



# 金融數位化時代下的 資訊風險與控制管理

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WHY DO CARS HAVE BRAKES?

為什麼汽車需要有煞車?



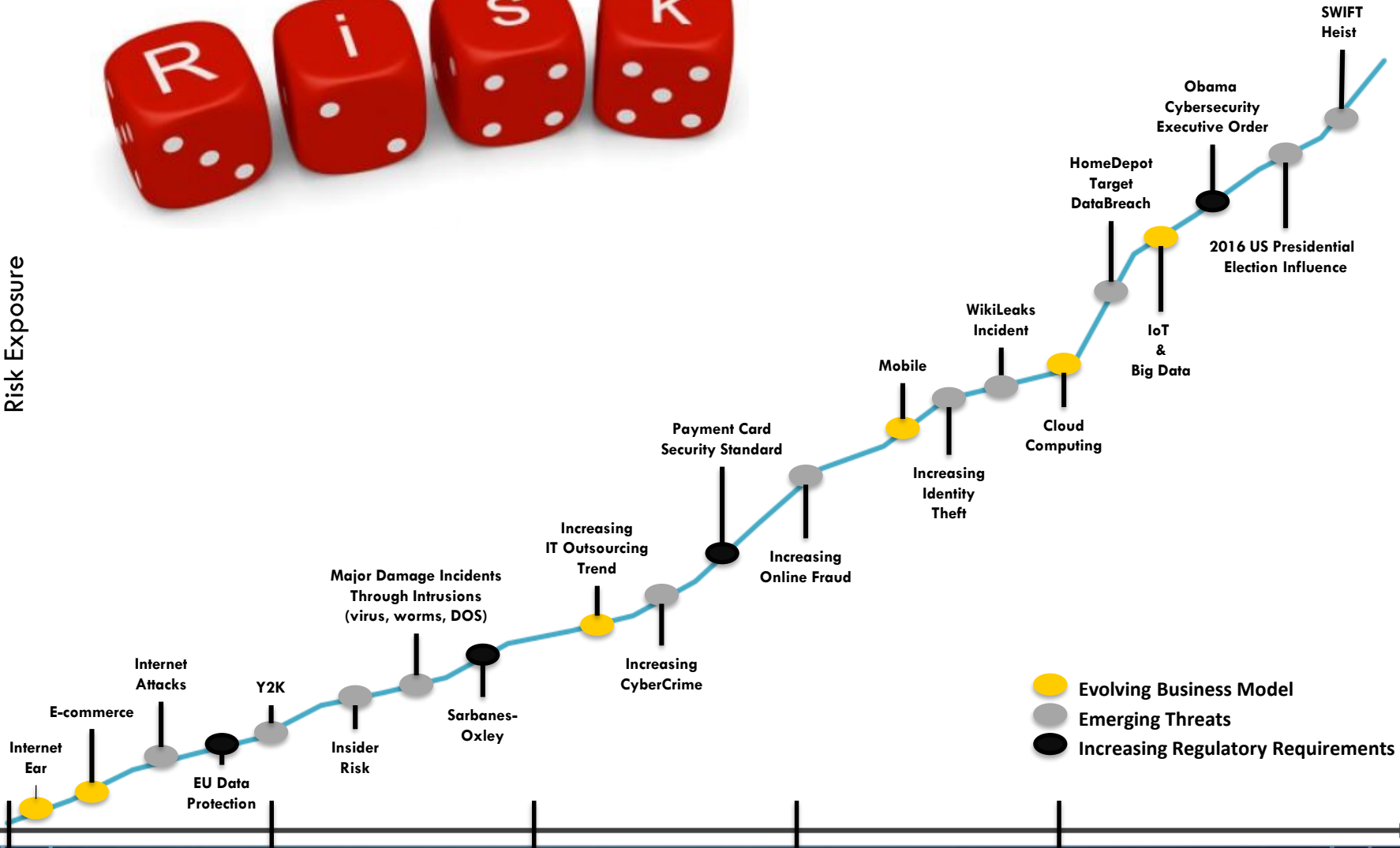
# WHY SHOULD ORGANIZATION MANAGE IT RISK?

## 為什麼企業需要管理資訊風險?

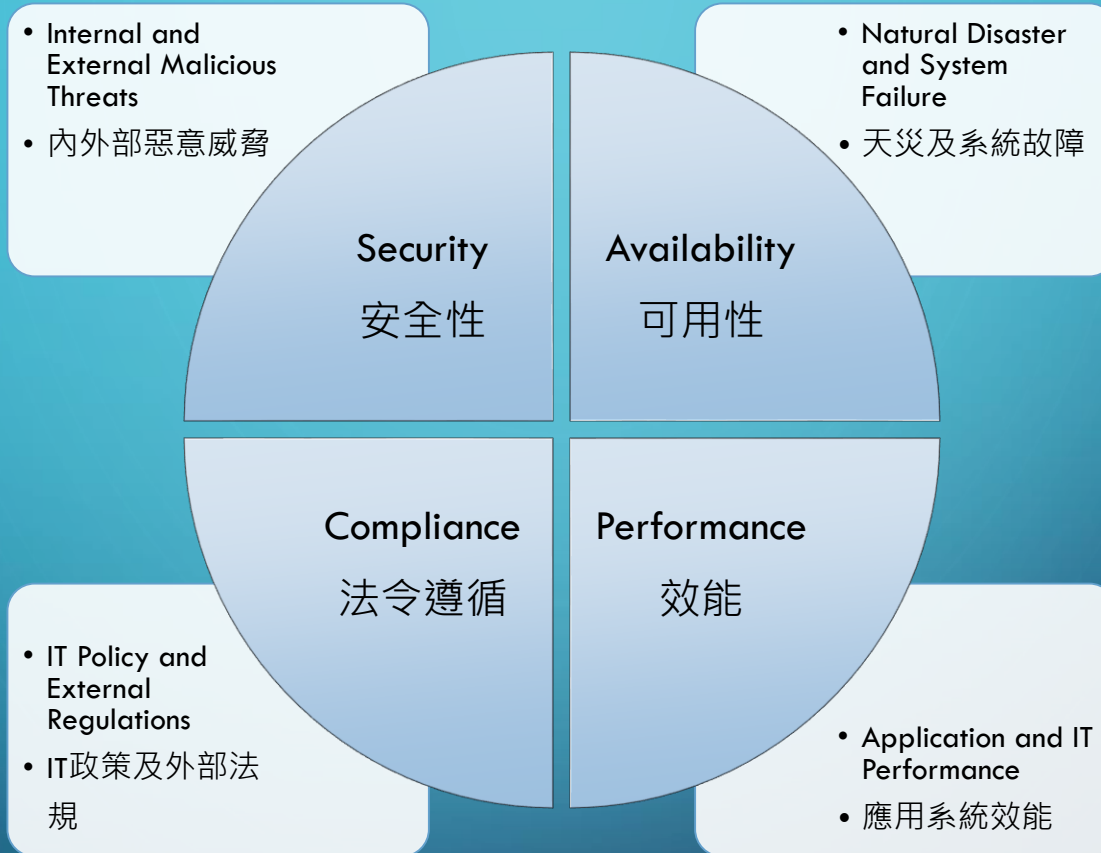
- 對資訊系統仰賴程度提高
- 組織資源有限
- 所處的環境越來越複雜



Risk Exposure



1995 – 1999 Internet Startup	2000 – 2003 E-commerce	2004 – 2007 Extended Enterprise	2008 – 2012 Borderless Enterprise	2013 – 2018 Cloud, IoT, Big Data, AI
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Source: "IT Risk Management Report 2," Symantec, 2007



IT RISK MANAGEMENT  
資訊風險管理

VS.

IT SECURITY MANAGEMENT  
資訊安全管理



# WHICH COMPANIES HAVE TECHNOLOGY RISK MANAGEMENT FUNCTION?

哪些企業已設有資訊風險管理專責單位?



# HOW CAN COMPANIES BENEFIT FROM IT RISK MANAGEMENT?

## 資訊風險管理能為企業帶來哪些好處?

- 降低資訊風險發生機率與影響
- 有效跨部門溝通資訊風險
- 協助資訊風險控制活動化繁為簡
- 落實三道防線精神



# WHAT ARE THE COMMON TECHNIQUES USED FOR IT RISK MANAGEMENT? 實用的資訊風險管理技巧有哪些?

- Risk and Control Matrix, RCA (風險管理矩陣);
- Self-assessment (自行查核);
- Risk Register (風險註冊);

# WHAT RESOURCES CAN HELP YOU ESTABLISH IT RISK MANAGEMENT FUNCTION?

哪些資源可協助建立資訊風險管理機制?



The background is a dark blue gradient. In the corners, there are decorative white line-art elements resembling circuit traces or network connections, with small circles at the end of the lines.

# MANAGE RISK AND CONTROLS THROUGH PARTICIPATION AND PARTNERSHIP

透過參與及合作落實風險管理與控制



**The End**

The background is a solid blue gradient. In the four corners, there are decorative white line-art patterns resembling circuit traces or fiber optic paths, with small circles at the end of the lines.

# APPENDIX. 補充說明



# HOW TO ESTABLISH RISK AND CONTROLS MATRIX?

如何建置風險控制矩陣?









# RISK IDENTIFICATION

## 風險辨識

	Process Name	Sub Process	Global Process Owner	Risk Owner	Global OR Officer
Gross Risk Assessment	Potential Failure				
	PF Context				
	Risk Sub-Type				
	Gross Risk	4			
	Identify Causes	Causes			

# CONTROL DESIGN

## 控制活動設計

	Control #	Control Description	Control Owner	Population Size	Cause #	Control Type	Frequency	Control Indicator #
Control Identification	1							
	2							

# TRACKING & MONITORING TECHNIQUES

## 追蹤與監控技巧

Control Indicator #	Control Indicator Type	Control Indicators Description	Control #	Frequency	Measurement Details		
					Data Point 1	Data Point 2	Data Point 3
1	KCI / KRI / CST						
2							
3							
4							

