

HKICPA/ IIA HK Joint Seminars – Internal Audit Series

(September to November 2017)



In the evolving business environment in Hong Kong, internal audit (IA) plays one of the key roles in enhancing corporate values by providing advice on business operations as well as assurance on risk and internal control systems.

From September to November 2017, HKICPA and The Institute of Internal Auditors Hong Kong (IIA Hong Kong) will jointly organize a new series of seminars – *Internal Audit Series* to cover IA topics such as trends and importance of IT governance and audit, the updated Enterprise Risk Management (ERM) Framework, how IA could help add values to business, etc.

Topic/ Programme code	Date and Time	Language	Speakers
Internal Audit – Expect More (SCPD17091302)	Wed., 13 Sept 2017 7:00 p.m. – 8:30 p.m.	Cantonese	Mr. Eric Yeung Partner, PricewaterhouseCoopers Mr. Hok Fan Senior Manager, PricewaterhouseCoopers
Cyber Security and Data Privacy (SCPD17101301)	Fri., 13 Oct 2017 7:00 p.m. – 8:30 p.m.	Cantonese	Ms. Eva Kwok Partner, Risk Advisory, Deloitte China
Aligning the Expectation – Effective Communication of Internal Audit Perspective and Getting Stakeholder Buy-in (SCPD17110101)	Wed., 1 Nov 2017 7:00 p.m. – 8:30 p.m.	English	Mr. Cliff Lam Associate Managing Director, Kroll
Internal Audit’s Role – Navigating Risk During Times of Global Volatility (SCPD17110901)	Thurs., 9 Nov 2017 7:00 p.m. – 8:30 p.m.	English	Mr. Albert Yip Chairman, Professional Development Committee of IIA Hong Kong; Senior Vice President and Regional Head, Corporate Audit, Asia Pacific of State Street Asia Limited
Updated COSO ERM Framework – What’s New and What’s Important (SCPD17111501)	Wed., 15 Nov 2017 7:00 p.m. – 8:30 p.m.	Cantonese	Mr. Vincent Leung Senior Director, Protiviti



About the programme

Venue	Hong Kong Institute of CPAs, 27/F, Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong	
Format	Seminar	
Fee (for each)	HKICPA member or student:	HK\$190 (online enrolment: HK\$180)
	IA/ HKIAAT member or student:	HK\$190
	Non-member:	HK\$330
Participants	Internal audit/ internal control/ risk management practitioners; IT auditors; IT security and IT governance professionals; and persons who are interested in understanding more about IA functions	
Competency*	Auditing and assurance; Risk management; Corporate governance; Information technology	
Rating*	Intermediate to advanced level	
CPD hours (for each)	1.5	

* Please refer to the [Institute's online CPD Learning Resource Centre](#) for descriptions of competency and rating.

About the programme

Internal Audit – Expect More (SCPD17091302)

Course outline

Whilst most internal audit (IA) functions have identified the need to add value to the business, only a few are exploring how to do this with a purposeful plan. In this time of constantly changing business environment and heightening stakeholders' expectations, there is an urgent need for the IA function to transform.

In this seminar, the speakers will share their thoughts with participants on:

- What is the case for change
- Where can IA do more
 - IA data analytics
 - Fraud risk management
 - IT governance/ cyber security
- How to start this transformation journey
- Next steps – Moving forward

About the speakers

Mr. Eric Yeung, Partner, PricewaterhouseCoopers

Mr. Yeung is a Partner within PwC's Risk Assurance practice and has provided a wide range of corporate governance, risk management, internal audit and internal control transformation and advisory services to various listed companies and private companies.

Mr. Yeung is a regular speaker at various director training sessions and has conducted numerous seminars/ training workshops to directors and executives in Hong Kong. He has also assisted various Hong Kong listed companies in adopting the Hong Kong Corporate Governance Code, including the implementation of risk management frameworks and setting up of internal audit functions.

Mr. Hok Fan, Senior Manager, PricewaterhouseCoopers

Mr. Fan is a Senior Manager within PwC's Risk Assurance practice and has over 13 years of experience specializing in corporate governance, internal audit, internal controls and risk management consultancy services in Hong Kong, Australia and the United Kingdom.

Mr. Fan has substantial experience in helping clients to establish their Enterprise Risk Management frameworks, set up internal audit functions, deliver control/ process optimization projects, and enhance internal control systems. He also speaks at various director trainings and has conducted numerous seminars to the board and management of companies in Hong Kong.



Cyber Security and Data Privacy (SCPD17101301)

Course outline

Disruptive technologies have been shifting the paradigm across industries. From digital and mobile, to more bleeding edged block chain and smart contact, the new holy grail also introduces new risks.

Building an effective cyber security risk management framework and roadmap is essential. In this seminar, the speaker will share with participants on the latest cyber security updates and information on the following key topics:

- Cyber threat landscape and trends
- Best practices for public sector – effective evaluation and management of cyber security risks
- Demonstration on cyber-attack simulation

About the speaker

Ms. Eva Kwok, Partner, Risk Advisory, Deloitte China

Ms. Kwok is a Partner of Risk Advisory at Deloitte China. She has over 16 years of experience in the information system industry.

Ms. Kwok is a Cyber Risk Leader who focuses on cyber security and privacy assessment, consulting and solution implementation services for major enterprises across different industries including financial services, hospitality and gaming, etc.

Ms. Kwok has in-depth expertise on technology, cyber and privacy risk management, governance and regulatory requirements. She also has strong capability to lead technical security assessment and implementation projects including security analytics and monitoring platform, information protection solution, identity and access management solution, vulnerability assessment, and penetration testing.

Ms. Kwok has given presentations and panel sharing at conferences and training events.

Aligning the Expectation – Effective Communication of Internal Audit Perspective and Getting Stakeholder Buy-in (SCPD17110101)

Course outline

While business executives expect internal auditors to be trusted business advisors, what exactly are the attributes of a good business advisor? How do internal auditors gain the trust from stakeholders across the business and functions? Why is there a gap in the perception of the role of the internal audit function across an organization?

The speaker will explore the challenges faced by the internal audit function based on his experience working with corporate clients as an external consultant, and share with participants his observations and some practical advices to overcome the challenges.

After joining this seminar, participants will:

- Understand the role of an internal audit function as part of the three lines of defense model within an organization
- Learn the key attributes to be a trusted business advisor and the key areas to consider when interacting with internal and external stakeholders
- Learn from the positive and negative experience of the speaker's clients, and apply the lessons learnt

About the speaker

Mr. Cliff Lam, Associate Managing Director, Kroll

Mr. Lam is an Associate Managing Director in Kroll's Investigations and Disputes practice, based in the Hong Kong office. Cliff specializes in forensic accounting, investigations, and compliance consulting. He has advised law firms and corporations in handling sensitive and complex situations involving compliance issues and legal disputes across different jurisdictions and industries.



Internal Audit's Role – Navigating Risk During Times of Global Volatility (SCPD17110901)

Course outline

Internal auditors are reaching beyond their traditional capabilities to partner with business and improve company operations. Whilst organizations face complex risks, internal auditors have opportunities to add value. This seminar provides insight of how internal auditors can get there.

After joining this seminar, participants will:

- Understand the transformation and the changing role of internal auditors
- Understand how internal auditors can contribute to mitigate complex risks including cyber security, increased and evolving regulation, reputational harm, technology advancement/ disruptive innovation and global economic volatility

About the speaker

Mr. Albert Yip, Chairman, Professional Development Committee of IIA Hong Kong
Senior Vice President and Regional Head, Corporate Audit, Asia Pacific of State Street Asia Limited

Mr. Yip is a Senior Vice President and Regional Head of Corporate Audit, Asia Pacific at State Street, one of the world's leading providers of financial services to institutional investors with \$29.83 trillion in assets under custody and administration and \$2.56 trillion in assets under management as of 31 March 2017. Based in Hong Kong, he leads the corporate audit function in Asia Pacific which is responsible for auditing State Street's compliance with global regulations in the region.

Mr. Yip joined State Street in 2015 and has 30 years of experience leading internal audit, compliance, risk management, finance and regulatory teams. He worked in the United States and Asia Pacific for companies including Manulife Financial and Westpac Banking Corporation.

Mr. Yip earned a Master of Science in Information Systems from the Hong Kong Polytechnic University, an Honors Degree in Accountancy from the City University of Hong Kong and holds FCPA (Aust.), CMA, CRMA, CRISC and Forensic CPA designations. Mr. Yip is the Governor and Chairman of Professional Development of IIA Hong Kong, the Chairman of the Financial Services Committee of CPA Australia, the Chairman of the Corporate Governance Committee of CMA Australia, and is a founding member of HK-ASEAN Cooperation Foundation.

Mr. Yip is a frequent guest speaker at professional bodies, universities, international conferences and forums in the Asia Pacific region and United States. He was the first honoree in Asia to receive the WACE Award, for his contribution to university student career development in Hong Kong and overseas.



Updated COSO ERM Framework – What's New and What's Important (SCPD17111501)

Course outline

Risk Management has been a tool used by many enterprises to protect and enhance value. The original ERM – Integrated Framework published by the Committee of Sponsoring Organizations of the Treadway Commission (COSO) in 2004 is a commonly adopted framework that organizations refer to when setting up their risk management programmes. Today, entities' risk exposures are changing and evolving more rapidly than ever before. The ERM initiatives in many companies are no longer able to meet the strategic needs of the business.

In view of the issues encountered by some organizations when implementing the original ERM framework, drastic risk management breakdowns in recent years and the increasing complexity of the business environment, COSO released its "Enterprise Risk Management – Aligning Risk with Strategy and Performance" for public exposure and comment in 2016. The updated COSO ERM framework, which emphasizes what is really important in making ERM work within an organization, is expected to be finalized in 2017. In the era of disruptive change, enterprise leaders should understand the new concepts and emphasis of the updated framework, and make use of it to evaluate their ERM approach with the objective to strengthen it.

In this seminar, the speaker will discuss:

- Challenges faced by companies in implementing ERM
- Structure of the updated framework
- Elements for effective ERM
- Key concepts in the updated ERM framework (e.g. risk governance and risk culture, alignment with performance, etc.)
- How to move the ERM initiatives of your organization forward
- Trends and best practices

About the speaker

Mr. Vincent Leung, Senior Director, Protiviti

Mr. Leung is a Senior Director at Protiviti Greater China with more than 20 years of accounting, internal auditing, external auditing and business consulting experience. Mr. Leung specializes in the provision of internal audit and financial advisory, business performance improvement and enterprise risk management solutions to his clients. Prior to joining Protiviti in 2004, Mr. Leung had the experience of working in the assurance practice of a Big Four accounting firm, in the finance department of a commercial company and in the in-house internal audit department of a statutory organization. Mr. Leung is a Fellow Member of HKICPA and a Certified Internal Auditor (CIA), and has obtained the Certification in Risk Management Assurance (CRMA).



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 Hong Kong Institute of CPAs,
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 e-mail: finance@hkicpa.org.hk
 Fax : 2893 9853

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FOR OFFICE USE

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 - For credit card payment, the card should be valid with expiry date at least 1 month from the date of event.
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 - All scheduled events will be cancelled and postponed to a date to be announced in the event of typhoon signal no. 8 or above or if a Black Rainstorm warning is hoisted. For details of bad weather arrangement for CPD programmes, please refer to the Institute's homepage.
 - The Institute reserves the right to change the venue, date, speaker or to cancel the event due to unforeseen circumstances.
 - No unauthorized audio or video recording is allowed at CPD events.

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