



Internal Audit in Financial Institutions 10, 12 & 17 Jan 2023 (Tue & Thu) 7:00pm - 10:00pm

HKIB ECF SFC CPD CPD CPT





























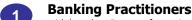
Objective

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



with less than 5 years of experience in internal audit

External Auditors or Accountant who want to enhance their job competency

Consultants or Other Professionals Who are interested in this subject

Scan the QR code at the upper right-hand corner or click here to apply via e-Form

Early Bird DEADLINE Programme Delivery Virtual Classroom (Zoom)

28 Dec 2022 (Wed)

Cantonese **Enquiries**

(852) 2153 7800

programme@hkib.org

Application DEADLINE 3 Jan 2023 (Tue)

Early Bird

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 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

Regular Price

Individual Member HKD

Corporate Member HKD

Non-Member HKD3,960

HKD2,970 HKD3,560