



HKICPA/ IIA HK Joint Webinars – Internal Audit Series

(August to October 2023)

LIVE
WEBINAR

To stay ahead of the curve in today's rapidly evolving business environment, cybersecurity trend and the latest technological tools have a big impact on the developments of business worldwide, as well as establishing effective ESG controls. Internal Audit (IA) has to adapt to new trends in order to provide necessary assurance to stakeholders using an agile approach.

From August to October 2023, HKICPA and The Institute of Internal Auditors Hong Kong (IIA Hong Kong) will jointly organize a series of webinars – Internal Audit Series – to cover the trends and forward-looking technologies to help IA add value to businesses.

Join this series of webinars to strengthen your knowledge and deepen your relevant skills and competencies on these topics.

Topic/ Programme code	Date and Time	Rating*	Language	Speakers
Cybersecurity Trend in Hong Kong and Mainland China (EWEB23080202)	Wednesday, 2 August 2023 12:30 p.m. – 2:00 p.m.	Foundation	English	Ms. Hatty Siu CPA, CISA, CDPSE Director, Deloitte Risk Advisory, Cyber – Data & Privacy Ms. Yuan Chen CISA, ISO/IEC 27001 Lead Implementer / Auditor Manager, Deloitte Risk Advisory, Cyber – Data & Privacy Ms. Echo Huang CIPM, PMP, CISA (Passed Exam), CISSP (Passed Exam) Senior Consultant, Deloitte Risk Advisory, Cyber – Data & Privacy
Leveraging Technology Tools for Data-driven Internal Audits (EWEB23081401)	Monday, 14 August 2023 12:30 p.m. – 2:00 p.m.	Intermediate to advanced	Cantonese	Ms. Doris Lam Director, Protiviti Ms. Stephanie Leung Associate Director, Protiviti
Establishing Effective ESG Controls (EWEB23100901)	Monday, 9 October 2023 12:30 p.m. – 2:00 p.m.	Foundation	English	Mr. Hugh Gozzard ACA, CIA, CRMA Partner, Deloitte Risk Advisory, Strategic Risk Ms. Lucy Mai CPA Manager, Deloitte Risk Advisory, Advanced Control



About the programme

Format	Webinar
Fee (for each session)	HKICPA member or student or IA: HK\$160 Non-member: HK\$360 <i>(An email will be sent to you when your registration is accepted, which will include login details for the webinar. You can access the webinar by tablet, smart phone or PC.)</i>
Participants	Internal audit/ internal control/ risk management practitioners; IT auditors; IT security and IT governance professionals; Persons who are interested in understanding IA functions
Competency*	Auditing and assurance; Risk management and internal control; Information technology; Corporate governance
Sub-competency*	Identifying and managing risks; Designing internal controls; Monitoring performance and accountability; Risk and security management; Compliance with legal and regulatory requirements and corporate governance best practices; Establishing good corporate governance practices and procedures;
CPD hours (for each session)	1.5

* Please refer to the [competencies and ratings for CPD events](#).

About the programme

Cybersecurity Trend in Hong Kong and Mainland China (EWEB23080202)

Recent technological advances have drastically changed not only how we deal with day-to-day needs and living, but also how companies operate. The exponential growth of data in an increasingly digitalized world, coupled with the new working model reshaped by COVID, have brought not only new business opportunities and advantages, but also present cybersecurity challenges and operational complexities.

On the other hand, cybersecurity and data protection legislations are evolving fast and rules are getting stricter. Topics such as cross-border data transfers, data localization, data classification, etc. are adding additional layers of complexity. In the face of the constant changes and the associated uncertainty, companies are rethinking their current operating model, and they need to react fast.

After joining this webinar, participants will gain knowledge about:

- The latest cybersecurity trend, development in Hong Kong and Mainland China and the impact on business operations
- Current challenges and pain points faced by companies, and how to deal with them
- Where companies to see further opportunities from the challenges



Leveraging Technology Tools for Data-driven Internal Audits (EWEB23081401)

For internal audit functions, elevating their relevance and the value they deliver requires ongoing evolution and a committed focus on continuous improvement through innovation and transformation. In a world moving at unprecedented speed, usage of data and enabling technology are key drivers of internal audit transformation.

With the advancement and the ease-of-use of analytics tools, automation and data science technologies, many internal audit organizations are spending increasing efforts on leveraging technology to make use of data analytics to deliver proactive, efficient and effective assurance. In this webinar, the speaker will talk about the latest development in the adoption. Topics include:

- Overview of enabling internal audit technologies
- Leveraging analytics tools in the internal audit process
- A deeper dive into process mining technology and its applications
- Moving into continuous monitoring
- Challenges faced by internal audit organizations in adopting audit technologies

Establishing Effective ESG Controls (EWEB23100901)

As the sustainability agenda gains rapid global momentum, environmental, social, and governance (ESG) is becoming a critical element of every organization's purpose and strategy. Companies need to raise their level of ambition with respect to their sustainability performance on a constant basis. This continuously "raises the bar" for the scope, quality and accuracy of businesses' ESG disclosure and reporting, as these are the key means by which they demonstrate their commitment and progress in relation to sustainability.

At the same time, ESG information is increasingly inter-connected with financial data, as sustainability performance impacts financial performance and as ESG commitments and decisions become more important to users of financial information.

Both of these developments mean that ESG disclosure and reporting are increasingly dependent on effective and efficient internal controls, as well as processes and systems. They mean that a strict and rigorous approach to ESG controls, similar to that has always been adopted for financial reporting, should be promoted and adopted, together with a strategy for the longer-term integration of both types of reporting.

This webinar will focus on how to establish effective ESG controls, in order to address the above trends. This will cover internal controls fundamentals as well as the adoption of supporting technology tools.

After joining this webinar, participants will gain knowledge about:

- The context for the growing importance of ESG controls
- How to establish effective ESG controls
- Relevant technological developments in this field



About the speakers

Ms. Hatty Siu CPA, CISA, CDPSE

Director, Deloitte Risk Advisory, Cyber – Data & Privacy

Ms. Siu is a member of International Association of Privacy Professionals (IAPP) and former co-chair of the IAPP KnowledgeNet Chapter for Hong Kong. She started off with IT risk and controls related area during early career and has been working on cyber security, data privacy and protection related aspects over the past 10 years. Ms. Siu delivers regulatory compliance, IT/ cyber control, security and data related services for different clients across various industries. Her key areas of expertise and experience include cyber security and data protection related control review, privacy impact assessment, data privacy governance review, development of data governance and information management policies, data privacy and protection gap analysis, internal controls and regulatory compliance review.

Ms. Siu has a Bachelor of Business Administration (BBA) degree in information system and marketing from the Hong Kong University of Science and Technology.

Ms. Yuan Chen CISA, ISO/IEC 27001 Lead Implementer / Auditor

Manager, Deloitte Risk Advisory, Cyber – Data & Privacy

Ms. Chan's role at Deloitte focuses on privacy and data protection. She delivers projects for multinational clients across different industries with strong footprint in Asia. Her areas of expertise includes cyber security, data privacy and protection strategies and concepts, compliance and risk assessment, the implementation as well as managed services of privacy and data protection solutions e.g. privacy platforms.

Before joining Deloitte Hong Kong, Ms. Chan worked at Deloitte Germany where she supported Europe-based companies with international footprints to go through various cyber security and cloud transformational projects.

Ms. Echo Huang CIPM, PMP, CISA (Passed Exam), CISSP (Passed Exam)

Senior Consultant, Deloitte Risk Advisory, Cyber – Data & Privacy

Ms. Huang has two bachelor's degrees and two master's degrees in both electronics engineering and information system management. She delivers IT control review, privacy impact assessment (PIA), privacy compliance audit (PCA), gap assessment, privacy maturity assessment, privacy management tool implementation and regulatory compliance for multinational clients across various industries.

Ms. Doris Lam

Director, Protiviti

Ms. Lam specializes in internal audit and business risk consulting at Protiviti. With over 15 years of business consulting experience, She is experienced in managing internal audit functions for multinational corporations (MNCs) and Hong Kong listed companies to improve their internal control system and report audit results and risk exposures to client's audit committee and senior management. She also focuses on assisting clients in transforming their internal audit functions with the use of audit technology tools to provide better assurance and value to internal audit stakeholders.

Prior to joining Protiviti, Ms. Lam worked in the assurance department of a Big Four accounting firm. She is a member of the Hong Kong Institute of Certified Public Accountants (HKICPA) and the Institute of Internal Auditors.

Ms. Stephanie Leung

Associate Director, Protiviti

Ms. Leung is the leader of the Enterprise Data and Analytics Team at Protiviti Hong Kong. She has over 10 years of experience and specializes in data analytics, data governance, data management, digital transformation, business process improvement, and internal controls review projects. She plays a role in project management, solution design, and implementation. She is a member of Hong Kong Institute of Certified Public Accountants (HKICPA), Certified Information Systems Auditor (CISA) and a Certified Data Scientist on Celonis.



Mr. Hugh Gozzard *ACA, CIA, CRMA*

Partner, Deloitte Risk Advisory, Strategic Risk

Mr. Gozzard has over 35 years of professional experience and is responsible for the development and delivery of internal audit, risk management, third party risk management and sustainability services to organizations in Hong Kong, Mainland China and other parts of Asia Pacific. He has led several engagements to assist companies with developing their reporting processes for sustainability, preparing for the requirements of the Hong Kong Stock Exchange's (HKEX) ESG Reporting Guide, including in relation to the Task Force on Climate-related Financial Disclosures, or with assurance of their sustainability reports. He is also assisting organizations with their Science Based Target initiative validation exercises or with measuring and assessing the carbon footprints of their investment portfolios.

Mr. Gozzard has also led a number of environmental and social compliance audits relating to the Mainland China operations of multi-national companies.

Ms. Lucy Mai *CPA*

Manager, Deloitte Risk Advisory, Advanced Control

Ms. Mai has over 11 years of professional experience in risk consulting, with a focus on sustainability advisory and reporting, internal controls review services, enterprise risk management and corporate governance advisory. She has performed a number of sustainability reporting advisory projects to help organizations in many business sectors comply with the Hong Kong Stock Exchange's (HKEX) ESG Reporting Guide, including compilation of their ESG reports. She is also experienced in providing limited assurance services in respect of ESG data.

Ms. Mai has also been involved in different corporate governance, internal audit and risk management-related projects. She has provided internal controls assessment services to leading Hong Kong-based organizations.

Ms. Mai worked at a Mainland Chinese bank in Hong Kong as Vice-President – Sustainability. In this role, she was responsible for the development of the bank's vision and roadmap for ESG, and of related policies and framework as well as for proposing suitable ESG initiatives.



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