



Internal Audit in Financial Institutions

23, 30 Jun & 7 Jul 2022 (Thu)
7:00pm – 10:00pm



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Objective

In a three lines of defense model, the Internal Audit function represents the third line, providing independent, objective assurance to management of FIs that their firms are protected with a strong and effective control framework. The best IA functions also serve as consultants to recommend improvements over existing processes. As the banking sector has undergone such rapid changes in terms of business models, technological dependencies and regulatory requirements over a short period of time, the opportunity for the IA function to add value is even greater. By the end of programme, the participant will be able to:

- Understand the basic principles and the concepts of conducting an internal audit in financial institutions
- Understand the integrated internal control framework
- Understand the relevant laws and guidelines governing the financial institutions and the internal audit function
- Familiarize with the current internal auditing techniques and the standards of IIA



Target Audience

- 1 Banking Practitioners**
with less than 5 years of experience in internal audit
- 2 External Auditors or Accountant**
who want to enhance their job competency
- 3 Consultants or Other Professionals**
Who are interested in this subject

Apply NOW

Scan the QR code at the upper right-hand corner or [click here](#) to apply via e-form

Programme Delivery

- Virtual Classroom (Zoom)
- Cantonese

Early Bird DEADLINE

9 Jun 2022 (Thu)

Enquiries

(852) 2153 7800
programme@hkib.org

Application DEADLINE

16 Jun 2022 (Thu)

Programme Outline

- Overview of the rules and guidelines of HKMA
- Risk assessment of financial institutions
 - Types of risk
 - Role of risk management and its philosophy
 - Ways to control/eliminate risk
- Internal audit function in financial institutions
 - Scope nature and objective
 - Relationship between internal audit and external audit
 - The profession of internal auditing
- Audit process and audit techniques
 - Planning and Survey, Resources allocation, Reporting Monitoring
 - Interviewing, Documentation, Sampling and Confirmation
- Common bank fraud cases
- "Red Flags" sharing
- Common Control Measures



Key Description

The speaker has about 25 years of experience in trade finance and internal audit departments. He currently works with one of the major local banks as a Senior Audit Manager. Being the Associate of the Hong Kong Institute of Bankers, as a Certified Internal Auditor and a Certified Information Systems Auditor, the speaker has substantial training experience in Internal Audit, Accounting, Banking Practice and Commercial Banking.

PRICE LIST

Early Bird
Regular Price

Individual Member
HKD 2,700

HKD2,970

Staff of Corporate Member
HKD 3,240

HKD3,560

Non-Member
HKD 3,600

HKD3,960