



Internal Audit in Financial Institutions

5, 12 & 19 Oct (Wed)
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

01

Banking Practitioners

With less than 5 years of experience in internal audit

02

External Auditors of Accountant

Who want to enhance their job competency

03

Consultants or Other Professionals

Who are interested in this subject

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 banks 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 Certified Banker of the Hong Kong Institute of Bankers, as a Certified Internal Audit and a Certified Information Systems Auditor, the speaker has substantial training experience in Internal Audit, Accounting, Banking Practice and Commercial Banking.

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

Enquiries

- (852) 2153 7800
- programme@hkib.org

Early Bird DEADLINE

21 Sep 2022 (Wed)

Application DEADLINE

28 Sep 2022 (Wed)

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

Programme Code: HDCPDCOMP221001