



## Workshops on Internal Control – November 2014



Hong Kong Institute of CPAs presents this series on internal control in November 2014. This series of workshops is designed to provide an understanding on the use of IT audit and data analytics in the audit process.

Date	Time	Topic
12 November 2014 (Wednesday)	9:30am-12:30pm	<b>Getting practical with internal control – Use of data analytics in internal audit process</b> <i>Speakers: Paulo Chak, Manager and Cindy Guo, Manager, Advisory Services, EY</i>
17 November 2014 (Monday)	9:30am-12:30pm	<b>Getting familiar with internal control – Fundamental IT audit for financial statements audit</b> <i>Speakers: Gary Yuen, Executive Director and Dicky Wong, Manager, Advisory Services, EY</i>

<b>Venue</b>	Hong Kong Institute of CPAs, 27/F, Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
<b>Format</b>	Workshop
<b>Language</b>	Cantonese
<b>Fee</b>	HK\$420 for HKICPA member or student / HK\$680 for non-member (for each session)
<b>Participants</b>	Auditors, preparers, CEOs, CFOs, professional accountants in business
<b>Competency</b>	Risk management
<b>Rating</b>	Foundation level (Please refer to the Institute's online CPD Learning Resource Centre)
<b>CPD hours</b>	3 (for each session)



## About the workshops

### ***Getting practical with internal control – Use of data analytics in internal audit process***

This workshop aims to assist participants to understand how effective data analytics helps an internal audit function to conduct internal audit process and improve the overall audit efficiency and effectiveness. The workshop will cover the following areas and will be supported by practical case illustrations and group activities.

Topics include:

- ▶ Overview of data analytics including objectives, benefits and limitations
- ▶ Life cycle of data analytics during the internal audit process
- ▶ Examples of application/tool
- ▶ Illustration of applying analytical skills in a process review
- ▶ Case studies

### ***Getting familiar with internal control – Fundamental IT audit for financial statements audit***

This workshop aims to introduce an IT audit process to participants and discuss about how an IT audit can effectively integrate into the financial statements audit process. The workshop will cover the following areas and will be supported by practical case illustrations and group activities.

Topics include:

- ▶ Overview of IT audit including history, market trend, values to an organization
- ▶ Introduction of governing body, regulatory requirements specific for IT audit
- ▶ IT audit approach and typical IT audit process
- ▶ IT auditor's characteristics and challenges
- ▶ Case studies

# Workshops on Internal Control - November 2014

**[Please click here for online enrolment \(for HKICPA members only\)](#)**

Finance & Operations  
Department,  
Hong Kong Institute of CPAs  
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213 Queen's Road East, Hong Kong



Hong Kong Institute of  
Certified Public Accountants  
香港會計師公會

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(if applicable)

Company name: \_\_\_\_\_

Position held: \_\_\_\_\_ Email: \_\_\_\_\_  
(for enrolment confirmation purpose)

Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

Please mark a "✓" against the session(s) for which you wish to apply

<input type="checkbox"/>	12 November 2014 (Wednesday) (WAU141112)
<input type="checkbox"/>	17 November 2014 (Monday) (WAU141117)

**Admission Fee:**  HK\$ 420 per person (HKICPA members) for each session  
 HK\$ 680 per person (Non-HKICPA members) for each session

Cheque (no. \_\_\_\_\_) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"

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I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above.)

- Please complete the Enrolment Form and return it to the Finance & Operations on or before the deadline, together with full payment.
- Enrolment is accepted on a first-come-first-served basis. No telephone reservation will be accepted.
- For credit card payment, please fax the enrolment form to 2893-9853. For payment by cheque, the enrolment will only be processed upon receipt of full payment.
- Confirmation of registration will be sent by e-mail. If confirmation has not been received 3 days prior to the event date, please email to: [tls@hkipa.org.hk](mailto:tls@hkipa.org.hk)
- If typhoon signal no.8 or above / Black rainstorm warning is hoisted at or 6:30 a.m. on the date of event, the activity will be cancelled. Your admission fee will be refunded in the event of cancellation due to bad weather.
- No refund will be entertained unless your enrolment is unsuccessful or the event is cancelled due to unforeseen circumstance.
- The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of CPD activities, members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in [here](#). Non-members may opt out of receiving such materials at any time by sending an email to the Institute at [privacyofficer@hkipa.org.hk](mailto:privacyofficer@hkipa.org.hk) or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please click [here](#).

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