



# **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 Fls 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



## **Banking Practitioners**

With less than 5 years of experience in internal audit

### **External Auditors of Accountant** Who want to enhance their job competency

## **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)

## **Early Bird DEADLINE** 21 Sep 2022 (Wed)

- Cantonese
- **Enquiries (**852) 2153 7800
- programme@hkib.org
- **Application DEADLINE** 28 Sep 2022 (Wed)

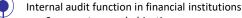
# **Programme Outline**



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



- 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.

**PRICE** LIST

**Early Bird** 

**Regular Price** 

Individual Member HKD HKD2,970 Corporate Member HKD

HKD3,560

Non-Member HKD3,960

Programme Code: HDCPDCOMP221001