

Section B: Certification Eligibility

Only applicants who fulfil the following criteria are eligible to apply. Please put a “✓” in the appropriate box:

- ☐ Have completed **Module 4** of the ECF on Operational Risk Management (Professional Level) training programme and passed the relevant examination on top of the Core Level qualification; or
- ☐ Possessing the ECF Affiliate of CORP designation;
- and
- Possessing **at least 5 years** of 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

Please 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. For Professional Level applications, a **separate HR Verification Annex (Professional Level)** form is required for each position listed.

Job Number	Employer	Position	Employment Period for the Position (DD/MM/YYYY)
Current			From To
Job 2			From To
Job 3			From To
Job 4			From To
Job 5			From To

Total relevant work experience: _____ Year(s) _____ Month(s)

Total number of **HR Verification Annex (Core Level)** form submitted: _____

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?	☐ Yes	☐ 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?	☐ Yes	☐ 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?	☐ Yes	☐ 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 authorisation is required by law?	☐ Yes	☐ No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	☐ Yes	☐ No

Section E: Payment

Payment Amount

Please indicate the fee by putting a "✓" in the appropriate box.

1st Year Certification Fee for CORP (Membership valid until 31 December 2027 ¹)

- | | |
|--|-----------------------|
| ☐ Not a HKIB member | HKD2,300 ² |
| ☐ <u>Current and valid</u> HKIB Ordinary Member | HKD2,300 ² |
| ☐ <u>Current and valid</u> HKIB Professional Member | Waived |

1. Current Professional Member excluded. Professional Member will be required to renew the membership for 2027.

2. The 1st Year Certification Fee includes a complimentary CPD course (up to 3 hours) that supports your professional growth and career progression. For more details of the CPD course, please contact our Customer Experience Team.

Payment Method

- ☐ Paid by Employer
- ☐ Company Cheque (Cheque No: _____)
- ☐ Company Invoice (_____)
- ☐ 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.

☐ Credit Card

- ☐ Visa
- ☐ Mastercard

Card No:

 -

 -

 -

Expiry Date (MM/YY):

 /

Name of Cardholder (as on credit card): _____

Signature of Cardholder (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 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 the [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

Use of Personal Data in Direct Marketing

I do not wish HKIB to use my personal data in direct marketing relating to HKIB's training programmes, examinations, professional qualifications, membership services, events, publications and professional development opportunities through the following channel(s) (please "✓" to select):

☐ Weekly E-News ☐ Email ☐ Telemarketing ☐ WhatsApp

Unless otherwise indicated above, HKIB may continue to use your personal data for direct marketing through the relevant communication channels in accordance with its Privacy Policy Statement.

Digital Credential Verification Preference

HKIB operates a Digital Credential System (DCS) that enables authorised employers and other authorised verification parties to verify professional qualifications and certifications awarded by HKIB. Unless you opt out below, HKIB will make the following credential information available through the DCS for credential verification purposes:

- Qualification achieved
- Certification status
- Award date
- Certification validity status

The purpose of this disclosure is to facilitate professional credential verification.

Please note that if you opt out, authorised verification parties may not be able to verify your HKIB credentials through the DCS. You may change your preference at any time through MyHKIB.

☐ I do not wish HKIB to disclose or verify my credential information through the DCS.

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, regardless of the final application result.
- I authorise HKIB to obtain from the relevant authorities any information about my qualifications and/ or employment as required for my application.
- I acknowledge that HKIB has the right to withdraw approval of the certification if I do not meet the requirements. I understand and agree that HKIB may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary action for any misrepresentation (whether fraudulent or 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 HKIB will use the information provided and personal data collected for administration and communication purposes.
- I have read and agree to comply with the “Guidelines of Certification Application for ECF on Operational Risk Management” (ORM-G-022).

Document Checklist

To facilitate the application process, please check the following items before submitting them to HKIB. Failure to submit the required 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 **HR Verification Annex (Professional Level)** form(s), fulfilling the requirements as stipulated for certification application
- ☐ Copy of your HKID/Passport
- ☐ Copy of your ECF-ORM examination result
- ☐ Payment or evidence of payment enclosed (e.g. cheque or completed Credit Card Payment Instructions)

Signature of Applicant

(Name:

)

Date

Certification Application Form
for ECF on Operational Risk Management (Professional Level)

HR Department Verification Form on Employment Information for ORM Practitioner

Important notes:

1. A completed Certification Application Form for ECF on Operational Risk Management (Professional Level) should include p.1-6 plus the relevant **HR Verification Annex (Professional Level)** form(s) (p.AP1-AP4).
2. Complete **ONE HR Verification Annex form for EACH relevant position/functional title** in your application. You may make additional copies of this blank form as required.
3. All information provided, including company chop, must be true and original.
4. Please complete this form in BLOCK LETTERS.

Employment Information	
Name of the Applicant:	
HKID/Passport Number:	
Job Number (as stated in Section C on p.2):	Current/Job no:
Position/Functional title:	
Name of Employer:	
Business Division/Department:	
Employment Period of the Stated Position /Functional Title: (DD/MM/YYYY)	From: To:
Key Roles/Responsibilities in Relation to the Stated Position/Functional Title: (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	☐ Role 1 – Operational Risk Management (fill in p.AP2-3) ☐ Role 2 – Business Function Risk and Control (fill in p.AP3-4)
Total Time Spent in the above Specified Functional Role(s) for the Stated Position	_____Year(s) _____Month(s)

Please declare the “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AP1 of this HR Verification Annex (Professional Level)** form by ticking the appropriate box(es).

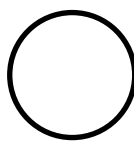
Key Roles/Responsibilities	Please “✓” where appropriate
☐ Role 1 – Operational Risk Management	
1. Manage operational risks and formulate, review and update operational risk policies, guidelines, processes and procedures throughout the AI	
2. Develop and review comprehensive policies and procedures for 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: - 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	
☐ 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 Bank.


Signature & Company Chop
Date

Name: _____

Department: _____

Position: _____

Authorisation for Disclosure of Personal Information to a Third Party

I, _____, *(name of applicant)* hereby authorise
The Hong Kong Institute of Bankers (HKIB) to disclose my results and/or progress of the
“Grandfathering/Examination/Certification/Exemption application for ECF-ORM (Professional Level)”
to any third party, including but not limited to my current employer and future employer(s), upon
request. HKIB shall try its best endeavours to ensure that the disclosure of the personal
information is proper and harmless to the applicant.

Signature

HKIB Membership No./HKID No.*

Date

Contact Phone No.

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

Important Notes:

1. Personal information includes, but is not limited to, grandfathering/examination/certification/exemption applications for a module/designation and award(s) achieved.
2. This authorisation form must be signed and submitted to HKIB.
3. Applicants may rescind or amend their consent in writing to HKIB at any time, except where action has been taken in reliance on this authorisation.