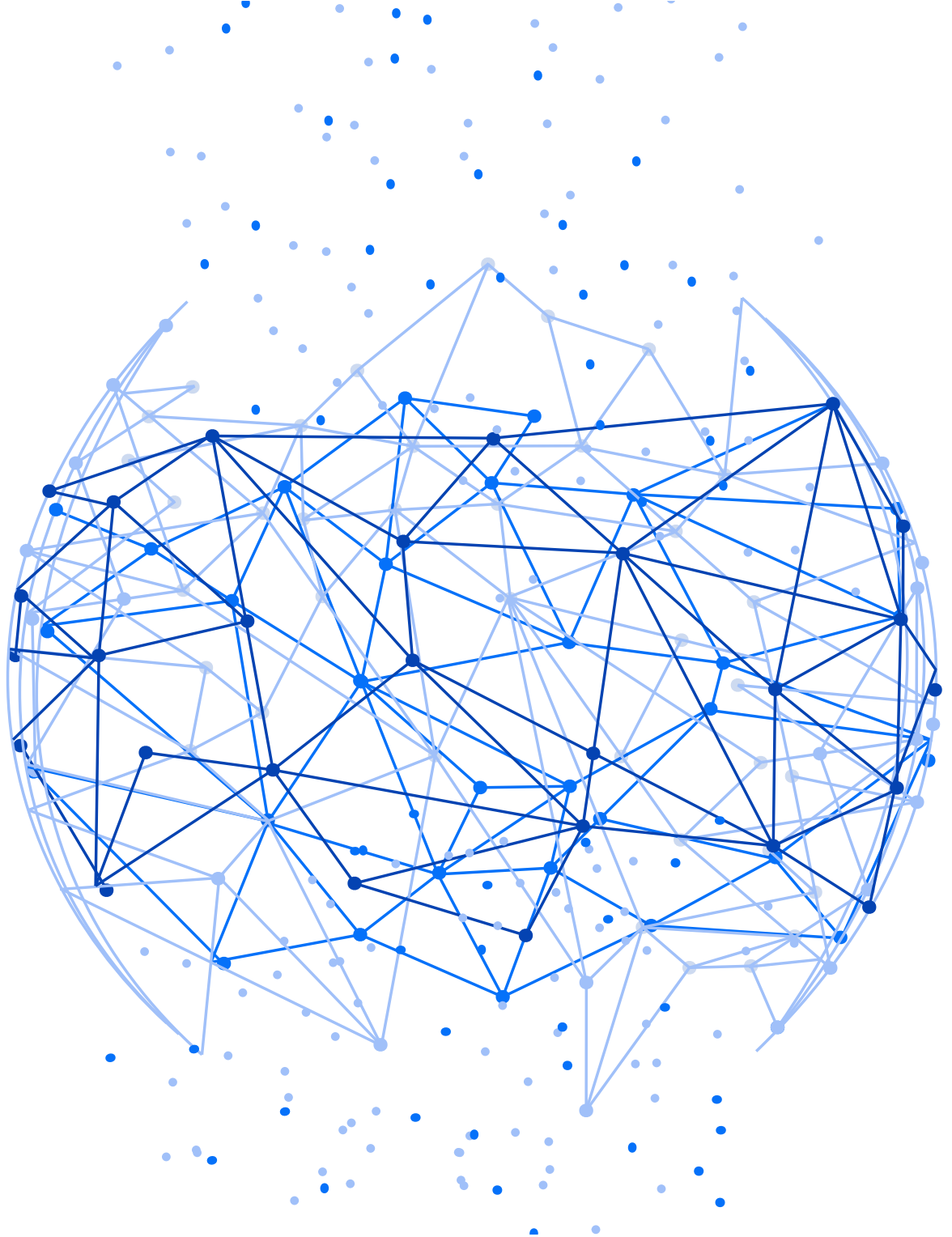


# ACIIA CAE Leadership Forum

CHANGE READY - CAES IN TRANSFORMATION



**11 & 12 October 2021**

**Virtual Conference**

12.00pm – 4.40pm (AEDT)

Australian Eastern Daylight-Saving Time

# Thank you to our sponsors

## Principal Sponsor



## Major Sponsors



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# Program overview

IIA-Australia is pleased to be hosting the 2021 Asian Confederation of Institutes of Internal Auditors (ACIIA) CAE Leadership Forum. This annual forum provides a unique opportunity for CAEs across the Indo-Pacific Region to connect and address the critical issues impacting the internal audit profession and the role of the CAE.

Taking the theme of 'Change ready – CAEs in transformation', the program will explore the drivers that are changing the world in which CAEs operate, share insights to managing the increasing expectations of the internal audit function and provide technical knowledge to undertake contemporary internal audits.

Sessions will be presented by CAEs, technical experts and internal audit stakeholders from across the world. Speakers will be presenting live on the day and the online platform will allow interaction between delegates and speakers to engage with each other on the key issues addressed. The online platform will also provide the opportunity for live video networking between delegates and access to rewatch sessions after the event.

We encourage you to attend the forum to connect with your peers across the region and gain knowledge and ideas on how you can transform your internal audit function to continue to provide effective assurance and support for your organisation during these challenging times.

We look forward to connecting with you at the forum.



**Stewart Mantell**  
Program Co-Chair – ACIIA CAE Leadership Forum  
Asian Confederation of Institutes of Internal Auditors



**Frank Yam**  
Program Co-Chair – ACIIA CAE Leadership Forum  
Asian Confederation of Institutes of Internal Auditors

DAY 1 - MONDAY 11 OCTOBER

12.00pm – 12.15pm WELCOME ADDRESS AND OPENING REMARKS

12.15pm – 1.15pm SESSION 1

**Keeping in check the growing list of risks – Meeting Audit Committee and Board expectations**

This panel session will explore what is front of mind for Boards and Audit Committees in today's increasingly dynamic business environment and the important role internal audit plays in supporting their oversight responsibilities. Key themes to be addressed include:

- › Insights on the current and emerging risks on the mind of Boards and Audit Committees
- › Connecting today's disrupted environment to the organisation's risk profile
- › Responding to the increasing expectations of Boards, Audit Committees and Management in strengthening governance and management of risks
- › Transforming approaches to give the Board and Audit Committee assurance and insights over risk management
- › Engaging in better communication and reporting to drive clear lines of responsibility over assurance to enable better decision making

**Paul Ruiz, Chair Audit Committee, TAL; Member Audit Committee, NSW Treasury, Western Sydney Parkland Authority**

**John Stanhope AM, Board member, AGL; Chairman, Port of Melbourne, Bionics Institute**

**Dr Hock-Chye Ong PHD CIA, Audit and Oversight Committee Member, World Meteorological Organization (WMO)**

**Sandra Birkenleigh, Chair, Audit / Risk Committee, 7-Eleven, NDIS, MLC Australia, Horizon Oil, Auswide Bank, University of the Sunshine Coast**

1.15pm – 1.20pm SESSION TRANSITION BREAK

1.20pm – 2.00pm SESSION 2

**Future ready – The role of internal audit in supporting organisations through change and disruption**

Every organisation across the globe has been impacted by COVID in terms of being forced to rethink the way they operate and approach this new risk in conducting their day to day business. This session will explore the value that internal audit can bring to the table in assessing how an organisation has performed during rapid change.

- › Taking account of the impact that COVID has had on your organisation, on people, processes and deliverables
- › Understanding how agile your organisation has been in responding to COVID
- › Redefining what reasonable assurance has been over the last 18 months – How has it changed during and post COVID
- › Documenting learnings and sharing lessons learned in continuing improvement in the COVID response
- › Understanding why internal audit should be reviewing and reporting the impact of COVID on the organisation
- › How internal audit can support their organisation in being future ready for disruption

**Rob Marshall, Risk Audit and Fraud Lead, Spark New Zealand**

2.00pm – 2.15pm BREAK AND SPEED NETWORKING SESSION

2.15pm – 2.35pm PRODUCT DEMONSTRATION 1- ANCHORAM CONSULTING

**Methodologies and tools to audit supply chain risk**

In today's interconnected world maintaining a robust supply chain is critical for success. This session will provide insights on practical methodologies and tools to audit supply chain risk in your organisation.

- › Identification of your organisation's supply chain and understanding its risk profile
- › Impact of regulation and compliance requirements such as Modern Slavery and Sanctions
- › Mapping the supply chain processes - Identifying control gaps and risk exposures
- › Insights on methodologies to undertake an audit / risk assessment of the supply chain

**Harry Cheema, Partner, Anchoram Consulting**

2.35pm – 2.40pm SESSION TRANSITION BREAK

2.40pm – 3.20pm

**SESSION 3**

**Is your organisation cyber security ready?**

As the world quickly transitions to digital business, cyber security could be said to be the number one risk facing all organisations. It is no longer a matter of whether you will be subject to a cyber-attack, but when. This session will provide insights on what you need to have in place to protect your organisation and what you need to do when you have been attacked

- › Redefining the expectations of internal audit, management and the Board
- › Reacting to cyber-attack – The essentials to effective cyber risk management plan
- › Understanding what cyber attackers are looking for
- › Hardware + software + humanware = ransomware – Where are the cyber risk vulnerabilities and what policies and controls do you have in place?
- › What to do when you have been hacked

**Greg Grocholski, Chief Executive Officer, Sandy Ridge Group (previous ISACA Global Board Chair)**

3.20pm – 3.25pm

**SESSION TRANSITION BREAK**

3.25pm – 4.25pm

**SESSION 4**

**Internal audit reimagined – Delivering value in the new normal**

Your panel of practitioners will share their insights on innovations and transformations that are required for the internal audit function to remain relevant in the new normal. Key questions to be addressed include:

- › How has the last 18 months changed the role of the CAE?
- › Is the traditional audit model still relevant?
- › Can remote auditing deliver value?
- › How has technology changed the internal audit function?
- › Hiring for relevance – What are and where to find skills of future internal auditors?
- › Redefining the role of CAE in the new normal – How to articulate your value proposition for the new normal?

**Jillian Lobban, Group Head of Internal Audit - Group Internal Audit, AIA Group**

**Tracy Piscopo GradCertIA, Director Internal Audit and Chief Risk Officer, NSW Department of Customer Service**

**Jenny Tan, Head of Group Internal Audit, CapitaLand Group**

**Muir Watson, EGM Internal Audit, IAG Limited**

4.25pm – 4.40pm

**DAY 1 CLOSING REMARKS**

**DAY 2 - TUESDAY 12 OCTOBER**

**12.00pm – 12.10pm DAY 2 OPENING REMARKS**

**12.10pm – 12.50pm SESSION 5**

**Auditing organisational culture**

With culture continuing to be a key focus for organisations, regulators and stakeholders, it is critical that the assurance function provides active support in ensuring their organisation builds and maintains an effective culture. This session will explore:

- › The difficulties in determining what culture is, its role in risk management and how it is measured
- › Roles and responsibilities related to culture, including the Board, internal audit, and other functions
- › Expectations for internal audit
- › Explore different audit methods for assessing culture, and their respective benefits and drawbacks
- › Monitoring and reporting on culture – How to really understand where your organisation is at currently
- › Resources and guidance to help you through the process – Including the IIA-Australia Auditing Risk Culture Guide
- › Explore different ways of providing an opinion on culture and how this can be used to drive appropriate behaviours throughout the organisation

**Elizabeth Arzadon, Director, Kiel Advisory & Co-Author, Auditing Risk Culture - A Practical Guide, IIA-Australia**

**12.50pm – 12.55pm SESSION TRANSITION BREAK**

**12.55pm – 1.35pm SESSION 6**

**Privacy matters – Protecting your data**

Organisations transition to digital business has seen the exponential growth and use of data. The session will explore the challenge in managing and protecting your data. Key points to be discussed include:

- › Understanding how information is being used and stored across your organisation
- › Data classification – Getting the balance right between data availability and data security
- › What are the key controls that should be in place to ensure quality and integrity of data – Managing the risk on unstructured data
- › Increasing use of cloud
- › Ensuring compliance with relevant privacy legislations
- › Responsibilities of data breach reporting requirements
- › Understanding internal audit’s role

**Allen Ting, Senior Legal Counsel, Huawei Technologies**

**1.35pm – 1.40pm SESSION TRANSITION BREAK**

**1.40pm – 2.10pm SESSION 7 (CONCURRENT SESSIONS)**

**7A - Putting AI into IA**

- › Overview of AI and Robotic Process Automation and how it can apply in internal audit work
- › Establishing parameters for AI to do the work of internal audit
- › Unlocking the power of linking AI into Data Analytics
- › Measuring the success of using AI for internal audits and realising the benefits
- › Future risks and opportunities for the profession in the AI domain

**Lorraine Hogan, APAC Regional Internal Audit Director, Citibank N.A. Singapore**

**7B - Big things that small audit shops do**

- › Mapping your internal audit universe
- › Getting your audit priorities right in a limited resources environment
- › Being agile to address immediate organisation assurance needs
- › Addressing potential conflicts between maintaining independence and partnering with the business
- › Determining how your audit plan will deliver most value
- › Resourcing the audit and making the most of technology

**Shane Hubble CIA, Risk and Assurance Manager, Komatsu Australia Pty Ltd**

**Francis Lee CIA, General Manager, Internal Audit, Hong Kong Urban Renewal Authority**

**Alyssa Yoong CIA CRMA, Head of Business Improvements and Assurance, Blackmores**

## CONFERENCE PROGRAM

2.10pm – 2.25pm	<b>BREAK AND SPEED NETWORKING SESSION</b>	
2.25pm – 2.45pm	<b>PRODUCT DEMONSTRATIONS 2 &amp; 3 (CONCURRENT SESSIONS)</b>	
	<p><b>TeamMate+ Audit Management System</b></p> <p>Leading organisations are implementing the TeamMate+ audit management system and leveraging technology to improve the effectiveness and efficiency of their internal audit functions. This session will discuss some of the challenges faced by internal audit and explore how technology addresses these challenges allowing internal audit to work better, faster and smarter.</p> <p><b>Phil Leifermann PMIIA CIA CCSA CFSA CGAP CRMA, Business Development Director, Asia Pacific, Wolters Kluwer TeamMate</b></p>	<p><b>Product Demonstration 3 – TBC</b></p> <p>This session will feature product demonstrations and industry insights from our partners and sponsors and how these solutions can enhance your internal audit function.</p>
2.45pm – 2.50pm	<b>SESSION TRANSITION BREAK</b>	
2.50pm – 3.20pm	<b>SESSION 8 (CONCURRENT SESSIONS)</b>	
	<p><b>8A – Auditing agile projects</b></p> <ul style="list-style-type: none"> <li>› Meeting the challenge of keeping up with the speed of fast-tracked project deployment</li> <li>› Methodologies to identifying the critical risks and red flags in agile projects</li> <li>› Strategies to maintain adequate governance controls around agile projects</li> <li>› What agile practices are required for auditing agile projects?</li> <li>› Producing reports on agile projects that will provide stakeholders the right information at the right time for effective risk management</li> <li>› Critical essentials to enable success in auditing agile projects</li> </ul> <p><b>Matthew Davies, Executive Audit Manager Technology, Corporate &amp; Projects, Suncorp</b></p>	<p><b>8B - The 3 Lines Model in practice</b></p> <ul style="list-style-type: none"> <li>› Overview of the New IIA Three Lines Model – What does it mean for assurance functions?</li> <li>› Integrating the efforts of internal audit, risk and other assurance functions</li> <li>› Meeting the challenges of aligning the “big risk picture” with the internal audit program</li> <li>› Making the most of each other’s work / reports – Managing duplication in the assurance process</li> <li>› Identifying and addressing assurance gaps</li> <li>› Lessons learned from implementation and realising the benefits</li> </ul> <p><b>Jenitha John CIA QIAL, Immediate Past IIA-Global Chair &amp; Three Lines Model Working Group Chair, IIA Global</b></p>
3.20pm – 3.25pm	<b>SESSION TRANSITION BREAK</b>	
3.25pm – 3.55pm	<b>SESSION 9 (CONCURRENT SESSIONS)</b>	
	<p><b>9A - Mergers &amp; Acquisitions and Integrations - Where does internal audit fit?</b></p> <ul style="list-style-type: none"> <li>› Undertaking due diligence - Audit’s role in dealing with both parties – Is there a conflict of interest?</li> <li>› Internals audit’s role and responsibilities during merger / demerger activity</li> <li>› Meeting the Board’s expectations – Internal audit’s role in the business of the merger.</li> <li>› The positives and pitfalls of engagement</li> </ul> <p><b>Rajeev Kadam CIA CCSA, President and Global Head, Internal Audit at Olam International Limited, Singapore</b></p>	<p><b>9B - Assessing ESG risk</b></p> <ul style="list-style-type: none"> <li>› Understanding your organisation’s ESG roadmap and the ESG risk considerations</li> <li>› Overview of material risk exposures including <ul style="list-style-type: none"> <li>› Modern Slavery</li> <li>› Environmental</li> <li>› Reputational</li> </ul> </li> <li>› Mapping ESG targets against ESG reality</li> <li>› Measuring and reporting ESG issues - Internal audit’s role in ensuring that ESG requirements are satisfied</li> </ul> <p><b>Ken De Negri, Senior Manager, Risk Advisory Services, RSM Australia</b></p>
3.55pm – 4.00pm	<b>SESSION TRANSITION BREAK</b>	
4.00pm – 4.40pm	<b>SESSION 10</b>	
	<p><b>Being resilience ready</b></p> <p>Disruptive change is impacting all of us. This session will explore the importance of maintaining organisational and operational resilience as we navigate through the fast-changing environment:</p> <ul style="list-style-type: none"> <li>› Defining organisational and personal resilience</li> <li>› Insights on what successful organisations do to ensure the wellbeing of their people during difficult times</li> <li>› Addressing the challenges of making brave calls in difficult situations</li> <li>› Personal traits and tips and techniques that will help bring out your inner resilience</li> <li>› Sharing resilience through effective leadership</li> </ul> <p><b>Stuart Taylor, Founder &amp; Chief Executive Officer, Springfox</b></p>	
4.40pm – 4.45pm	<b>CLOSING REMARKS</b>	

# How to register

## Online Registration

Register online at [www.iaa.org.au](http://www.iaa.org.au) and follow the prompts. Each delegate must complete a separate online registration form. Please note this is a secure website.

## Registration forms

Alternatively registration forms can be scanned and returned by email: [conferences@iaa.org.au](mailto:conferences@iaa.org.au)

Please complete and return the registration form along with full payment. Each delegate must complete a separate registration form.

## Registration closing date and log-in details

### IMPORTANT:

**Please note that sessions will be delivered / spoken in English.**

**Registrations will close at COB Wednesday, 6 October 2021**

**Log-in details will be sent on Thursday, 7 October 2021**

For this event, IIA-Australia will be utilising a third-party virtual conference platform. All attendees registered will also have access to review sessions for 30 days after the event.

## CPE

Attendance will provide 8 CPE hours.

## Conference fees

All fees are quoted in Australian Dollars and are inclusive of the 10% compulsory goods and services tax (GST) for Australian based delegates. Overseas delegate fee excludes GST.

### ACIIA CAE Leadership Forum - Registration Fees

Australian Delegate	AUD \$320 (includes GST)
Overseas Delegate	AUD \$290 (excludes GST)



Internal Audit is **uniquely positioned** to shape a risk-aware culture and **influence the behaviours** of those around it.





# Registration form & tax invoice



The Institute of  
Internal Auditors  
Australia

ACIIA CAE Leadership Forum - 11 and 12 October 2021

## 1. PROVIDE PERSONAL DETAILS – please use block letters

Title      Prof    Dr    Mr    Mrs    Ms    Miss    Other

Family name

Given name

Postnominal    CIA®    CCSA™    CGAP™    CFSA™    CRMA™    GradCertIA    QIAL™    Other

Position

Organisation

Address for correspondence

City/State                      Country                      Postcode

Telephone (    )

Facsimile (    )

Mobile

Email

Name as you wish it to appear on name badge

## 2. CONFIRM REGISTRATION TYPE AND FEES

Australia Delegate (includes GST)	AUD \$320
Overseas Delegate (excludes GST)	AUD \$290

**TOTAL REGISTRATION FEES \$**

Please note that group discounts are not available for virtual attendees.

### 3. PAYMENT DETAILS

#### Method of payment (please choose an option)

1. I wish to pay by credit card\*

\* 1.05% surcharge for Amex | 1.23% surcharge for Visa/MasterCard | 3% surcharge for Diners

#### Please complete the following

Visa    MasterCard    Amex    Diners

Total amount in AUD \$

Credit Card Number

Expiry Date

Name of Card Holder

Signature

2. I will transfer the above sum to the

**Account Name:** The Institute of Internal Auditors – Australia

**Bank:** Westpac Banking Corporation

**Address:** 84 King Street, Sydney NSW 2000

**Branch (BSB):** 032003

**Account Number:** 478233

**Swift code:** WPACAU2S

When sending payment by telegraphic transfer from overseas, please add AUD\$25.00 for bank fees. The delegate is responsible for all fees associated with the transaction. To enable us to identify your payment, please ensure that your name and **ACIIA CAE Leadership Forum 2021** appear on the transfer.

Please email a record to [accounts@iia.org.au](mailto:accounts@iia.org.au).

### 4. RETURNING FORM

#### Please return form and payment to

Institute of Internal Auditors – Australia

email: [conferences@iia.org.au](mailto:conferences@iia.org.au)

**Each delegate must complete a separate registration form**

#### General enquiries

[conferences@iia.org.au](mailto:conferences@iia.org.au)

**Tel** +61 2 9267 9155

**Tel Toll free** (within Australia) 1800 236 366

[www.iia.org.au](http://www.iia.org.au)

#### Sponsorship enquiries

[anna.soo@iia.org.au](mailto:anna.soo@iia.org.au)

**Tel** +61 2 9267 9155

**Tel Toll free** (within Australia) 1800 236 366

#### DEFINITIONS

The word 'event' refers to all our conferences, workshops, webinars, members meetings, professional development training courses, dinners and other networking occasions.

#### INVOICING, PAYMENT & REGISTRATION

If an invoice is requested for an event, payment must be received within 14 days of the invoice date. The registration for events will not be processed until full payment is received. The registration fees includes certificate of attendance, lunch and morning and afternoon tea.

#### CANCELLATION FEES

All cancellations must be notified in writing to IIA-Australia. No refunds will be given for non-attendance. The following cancellation fees apply:

- Cancellations received 15 days or more before the event: 15% fee applies
- Cancellations received between 14 days and 8 days before the event: 25% fee applies
- Cancellations received within 7 days before the event: 100% fee applies

#### CANCELLATION BY IIA-AUSTRALIA

We reserve the right to alter published programs, speakers and venues without prior notice. However, events are intended to be provided as advertised. Professional development training courses are subject to sufficient participant numbers. If the event has to be cancelled, you will be notified at least one week in advance of the event. Our liability is limited to a full refund of the event fee only. No compensation will be paid for any other costs incurred by the delegate, such as travel or accommodation. IIA-Australia accepts no liability if an event is cancelled or postponed for reasons beyond our reasonable control.

#### PRIVACY STATEMENT

I, or a later substitute, hereby consent to my/their name, position and organisation being included in the Conference Delegate list and forwarded by IIA-Australia to related third parties including sponsors and exhibitors. I understand that if I do not provide consent my name will not be published in the list of participants that is distributed to each conference delegate upon registration. If you do not indicate your preference it will be assumed that we may use your details as described.

Consent      Do not consent

I acknowledge that details will be used to confirm my membership status at IIA-Australia. IIA-Australia may use a third party conference service providers to process your registration. For virtual attendees, when visiting virtual exhibition booths your contact details will be made available to exhibitors. Photographs and videos may be taken at the event to be used for IIA-Australia promotional purposes. IIA-Australia will handle any personal information collected on this form in accordance with its Privacy Policy.

#### TRANSFERRING YOUR PLACE TO SOMEONE ELSE

If you are unable to attend an event, you can send someone else in your place provided that person meets the entry requirements of the event. Please notify us in advance so that we can update our delegate list. If the replacement delegate is not entitled to attend at the same price (for example if an IIA-Australia member sends a non-IIA-Australia member in his or her place) then the difference in fees must be paid before the event is held.

#### TRANSFERRING FEE TO ANOTHER EVENT

Transferring your registration to another event 15 or more days prior to the event incurs a fee of 10% of registration fees. Transferring registration to another event within 14 days prior to the event is not permitted.

#### LIABILITY

IIA-Australia does not accept responsibility for anyone acting as a result of information or views expressed by speakers. Delegates should take specific advice when dealing with specific situations. Opinions expressed are those of individual speakers and not necessarily those of the IIA-Australia.

#### INTELLECTUAL PROPERTY

The Intellectual Property Rights in the events are owned by, and shall remain vested in, the IIA-Australia and/or its appointed training provider(s).

