Email Address

⁴ Provide if not the same as the correspondence address above

Section B: Application Types

CORP Certification Application
<p>Eligibility:</p> <ul style="list-style-type: none"> • Successfully completed the professional level training module (Module 4) of ECF on Operational Risk Management and obtained a pass in the relevant examination of the module on top of the Core Level qualification; and • Possessing at least 5 years' relevant work experience in operational risk management, business function risk and control, and/or internal audit (related to operational risk management and controls within an AI); and • Employed by an AI at the time of application.

Section C: Relevant Employment History

List all the relevant employment history in the operational risk management or related function in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires a separate HR Verification Annex (AORP) for Core Level / (CORP) for Professional Level.

Job Number	Employer	Position	Employment Period for the position (DD/MM/YYYY)
Current	ABC Bank	Assistant Vice President	From 01/01/2020 To 31/12/2022 or current
Job 2	BCB Bank	Senior Manager	From 01/01/2014 To 31/12/2019
Job 3			From To
Job 4			From To
Job 5			From To
Job 6			From To

Total relevant work experience: 9 year(s) --- month(s)
Total number of HR Verification Annex (AORP) / (CORP) submitted: 2

Section D: Declaration related to Disciplinary Actions, Investigations for Non-compliance and Financial Status

Put a “✓” in the appropriate box(es). If you have answered “Yes” to any of the questions, provide details by attaching all relevant documents relating to the matter(s).

1. Have you ever been reprimanded, censured, disciplined by any professional or regulatory authority?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
2. Have you ever had a record of non-compliance with any non-statutory codes, or been censured, disciplined or disqualified by any professional or regulatory body in relation to your profession?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Have you ever been investigated about offences involving fraud or dishonesty or adjudged by a court to be criminally or civilly liable for fraud, dishonesty or misfeasance?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
4. Have you ever been refused or restricted from the right to carry on any profession for which a specific license, registration or other authorization is required by law?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Section E: Payment

Payment amount	
1st Year Certification Fee for CORP (<i>valid until 31 December 2023</i>)	
<input checked="" type="checkbox"/> Not currently a HKIB member	HKD1,730
<input type="checkbox"/> <u>Current and valid</u> HKIB Ordinary member	HKD600
<input type="checkbox"/> <u>Current and valid</u> HKIB Professional member	Waived
<input type="checkbox"/> <u>Current and valid</u> Senior member	HKD1,530
<input type="checkbox"/> HKIB Default member	HKD3,730*
Total amount: HKD <u>1,730</u>	
<i>*HKD2,000 reinstatement fee + HKD1,730 certification fee</i>	
Payment method	
<input checked="" type="checkbox"/> Paid by Employer	
<input type="checkbox"/> Company cheque (cheque no: _____)	
<input checked="" type="checkbox"/> Company invoice (Filled by HKIB)	
<input type="checkbox"/> A cheque/ e-Cheque made payable to “The Hong Kong Institute of Bankers” (cheque no. _____). For e-Cheque, please state “CORP Certification” under ‘remarks’ and email together with the completed application form to cert.gf@hkib.org .	
<input type="checkbox"/> Credit card	
<input type="checkbox"/> Visa	
<input type="checkbox"/> Master	
Card no:	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Expiry date (MM / YY):	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>
Name of Cardholder (as on credit card):	_____
Signature (as on credit card):	_____

Section F: Privacy Policy Statement

It is our policy to meet fully the requirements of the Personal Data (Privacy) Ordinance. HKIB recognises the sensitive and highly confidential nature of much of the personal data of which it handles, and maintains a high level of security in its work. HKIB does its best to ensure compliance with the Ordinance by providing guidelines to and monitoring the compliance of the relevant parties.

For more details, please refer to this [Privacy Policy Statement](#) or contact us at the address and telephone number below:

The Hong Kong Institute of Bankers

3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong

Tel.: (852) 2153 7800

Fax: (852) 2544 9946

Email: cs@hkib.org

The HKIB would like to provide the latest information to you via weekly eNews. If you do not wish to receive it, please tick the box.

Section G: Acknowledgement and Declaration

- I declare that all information I have provided in this form is true and correct.
- I understand that the fees paid are non-refundable and non-transferable.
- I authorize the HKIB to obtain the relevant authorities to release, any information about my qualifications and/ or employment as required for my application.
- I acknowledge that the HKIB has the right to withdraw approval of grandfathering and/ or certification status if I do not meet the requirements. I understand and agree that the HKIB may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary actions for any misrepresentation (whether fraudulent and otherwise) in this application.
- I confirm that I have read and understood the [Privacy Policy Statement](http://www.hkib.org) set out on the HKIB website at <http://www.hkib.org>, and consent to the terms set out therein. I also understand that the Institute will use the information provided and personal data collected for administration and communication purposes.
- I have read and agreed to comply with the “Guidelines of Certification Application for CORP” (ORM-G-008).

Document Checklist

To facilitate the application process, please check the following items before submitting to the HKIB. Failure to submit the documents may cause delays or termination of application. Please “✓” the appropriate box(es).

- All necessary fields on this application form filled in including your signature
- Completed form(s) of HR Verification Annex fulfilling the requirements as stipulated for certification application
- Certified true copies of your HKID/ Passport⁵
- Payment or evidence of payment enclosed (e.g. cheque or completed Credit Card Payment Instructions)

⁵ Submitted copies of documents to the HKIB must be certified as true copies of the originals by:

- The HKIB staff; or
- HR/ authorized staff of current employer (Authorized Institution); or
- A recognized certified public accountant/ lawyer/ banker/ notary public; or
- Associateship/Fellowship of Chartered Governance Hong Kong.

Certifier must sign and date the copy document (printing his/ her name clearly in capital letter underneath) and clearly indicate his/ her position on it. Certifier must state that it is a true copy of the original (or words to similar effect).

Mary Wong

01/01/2023

Signature of Applicant

Date

(Name: Wong Siu Man)

Certification Application Form for Certified Operational Risk Management Professional (CORP)

HR Department Verification Form (Professional Level) on Key Roles/ Responsibilities for ORM Practitioner

(For middle-level and senior positions in the risk management function with 5+ years of experience)

Important notes:

1. All information filled in including company chop must be true and original.
2. Fill in **ONE complete HR Verification Annex form for EACH relevant position/ functional title** in your application. A complete form should contain p.1-6. You can make copies of HR Verification Annex (CORP) (p.AP1-AP4).
3. Use BLOCK LETTERS to complete HR Verification Annex (CORP).

Employment Information	
Name of the applicant:	Wong Siu Man
HKID/ passport number:	Y111222(3)
Job number (as stated in Section C):	Current Job no:
Position/ functional title:	Assistant Vice President
Name of employer:	ABC Bank
Business division/ department:	Operational Risk Department
Employment period of the <u>stated</u> functional title/ position: <i>(DD/ MM/ YYYY)</i>	From: 01/01/2020 To: 31/12/2022 or current
Key roles/ responsibilities in relation to the <u>stated</u> functional title/ position: <i>(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)</i>	<input checked="" type="checkbox"/> Role 1 – Operational Risk Management <i>(fill in p.AP2-3)</i> <input type="checkbox"/> Role 2 – Business Function Risk and Control <i>(fill in p.AP3-4)</i>
Total number of years and months of carrying “Role 1” or “Role 2” function in the <u>stated</u> position	3 _____ years _____ months

Tick the appropriate key roles/ responsibilities in relation to your functional title/ position stated on p.AP1 of HR Verification Annex (CORP).

Key Roles/ Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> Role 1 – Operational Risk Management	
1. Manage operational risks and formulate, review and update operational risk policies, guidelines, processes and procedures throughout the AI	✓
2. Develop and review comprehensive policies and procedures for crisis management, including but not limited to factors triggering a crisis, escalation mechanisms, involvement of relevant functions, and external and internal approaches to handling the crisis	✓
3. Initiate, manage and execute risk governance, internal controls and processes with the overall objective of operational risk management, control awareness and enhancement to operational efficiency. Ensure full compliance with policies and regulatory requirements	✓
4. Maintain oversight and monitoring of the operational risk management system and the quality of the generated operational loss data	✓
5. Conduct operational risk control self-assessments (i.e. bottom up process to identify and evaluate risks and associated controls), or analyse and challenge the self-assessment results if the self-assessments are conducted by Role 2 (whichever is applicable)	✓
6. Conduct operational risk assessments to identify, assess, review, monitor and mitigate operational risks (i.e. top down assessment of the inherent risk and any controls that may exist in all existing or new material products, processes and systems) based on the AI's own defined operational risk strategy and risk appetite	✓
7. Perform both qualitative and quantitative monitoring and reporting of the AI's exposure to all types of operational risk, including trend analysis of risk profiles and review of the limits of operational risk regulatory and economic capital	
8. Identify compliance and internal control issues	✓
9. Execute operational risk monitoring duties and escalate incidents and operational risk events to senior management	
10. Report to senior management the proposed remedial actions of operational risk assessments and monitor the ongoing progress of remedial actions	
11. Report and escalate operational risk events/ incidents in a timely manner and monitor issue resolution to ensure timely responses are provided	✓
12. Compile operational risk reports, dashboards and metrics for management reporting	
13. Undertake scenario analysis/ assessment to identify potential operational losses and monitor operational risk profiles and material exposures to losses on an on-going basis	✓
14. Develop and evaluate effectiveness of business continuity and disaster recovery strategy	

Key Roles/ Responsibilities	Please “✓” where appropriate
15. Provide practical recommendations on the remedial actions to be taken to address operational risk events, assess the quality and appropriateness of remedial actions identified and seek to improve the overall operational risk management process for the AI	✓
16. Manage completion of follow-up actions (e.g. further investigation) relating to operational risk events identified during the operational risk assessment process	✓
17. Conduct operational due diligence to ensure that operational risk management has been appropriately considered and implemented for new products and services, including thematic reviews of operational risk management	
18. Advise business units on operational risk management issues	✓
19. Undertake consistent liaison and collaboration with: <ul style="list-style-type: none"> • Internal departments such as legal, human resources, information technology and finance on operational risk related topics • Operational risk management subject matter experts (e.g. IT, Conduct, Fraud, Outsourcing, Data Privacy) • Internal audit and external audit 	✓
20. Promote positive risk culture and risk awareness across the AI	✓
21. Conduct training sessions on operational risk for staff, including content review and training delivery	
<input type="checkbox"/> Role 2 – Business Function Risk and Control	
1. Conduct operational risk control self-assessments within business functions (i.e. bottom up process to identify and evaluate risks and associated controls), where applicable	
2. Conduct operational risk assessments to identify, assess, review, monitor and mitigate operational risks within the business function (i.e. top down assessment of the inherent risk and any controls that may exist)	
3. Implement operational risk management and control strategies within the business function as set out by the AI’s global risk and compliance functions. Ensure full compliance with policies and regulatory requirements	
4. Analyse business impact of different kinds of disasters or crisis	
5. Implement and maintain operational risk tools, dashboards and metrics to identify, analyse and mitigate operational risk within the business function	
6. Develop operational risk control measures	
7. Assist management in maintaining oversight on key operational risks, controls and enhancement initiatives and ensure effective and efficient internal controls and practices are in place	
8. Facilitate the testing of relevant controls as a part of the annual test plan and business continuity plan when required	
9. Identify compliance and internal control issues within business functions	
10. Conduct operational risk monitoring duties and escalate incidents and risk events to operational risk management unit and senior management	

Key Roles/ Responsibilities	Please "✓" where appropriate
11. Report to senior management and operational risk management unit the progress of remedial actions of operational risk assessments	
12. Report and escalate operational risk events/ incidents within business functions in a timely manner and monitor issue resolution to ensure timely responses are provided	
13. Manage and provide oversight of completion of follow-up and remedial actions (e.g. further investigation) relating to operational risk events identified during the operational risk assessment process	
14. Assist management in maintaining oversight on key operational risks, controls and enhancement initiatives and ensure effective and efficient internal controls and practices are in place	
15. Liaise and coordinate with other control functions on standards and regulatory interpretation, and operational risk and control activities	
16. Monitor completion of follow-up and remedial actions relating to operational risk incidents and events	
17. Monitor and review the limits of operational risk regulatory and economic capital	
18. Promote positive risk culture and risk awareness in different business units	
19. Play an active role in training sessions on operational risk for staff, including content review and training delivery	

Verification by HR Department

The employment information provided by the applicant in this form has been verified to be consistent with the information on the applicant that is retained by the HR department of the applicant's employer (where the organisation has a record of this information).

Jimmy Wong 

01/02/2023

Signature & Company Chop

Date

Name : Jimmy Wong
 Department : Human Resources
 Position : Head of HR

Certification Application Form for Certified Operational Risk Management Professional (CORP)

HR Department Verification Form (Professional Level) on Key Roles/ Responsibilities for ORM Practitioner

(For middle-level and senior positions in the risk management function with 5+ years of experience)

Important notes:

1. All information filled in including company chop must be true and original.
2. Fill in **ONE complete HR Verification Annex form for EACH relevant position/ functional title** in your application. A complete form should contain p.1-6. You can make copies of HR Verification Annex (CORP) (p.AP1-AP4).
3. Use BLOCK LETTERS to complete HR Verification Annex (CORP).

Employment Information	
Name of the applicant:	Wong Siu Man
HKID/ passport number:	Y111222(3)
Job number (as stated in Section C):	Current/ Job no: 2
Position/ functional title:	Senior Manager
Name of employer:	BCB Bank
Business division/ department:	Operational Risk Department
Employment period of the <u>stated</u> functional title/ position: <i>(DD/ MM/ YYYY)</i>	From: 01/01/2014 To: 31/12/2019
Key roles/ responsibilities in relation to the <u>stated</u> functional title/ position: <i>(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)</i>	<input checked="" type="checkbox"/> Role 1 – Operational Risk Management <i>(fill in p.AP2-3)</i> <input type="checkbox"/> Role 2 – Business Function Risk and Control <i>(fill in p.AP3-4)</i>
Total number of years and months of carrying “Role 1” or “Role 2” function in the <u>stated</u> position	6 _____ years _____ months

Tick the appropriate key roles/ responsibilities in relation to your functional title/ position stated on p.AP1 of HR Verification Annex (CORP).

Key Roles/ Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> Role 1 – Operational Risk Management	
1. Manage operational risks and formulate, review and update operational risk policies, guidelines, processes and procedures throughout the AI	✓
2. Develop and review comprehensive policies and procedures for crisis management, including but not limited to factors triggering a crisis, escalation mechanisms, involvement of relevant functions, and external and internal approaches to handling the crisis	
3. Initiate, manage and execute risk governance, internal controls and processes with the overall objective of operational risk management, control awareness and enhancement to operational efficiency. Ensure full compliance with policies and regulatory requirements	✓
4. Maintain oversight and monitoring of the operational risk management system and the quality of the generated operational loss data	
5. Conduct operational risk control self-assessments (i.e. bottom up process to identify and evaluate risks and associated controls), or analyse and challenge the self-assessment results if the self-assessments are conducted by Role 2 (whichever is applicable)	✓
6. Conduct operational risk assessments to identify, assess, review, monitor and mitigate operational risks (i.e. top down assessment of the inherent risk and any controls that may exist in all existing or new material products, processes and systems) based on the AI's own defined operational risk strategy and risk appetite	✓
7. Perform both qualitative and quantitative monitoring and reporting of the AI's exposure to all types of operational risk, including trend analysis of risk profiles and review of the limits of operational risk regulatory and economic capital	
8. Identify compliance and internal control issues	✓
9. Execute operational risk monitoring duties and escalate incidents and operational risk events to senior management	
10. Report to senior management the proposed remedial actions of operational risk assessments and monitor the ongoing progress of remedial actions	✓
11. Report and escalate operational risk events/ incidents in a timely manner and monitor issue resolution to ensure timely responses are provided	
12. Compile operational risk reports, dashboards and metrics for management reporting	
13. Undertake scenario analysis/ assessment to identify potential operational losses and monitor operational risk profiles and material exposures to losses on an on-going basis	✓
14. Develop and evaluate effectiveness of business continuity and disaster recovery strategy	✓

Key Roles/ Responsibilities	Please “✓” where appropriate
15. Provide practical recommendations on the remedial actions to be taken to address operational risk events, assess the quality and appropriateness of remedial actions identified and seek to improve the overall operational risk management process for the AI	
16. Manage completion of follow-up actions (e.g. further investigation) relating to operational risk events identified during the operational risk assessment process	✓
17. Conduct operational due diligence to ensure that operational risk management has been appropriately considered and implemented for new products and services, including thematic reviews of operational risk management	
18. Advise business units on operational risk management issues	✓
19. Undertake consistent liaison and collaboration with: <ul style="list-style-type: none"> • Internal departments such as legal, human resources, information technology and finance on operational risk related topics • Operational risk management subject matter experts (e.g. IT, Conduct, Fraud, Outsourcing, Data Privacy) • Internal audit and external audit 	✓
20. Promote positive risk culture and risk awareness across the AI	
21. Conduct training sessions on operational risk for staff, including content review and training delivery	
<input type="checkbox"/> Role 2 – Business Function Risk and Control	
1. Conduct operational risk control self-assessments within business functions (i.e. bottom up process to identify and evaluate risks and associated controls), where applicable	
2. Conduct operational risk assessments to identify, assess, review, monitor and mitigate operational risks within the business function (i.e. top down assessment of the inherent risk and any controls that may exist)	
3. Implement operational risk management and control strategies within the business function as set out by the AI’s global risk and compliance functions. Ensure full compliance with policies and regulatory requirements	
4. Analyse business impact of different kinds of disasters or crisis	
5. Implement and maintain operational risk tools, dashboards and metrics to identify, analyse and mitigate operational risk within the business function	
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7. Assist management in maintaining oversight on key operational risks, controls and enhancement initiatives and ensure effective and efficient internal controls and practices are in place	
8. Facilitate the testing of relevant controls as a part of the annual test plan and business continuity plan when required	
9. Identify compliance and internal control issues within business functions	
10. Conduct operational risk monitoring duties and escalate incidents and risk events to operational risk management unit and senior management	

Key Roles/ Responsibilities	Please "✓" where appropriate
11. Report to senior management and operational risk management unit the progress of remedial actions of operational risk assessments	
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13. Manage and provide oversight of completion of follow-up and remedial actions (e.g. further investigation) relating to operational risk events identified during the operational risk assessment process	
14. Assist management in maintaining oversight on key operational risks, controls and enhancement initiatives and ensure effective and efficient internal controls and practices are in place	
15. Liaise and coordinate with other control functions on standards and regulatory interpretation, and operational risk and control activities	
16. Monitor completion of follow-up and remedial actions relating to operational risk incidents and events	
17. Monitor and review the limits of operational risk regulatory and economic capital	
18. Promote positive risk culture and risk awareness in different business units	
19. Play an active role in training sessions on operational risk for staff, including content review and training delivery	

Verification by HR Department

The employment information provided by the applicant in this form has been verified to be consistent with the information on the applicant that is retained by the HR department of the applicant's employer (where the organisation has a record of this information).

Jimmy Wong 

01/01/2023

Signature & Company Chop

Date

Name : Jimmy Wong
 Department : Human Resources
 Position : Head of HR

Authorization for Disclosure of Personal Information to a Third Party

Wong Siu Man

I, _____, (*name of applicant*) hereby authorize The Hong Kong Institute of Bankers (HKIB) to disclose my results and progress of the “Grandfathering/Examination/Certification/Exemption results for ECF on ORM (Professional Level)” to _____ (*applicant’s bank name*) for HR and Internal Record.

Signature:

Mary Wong

HKIB Membership No./ HKID No.*:

Y111222(3)

Date:

01/01/2023

Contact No.:

(Area Code) 9222-9222

**The HKIB Membership No./ HKID No. is needed to verify your identity. We may also need to contact you concerning the authorization.*

Important notes:

1. Personal information includes but not limited to grandfathering/examination/certification/exemption results of a module/ designation and award(s) achieved.
2. Original copy of this signed authorization form must be submitted to the HKIB. Electronic or photocopied signatures are not acceptable.
3. Applicant may rescind or amend consent in writing to the HKIB at any time, except where action has been taken in reliance of this authorization.