	(For office use only) Batch No:
香 港 銀 行 學 會 The Hong Kong Institute of Bankers	Received by and on:
	Membership status:

Grandfathering and/or Certification Application Form for ECF on ORM (Professional Level)

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 for ECF on Operational Risk Management (ORM) Grandfathering (ORM-G-007) or Guidelines for ECF on Operational Risk Management (ORM) Certification (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: ☐ Mr ☐ Ms ☐ Dr	HKIB Member: ☐ Yes _____ ☐ No *(Membership No.)*
Name in English: [2] *(Surname)* *(Given Name)*	Name in Chinese:
HKID / Passport Number*:*	Date of Birth: *(DD/MM/YYYY)*

Contact information	
Mobile Phone Number.:	(Primary) Email Address [3]: (Secondary) Email Address:
Correspondence Address:	

Employment information	
Name of Current Employer:	Office Telephone Number:
Position/ Job Title:	Department:
Office Address: [4]	
Total number of years in Operational Risk Management Function Position: _____ year(s) _____ month(s)	

Academic and Professional Qualifications		
Highest Academic Qualification Obtained:	University / Tertiary Institution:	Date of Award:
Other Professional Qualifications:	Professional Bodies:	

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[1] Put a "✓" in the appropriate box(es).
[2] Information as shown on identity document
[3] All HKIB communication will be sent to the Primary Email Address
[4] Provide if not the same as the correspondence address above

Section B: Indication of Application Types

Indicate one of <u>the three types and its respective option</u> of application by putting a "✓" in the appropriate box.

☐ **Type 1: Grandfathering Application for ECF on ORM (Professional Level) only**

Eligibility*: ☐ Option I:

- Possessing at least 8 years of relevant work experience in operational risk management, business function risk and control gained from AIs and/or non-bank financial institutions, and/or internal audit (related to operational risk management and controls within an AI), of which at least 3 years must be gained from Professional Level job roles within an AI; and

- Employed by an AI at the time of application.

☐ Option II:

- Completion of HKIB's Postgraduate Diploma for Certified Banker (Operations Management Stream); and

- Possessing at least 5 years of relevant work experience in operational risk management, business function risk and control gained from AIs and/or non-bank financial institutions, and/or internal audit (related to operational risk management and controls within an AI); and

- Employed by an AI at the time of application.

Application will be processed based on the option you chose.

and / or *

Please delete the inappropriate one.

☐ **Type 2: CORP Certification Application only**

Eligibility*: ☐ Option I: With grandfathered status of ECF on ORM (Professional Level) or

☐ Option II:

- Possessing at least 5 years of relevant work experience in operational risk management, business function risk and control gained from AIs and/or non-bank financial institutions, and/or internal audit (related to operational risk management and controls within an AI). The 5 years of relevant work experience should be accumulated within the 10 years immediately prior to the date of application for certification which does not need to be continuous.
- Completion of HKIB's Professional Certificate for ECF on Operational Risk Management

Application will be processed based on the option you chose.

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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 (Core/ Professional Level).

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
Job 6			from to
Job 7			from to
Job 8			from to
Job 9			from to

Total relevant work experience: _____ year(s) _____ month(s)

Total number of HR Verification Annex (Core/ Professional Level) 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 authorization 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	
☐ Grandfathering application (Professional Level)	HKD1,050
☐ 1st Certification Fee for CORP *(valid until 31 December 2021)*	
☐ Not currently a HKIB member	HKD1,650
☐ <u>Current and valid</u> HKIB Ordinary member	HKD570
☐ <u>Current and valid</u> HKIB Professional member	Waived
☐ <u>Current and valid</u> Senior member	HKD1,450
☐ <u>Current and valid</u> Student member	HKD1,650
☐ HKIB Default member	HKD3,650*
Total amount: HKD _____	
*HKD2,000 reinstatement fee + HKD1,650 certification fee	

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 "ECF on ORM (Professional Level) Grandfathering" under 'remarks' and email together with the completed application form to cert.gf@hkib.org.
☐ Credit card
☐ Visa
☐ Master

Card no: ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐

Expiry date (MM/YY): ☐☐ / ☐☐

Name of Cardholder: _____

Signature: _____

Section F: Statement on Collection of Personal Data

- It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, as otherwise the HKIB may be unable to process and consider their applications.

- The personal data provided in this form will be used for processing your application for statistical and marketing (including direct marketing) purposes. The data will be solely handled by HKIB staff but may be transferred to an authorized third party providing services to the HKIB in relation to the above purposes and prescribed purposes as allowed by the law from time to time.

- When the processing and consideration of all the applications for a particular certification have been completed: (a) the application papers of unsuccessful candidates will be destroyed (if you have indicated to receive our promotional materials then your contact details and related papers would be retained for such purposes); and (b) the application papers of successful candidates will serve as part of the applicant's official student records and will be handled by HKIB staff or by staff of an authorized third party providing services to the HKIB in relation to the stated purposes. In all such circumstances, please be assured that any personal information you supply will be kept strictly confidential.

- Applicants understand that they have the right to check whether the HKIB holds personal data about me and that, if so, they have a right of access to their personal data. They can request the HKIB to correct any inaccurate personal data and if they need to obtain a copy of their personal data or have it corrected, they can write to the HKIB. They understand that the HKIB is permitted by law to charge a reasonable fee for the processing of any data access request.

- Personal data provided on the application form will be used by the HKIB for the purpose relating to application and admission. For details of the Policy of Personal Data Protection Statement, please refer to the website: http://www.hkib.org

☐ **Please tick if you DO NOT WISH to receive our latest updates and promotional materials through the communication channels as stated above, including discounts, promotion and offers from time to time.**

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 HKIB to obtain the relevant authorities to release, any information about my qualifications and / or employment as required for my application.

• I acknowledge that 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 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 Policy of Personal Data Protection Statement set out on 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 "Guideline for ECF on ORM Grandfathering" (ORM-G-007) and "Guideline for ECF on ORM Certification" (ORM-G-008).

Document Checklist

To facilitate the application process, please check the following items before submitting to 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 grandfathering and/or certification application
☐ Certified true copies of your HKID / Passport[5]
☐ Payment or evidence of payment enclosed (e.g. cheque or completed Credit Card Payment Instructions)

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[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 (Authorization Institution); or
• A recognized certified public accountant/ lawyer/ banker/ notary public; or
• Hong Kong Institute of Chartered Secretaries (HKICS) member.
Certifier must sign and date the copy document (printing his/her name clearly in capitals 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).

Signature of Applicant   **Date**

 (Name:)

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Grandfathering and/or Certification Application Form for ECF on ORM (Professional Level)

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)

<u>Important notes:</u>
1. All information filled in including company chop must be true and original.
2. Fill in **ONE** complete form for **EACH** relevant position / functional title in your application. A complete form should contain p.1-7. You can make copies of HR Verification Annex (Professional Level) (p.AP1-AP4).
3. Use BLOCK LETTERS to complete HR Verification Annex (Professional Level).
4. Same set of HR verification document(s) can support both application of grandfathering and certification in one submission. Separate submissions of grandfathering or certification application will require another set of original HR verification document(s) even if the information contained is identical.

Employment Information	
Name of the applicant:	
HKID/ passport number:	
Job number:	Current / Job no:
Position / functional title:	
Name of employer:	
Business division / department:	
Employment period of the stated functional title / position: *(DD / MM / YYYY)*	From: To:
Key roles / responsibilities in relation to the stated functional title / position: *(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)*	☐ Role 1 – Operational Risk Management *(fill in p.AC2)* ☐ 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 stated position	_____years _____months

AP1

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Tick the appropriate key roles / responsibilities in relation to your functional title / position stated on p.AP1 of

HR Verification Annex (Professional Level).

| 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 bit 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	

AP2

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	
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).
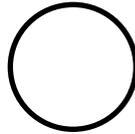
_____   _____
Signature & Company Chop   **Date**

Name: _____

Department & Position: _____

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Authorization for Disclosure of Personal Information to a Third Party

I, _____, *(name of applicant)* hereby authorize The Hong Kong

Institute of Bankers (HKIB) to disclose my results and progress of the "Grandfathering and its

Certification application for ECF on ORM" regarding the following to

_____ *(applicant's bank name)* for HR and Internal Record. *(Tick as*

appropriate)

Signature: HKIB Membership No. / HKID No.*:

_____   _____

Date: Contact No.:

_____   _____

*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.

AF1