

Received on: **SAMPLE**
Acknowledged on: **ONLY**
Application no:

Certification Application Form for Associate Operational Risk Management Professional (AORP)

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 AORP (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 Particulars¹

Title: <input checked="" type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof	HKIB Member: <input type="checkbox"/> Yes _____ <input type="checkbox"/> No (Membership No.)
Name in English ² : CHAN Tai Man <small>(Surname) (Given Name)</small>	Name in Chinese ² : 陳大文
HKID/ Passport Number: A123456(7)	Date of Birth: (DD/ MM/ YYYY) 14/02/1980
Contact information	
Mobile Phone Number: (Area Code) 9292-9292	(Primary) Email Address ³ : taimanchan@gmail.com (Secondary) Email Address: peterchan@abc.com
Correspondence Address: Flat 8, 18/F, Block A, Hong Kong Garden, Wanchai, Hong Kong	
Employment information	
Name of Current Employer: ABC Bank	Office Telephone Number: (Area Code) 2121-2121
Position/ Job Title: Officer	Department: Operational Risk Department
Office Address: ⁴ 8/F, ABC Bank Tower, 8 Garden Road, Central	
Academic and Professional Qualification	
Highest Academic Qualification Obtained: MSc in System Analyst	University/ Tertiary Institution: University of Hong Kong
Other Professional Qualifications: N.A.	Date of Award: 07/2008
Professional Bodies: N.A.	

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

AORP Certification Application
<p>Eligibility:</p> <ul style="list-style-type: none"> Successfully completed the training modules and pass the examination or with relevant approved exemption for the Core Level (Modules 1 to 3 of ECF on Operational Risk Management); 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.

Job Number	Employer	Position	Employment Period for the position (DD/MM/YYYY)
Current	ABC Bank	Officer	From 01/01/2018 To 31/12/2022 or current
Job 2			From To
Job 3			From To
Job 4			From To

Total relevant work experience: 5 year(s) --- month(s)
Total number of HR Verification Annex (AORP) submitted: 1

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											
<p>1st Year Certification Fee for AORP (<i>valid until 31 December 2023</i>)</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 80%;"><input checked="" type="checkbox"/> Not currently a HKIB member</td> <td style="width: 20%; text-align: right;">HKD1,730</td> </tr> <tr> <td><input type="checkbox"/> <u>Current and valid</u> HKIB Ordinary member</td> <td style="text-align: right;">HKD600</td> </tr> <tr> <td><input type="checkbox"/> <u>Current and valid</u> HKIB Professional member</td> <td style="text-align: right;">Waived</td> </tr> <tr> <td><input type="checkbox"/> <u>Current and valid</u> Senior member</td> <td style="text-align: right;">HKD1,530</td> </tr> <tr> <td><input type="checkbox"/> HKIB Default member</td> <td style="text-align: right;">HKD3,730*</td> </tr> </table> <p style="text-align: right; margin-top: 10px;">Total amount: HKD \$1,730</p> <p style="text-align: right; font-size: small; margin-top: 5px;">*HKD2,000 reinstatement fee + HKD1,730 certification fee</p>		<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*
<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*										
Payment method											
<p><input checked="" type="checkbox"/> Paid by Employer</p> <p style="margin-left: 20px;"><input type="checkbox"/> Company cheque (cheque no: _____)</p> <p style="margin-left: 20px;"><input checked="" type="checkbox"/> Company invoice (Filled by HKIB)</p> <p><input type="checkbox"/> A cheque/ e-Cheque made payable to "The Hong Kong Institute of Bankers" (cheque no. _____). For e-Cheque, please state "AORP Certification" under "remarks" and email together with the completed application form to cert.gf@hkib.org.</p> <p><input type="checkbox"/> Credit card</p> <p style="margin-left: 20px;"><input type="checkbox"/> Visa</p> <p style="margin-left: 20px;"><input type="checkbox"/> Master</p> <p style="margin-top: 20px;">Card no: - - - </p> <p style="margin-top: 10px;">Expiry date (MM / YY): / </p> <p style="margin-top: 10px;">Name of Cardholder (as on credit card): _____</p> <p style="margin-top: 10px;">Signature (as on credit card): _____</p>											

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.*

FOR INSTITUTE USE ONLY

Received by: _____ (Staff Name) _____ (Date)

Assessed by: _____ (Staff Name) _____ (Date)

☐ Approved / ☐ Rejected by: _____ (Staff Name) _____ (Date)

Remarks: _____

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 AORP” (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).

Peter Chan

01/01/2023

Signature of Applicant

Date

(Name: Chan Tai Man)

Certification Application Form
for Associate Operational Risk Management Professional (AORP)
HR Department Verification Form on Key Roles/ Responsibilities for ORM Practitioner

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 completed application form should contain p.1-6. You can make sufficient copies of HR Verification Annex (AORP) (p.AC1-AC2).
3. Use BLOCK LETTERS to complete HR Verification Annex (AORP).

Employment Information	
Name of the applicant:	Chan Tai Man
HKID/ passport number:	A123456(7)
Job number (as stated in Section C):	Current/ Job no:
Position/ functional title:	Officer
Name of employer:	ABC Bank
Business division/ department:	Operational Risk Department
Employment period of the <u>stated</u> functional title/ position: (DD/ MM/ YYYY)	From: 01/01/2018 To: 31/12/2022 or current
Key roles/ responsibilities in relation to the <u>stated</u> functional title/ position: (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input checked="" type="checkbox"/> Role 1 – Operational Risk Management (fill in p.AC2) <input type="checkbox"/> Role 2 – Business Function Risk and Control (fill in p.AC2)
Total number of years and months of carrying “Role 1” or “Role 2” function in the <u>stated</u> position	5 --- _____ years _____ months

Tick the appropriate key roles/ responsibilities in relation to your functional title/ position stated on p.AC1 of HR Verification Annex (AORP).

Key Roles/ Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> Role 1 – Operational Risk Management OR <input type="checkbox"/> Role 2 – Business Function Risk and Control	
1. Assist in conducting operational risk monitoring duties (e.g. monitoring operational risk indicators), reviewing and updating operational risk policies, guidelines and procedures, and handling of operational risk events	✓
2. Assist in conducting operational risk control self-assessments (i.e. bottom up process to identify and evaluate risks and associated controls)	✓
3. Design and test controls on operational risks, with oversight and input from line managers	✓
4. Assist in performing operational risk assessments (i.e. top down assessment of the inherent risk and any controls that may exist)	✓
5. Assist in developing and implementing operational risk mitigation plans and in the roll-out of strategic level governance	
6. Assist in identifying compliance and internal control issues, and monitor the ongoing progress of remedial actions	✓
7. Assist in preparing operational risk reports, dashboards and metrics	
8. Assist in Assist in promoting positive risk culture and risk awareness across the AI/ within business units	✓
9. Assist in preparing training materials and organising training on operational risk for staff	

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 **ABC Bank**

01/01/2023

Signature & Company Chop

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

Date

Authorization for Disclosure of Personal Information to a Third Party

Chan Tai 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 (Core Level)” to _____ ABC Bank (*applicant’s bank name*) for HR and Internal Record.

Signature:

Peter Chan

HKIB Membership No./ HKID No.*:

A123456(7)

Date:

01/01/2023

Contact No.:

(Area Code) 9292-9292

**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.