



CIA Challenge Exam – HKICPA Exam Preparatory Course

Programme Code: **COUR20102101**
COUR20102901
COUR20103001
COUR20103104

The Institute, in partnership with The Institute of Internal Auditors (IIA), offers the 2020 Certified Internal Auditor (CIA) Challenge Exam to HKICPA members as a fast track route to obtain the CIA professional designation. To help candidates better prepare for the exam, we have arranged for the following exam preparatory courses to take place in October 2020. The modules will reinforce your CIA knowledge, clarify topics and build exam day confidence. Taught by CIA-certified trainers, candidates will also practice sample exam questions.

Module	Date and time	Trainers
1 (COUR20102101)	Wednesday, 21 October 2020 7:00 p.m. – 9:00 p.m.	Mr. Hugh Gozzard <i>ACA, CIA, CRMA</i> Partner, Risk Advisory, Deloitte Hong Kong
2 (COUR20102901)	Thursday, 29 October 2020 7:00 p.m. – 9:00 p.m.	Ms. Jeslyn Peh <i>CA Singapore</i> Head of South-East Asia Internal Audit, FWD Mr. Stephan Yu Group Head of Internal Audit, FWD
3 (COUR20103001)	Friday, 30 October 2020 7:00 p.m. – 9:00 p.m.	Mr. Ricky Lee <i>CIA, CRMA</i> Director, Protiviti Hong Kong
4 (COUR20103104)	Saturday, 31 October 2020 10:00 a.m. – 12:00 n.n.	Mr. Joseph Chan <i>CPA, CIA</i> Manager, EY Greater China Consulting

Format	Webinar
Language	English
Fee	Included in the Exam package fee
Objectives	This is an exam preparatory course designed for candidates who have signed up for the CIA Challenge Exam – HKICPA. Participants will: <ul style="list-style-type: none"> • Discuss difficult topics with subject matter experts • Obtain study tips to complete the CIA exam within the specific time-frame
Participants	Candidates of 2020 CIA Challenge Exam who applied the Exam as a member of HKICPA
CPD hours (for each module)	2 hours



About the programme

Modules

Module 1

(COUR20102101)

Topics

Foundations of Internal Auditing

- What is internal audit, details about internal audit charter, difference between assurance and consulting services

Independence and Objectivity

- Importance of independence and objectivity of internal audit

Proficiency and Due Professional Care

- Knowledge, skills, competency and professional care required to fulfil the IA responsibilities

Quality Assurance and Improvement Program (QAIP)

- Elements and requirements of quality assurance and improvement programs
- Reporting requirement and disclosure of the QAIPs

Governance, Risk Management, and Control

- Concept of organizational governance
- Risk, risk management process and risk management frameworks

Fraud Risks

- Types of fraud risks and controls to prevent and detect fraud

Module 2

(COUR20102901)

Managing the Internal Audit Activity

- Procedures for planning, organizing, directing, and monitoring of internal audit
- Types of assurance and consulting engagements
- Coordination of internal audit with external auditor, regulatory oversight bodies, other internal assurance functions, etc.
- Chief audit executive (CAE)'s responsibilities in communication of the annual audit plan, identifying Governance, risk management and compliance (GRC) issues, reporting to senior management on the overall effectiveness of the internal control and risk management processes

Module 3

(COUR20103001)

Planning the Engagement

- Audit planning activities including determining audit objectives, performing risk assessment, determining audit procedures and engagement work program, and resource planning and staff selection

Performing the Engagement

- Performing preliminary survey
- Evaluating the relevance, sufficiency, and reliability of potential sources of evidence
- Summarizing and developing engagement conclusions

Communicating Engagement Results and Monitoring Progress

- Preliminary communication and interim reporting to engagement clients
- Engagement communication and reporting process (including holding exit conference, drafting, reviewing, approving and distributing audit report)
- Assessing engagement outcomes, developing management action plan and obtaining management response
- Managing and monitoring of follow-up actions



About the programme

Module 4 (COUR20103104)

Business Acumen

- Strategic planning process and key activities
- Risk and controls implications for common business processes
- Project management techniques

Data Analytics

- Data analytics, data types, data governance and value of using data analytics
- Data analytics process and methods

Information Technology and Security

- Types of information security controls and data privacy laws
- Emerging technology and cybersecurity risks
- System development lifecycle and delivery

About the trainers

Mr. Hugh Gozzard ACA, CIA, CRMA

Partner, Risk Advisory, Deloitte Hong Kong

Mr. Gozzard has over 30 years of professional experience in the development and delivery of services in internal audit, risk management, third party risk management, US Sarbanes-Oxley advisory, corporate governance advisory and sustainability for multinationals and locally-listed companies from different business sectors in Greater China and across the Asia Pacific region.

Mr. Gozzard leads large-scale internal audit co-sourcing relationships for multinationals on an Asia Pacific regional basis, working closely with these organizations' internal audit directors, audit committees and management. He has performed several engagements to help organizations develop their enterprise risk management programs and has carried out large-scale risk assessment exercises for risk management and internal audit planning purposes. He has advised organizations on how to develop their internal audit functions and has performed independent quality assurance reviews for a number of internal audit departments. He has also led several internal controls due diligence review projects for listing purposes.

Mr. Gozzard is a regular speaker at public seminars on corporate governance, risk management, third party risk and internal audit-related topics in Hong Kong.

Ms. Jeslyn Peh CA Singapore

Head of South-East Asia Internal Audit, FWD

Ms. Peh oversees the internal audit function in various FWD business units in performing a programme of risk-based audits covering matters across the business units to provide independent assurance, and contributes to areas of internal audit operations such as related committees reporting, methodology and talent development. She is a trained accountant who has more than 15 years of work experience in internal auditing, risk management and corporate governance. Her previous experience also includes roles in risk management and group-wide internal audit at Prudential.

Ms. Peh holds a Bachelor of Accountancy (Hons) from Nanyang Technological University, Singapore. She is a Chartered Accountant.



About the trainers

Mr. Stephan Yu

Group Head of Internal Audit, FWD

Mr. Yu has been internal auditor since 1997 in a number of industries including life insurance, MPF, satellite operation and betting. He took up the current position in 2018. Before joining FWD, Mr. Yu was the Assistant Vice President of Audit Services Asia at Manulife overseeing the South East Asian markets that include Singapore, Thailand, Vietnam and Cambodia. He was also the Chief Auditor of Manulife US REIT (listed on SGX) from 2016 to 2018.

Mr. Ricky Lee CIA, CRMA

Director, Protiviti Hong Kong

Mr. Lee has over 15 years of professional experience in delivering Internal control solutions and internal audit capabilities, including internal audit outsourcing and co-sourcing, internal audit infrastructure development, internal audit quality assessments, as well as compliance advisory, risk management, and business consulting capabilities in Hong Kong SAR and the United States.

Mr. Lee has managed and executed numerous internal control and internal audit related engagements during his career for a wide spectrum of clients including technology companies, financial institutions, consumer products and retails companies, higher education institutions, public utilities companies, government organizations, hospitality companies, telecommunications companies, and manufacturing companies.

Mr. Joseph Chan CPA, CIA

Manager, EY Greater China Consulting

Mr. Chan focuses on risk consulting in Hong Kong. He holds a Bachelor's Degree in Professional Accounting from the Hong Kong University of Science and Technology and has over 8 years of professional experiences in providing corporate governance review, enterprise risk management, internal audit, compliance review, contract risk services and process improvement services. He has experiences in serving clients from the commercial and public sector across various industries including construction, chemical, education, pharmaceutical, property development and management, manufacturing, sports and tourism in Hong Kong, Mainland China and Asia Pacific.



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HKICPA Event Enrolment Form

**CIA Challenge Exam – HKICPA
 Exam Preparatory Course**

Finance & Operations Department,
 Hong Kong Institute of CPAs,
37/F, Wu Chung House, 213 Queen's Road East, Hong Kong

Course Information Enquiry:
 2287 7098 / 2287 7214
 e-mail: ms@hkicpa.org.hk

FOR OFFICE USE

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 (COUR20102101) 7:00 p.m. – 9:00 p.m.
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Deadline: 7 working days before the date of the programme

*The Institute reserves the right to allocate places to enable the enjoyment of more members in this event and the Institute's decision is final.

No.	Membership		Full Name of Participant(s) (Block Letters)	Company	E-mail address ⁽²⁾ (Block Letters)
	No.	Status ⁽¹⁾			
1					
2					
3					

Contact Person : _____ Telephone No. : _____ E-mail : _____
Contact information is used solely for communication of this particular event, without update to your member profile.

- Notes:**
- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **NM** = Non-Member.
 - Confirmation of enrolment will be sent to you via email. For HKICPA members, you can check your enrolment status at "MyCPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified.
 - NO ADMISSION TICKET will be issued. Please bring your HKICPA membership card or confirmation email for admission purpose.
 - All applications are on a first-come-first-served basis.
 - 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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