

# Internal Audit in Financial Institutions

Programme Code: HGCP00P23082

**24, 28 & 29 August 2023 (Thu, Mon & Tue)**  
**7:00pm – 10:00pm**

**9 HOURS**

**HKIB ECF SFC  
CPD CPD CPT**

## 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

## Speaker Introduction

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.

## Target Audience

1. **Banking Practitioners** (with less than 5 years of experience in internal audit)
2. **External Auditors or Accountants**
3. **Consultants or Other Professionals**
4. **HKIB Professional Qualification holders :**

**CAMLP AAMLP CRWP ARWP**  
**ACsP ACRP CORP AORP**  
**CCRP(CL) CCRP(CPM)**



## Programme Delivery

Virtual Classroom (Zoom)  
Cantonese

## Early Bird DEADLINE

10 August 2023 (Thursday)

## Application DEADLINE

17 August 2023 (Thursday)



## APPLY NOW!

Enquiry :  
(852) 2153 7800  
[programme@hkib.org](mailto:programme@hkib.org)  
<https://hkib.org/page/185>

### 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