



Qualification in
Internal Audit Leadership™

CANDIDATE HANDBOOK

MAY 2015



Table of Contents

- INTRODUCTION:** About The Institute of Internal Auditors 5
- About the Qualification in Internal Audit Leadership (QIAL) 7
- The IIA's Streamlined Qualification Process 8
- Getting Started: Select your Program Pathway 9
- Step 1: Join The IIA as a Member (optional)..... 12
- Step 2: Create a CCMS Profile (new CCMS users only)..... 12
- Step 3: Submit a QIAL Application..... 13
- Step 4: Submit the Appropriate Documentation Within 90 days 14
 - Submitting the Required Documentation 14
 - Eligibility Period..... 15
- Step 5a: Register for Case Studies (Program Pathway 1)..... 15
 - Authorization to Test 15
 - Accommodations for Candidates With Disabilities and Other Adjustments 16
- Step 6a: Schedule Case Studies..... 16
 - Scheduling 16
 - When to Schedule 16
 - How to Schedule 17
 - Case Study Testing Windows 18
 - Case Study Cancelation..... 18
- Step 7: Complete Case Studies 18
 - Retaking Failed Case Studies..... 19
 - Retaking Passed Case Studies 19
 - Progression 19

Table of Contents (Continued)

Step 5b: Submit Portfolio of Professional Experience for One, Two, and/or Three Units (Program Pathway 2)	19
Submitting the Required Evidence	20
Evidence Requirements.....	20
Receive Confirmation of Credit for One, Two, and/or Three Units	20
Step 6b: Completing Case Studies as an Alternative.....	21
Step 8: Register for Presentation and Panel Interview	21
Step 9: Schedule Presentation and Panel Interview.....	21
Step 10: Complete Presentation and Panel Interview	22
Step 11: Become Qualified and Receive Certificate.....	22
Step 12: Maintaining Your QIAL Designation	23

Introduction: About The Institute of Internal Auditors (IIA)

Established in 1941, The IIA (www.globaliia.org) is an international professional association with global headquarters in Altamonte Springs, Florida, USA. The IIA is the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator. The IIA worldwide serves more than 180,000 members in more than 190 countries through over 100 separate affiliated institutes. Generally, members of The IIA work in internal auditing, risk management, governance, internal control, IT audit, education, and security. The IIA currently offers five globally recognized certification programs and one leadership qualification:

Qualification in Internal Audit Leadership™ (QIAL™)

- The QIAL was developed by The IIA to support aspiring, new, and experienced Audit Executives (AEs) in helping to grow and change the internal audit profession. Internal audit today demands a new type of leader – one who drives a high performing audit team while delivering value by consistently addressing stakeholder needs, top-down risk, and expectations of an evolving marketplace.

Certified Internal Auditor® (CIA®)

- The CIA certification is the only globally accepted certification for internal auditors and remains the standard by which individuals demonstrate their professionalism in the internal audit field. Candidates leave the program enriched with educational experience, information, and business tools that can be applied immediately in any organization or business environment.

Certification in Control Self-Assessment® (CCSA®)

- The CCSA certification is an esteemed certification for control self-assessment practitioners. It measures a candidate's knowledge of important CSA fundamentals, processes, and related topics such as risk, controls, and business objectives. It is the standard by which individuals demonstrate their comprehensive professionalism in the field.

The IIA's Mission

The mission of The IIA is to provide dynamic leadership for the global profession of internal auditing. Activities in support of this mission will include, but will not be limited to:

- Advocating and promoting the value internal audit professionals add to their organizations.
- Providing comprehensive professional educational and development opportunities, standards and other professional practice guidance, and certification programs.
- Researching, disseminating, and promoting knowledge concerning internal auditing and its appropriate role in control, risk management, and governance to practitioners and stakeholders.
- Educating practitioners and other relevant audiences on best practices in internal auditing.
- Bringing together internal auditors from all countries to share information and experiences.



Certified Financial Services Auditor® (CFSA®)

- The CFSA program measures an individual's knowledge of audit principles and practices within the banking, insurance, and financial services industries. Candidates may choose any one of these disciplines when taking the exam, regardless of their current occupational field. The CFSA is a respected certification for practitioners of financial services auditing.

Certified Government Auditing Professional® (CGAP®)

- The CGAP program was designed especially for auditors working in the public sector at all levels — federal/national, state/provincial, local, quasi-governmental, or crown authority. It is an excellent professional credential that prepares and qualifies practitioners for the many challenges they face in this demanding arena.

Certification in Risk Management Assurance® (CRMA®)

- The CRMA program was designed to allow audit practitioners and others interested in risk management assurance to demonstrate their ability to provide advice and assurance to audit committees and executive management on whether key risk management and governance processes in their organizations are in place and are effective.

There are many reasons to obtain an IIA professional credential. Whether it is the hallmark certification of internal auditing — the Certified Internal Auditor (CIA) certification — one of our four specialty industry certifications, or the Qualification in Internal Audit Leadership (QIAL), obtaining an IIA credential is professionalism defined. No matter which programs you choose, earning an IIA professional credential demonstrates your commitment to your career and the internal audit profession.

Qualification in Internal Audit Leadership (QIAL)

The environment in which internal auditing operates is fast moving, constantly changing, and hugely challenging. With ever-rising expectations and increased value attached to the role that internal auditing plays, much is required of those in leadership positions. Those who rely on the assurance and other services that internal auditing delivers will expect the activity to be led by individuals with a keen understanding of its role and nature alongside proven leadership capabilities.

Introduced in 2014, the QIAL is the only qualification program that addresses the specific requirements to be successful in leadership roles in internal auditing. Focused on those aspects that are critical to success and delivered in a unique and challenging format, the QIAL gives candidates the opportunity to demonstrate these competencies to their colleagues and shareholders.

The program assesses expertise across the breadth of knowledge, skills, and understanding needed to be an effective audit executive (AE or equivalent) in the dynamic and challenging environments in which they typically operate. This includes:

- Dynamic leadership of the audit activity and more widely across an organization.
- Delivering penetrating insights.
- Remaining at the forefront of global best practice.
- Communicating with impact.
- Powerful personal effectiveness.
- Optimizing persuasiveness and influence.
- Managing interpersonal relationships strategically.
- Critical analysis and evaluation.
- Originality of thought.
- Change management.
- Advocacy.
- Ethical authority.

The program, currently available in English, includes generic and transferable skills suitable for any senior leadership position — whether in internal auditing or elsewhere — but the emphasis throughout is on how these skills coalesce around the qualities of leadership in the specific case of the AE, as the head of the audit function, the trusted business partner, the provider of challenge and insight, the custodian of standards, and the advocate of change and improvement.

Is this for me?

The program is ideally suited for **aspiring leaders**, namely those seeking to move into senior positions within internal auditing, including aspiring audit executives.

It also addresses the needs of **new leaders** who, while having significant management experience, may not have worked within internal auditing previously and who now need to acquire a thorough understanding of its purpose, strategies, and potential impact.

Additionally the program will have strong appeal for **experienced leaders** seeking confirmation and recognition for their skills and expertise while gaining fresh insights into leading edge professional practices. The QIAL also benefits **experienced instructors** who have worked with senior practitioners in helping prepare them for leadership positions or have been engaged in postgraduate academic research in internal auditing and related fields.

Addressing the MUST-HAVE Skills for a Successful Leadership Role

QIAL SKILL FOCUS	SKILL MASTERED
Internal Audit Leadership	Leading staff, resources, strategy, planning, and quality assurance
Organizational Leadership	Providing insights into organizational governance, risk, and control, and influencing corporate thinking
Ethical Leadership	Championing professional conduct standards, stewardship of resources, and social responsibility
Innovation and Change Leadership	Effecting change and process improvement while adopting leading practices in internal audit

The IIA's Streamlined Qualification Process

This handbook walks you through the process from start to finish and should provide all the information you need to complete the administrative processes, case studies, and final presentation and panel interview. Additional information about the program content and related policies is available online. Please visit www.globaliia.org/qial for up-to-date information and important notices.

The QIAL case studies are available through computer-based testing, allowing you to test within the available testing windows at more than 500 locations worldwide. Candidates are able to sit for case studies at any IIA-authorized Pearson VUE testing center worldwide, regardless of whether the testing center is located in your hometown or country. To locate the testing centers nearest you, visit the [Pearson VUE website](#). You must apply and register in The IIA's [Certification Candidate Management System \(CCMS\)](#) prior to scheduling a case study.

The presentation and panel interview may also be booked (subject to availability) in accordance with your preferences and may be undertaken face to face, remotely, or via a facilitated recording. In instances where candidates do not have access to the necessary equipment (including a computer with a webcam and a robust Internet connection), The IIA and the local IIA institute will endeavor to provide the appropriate means to enable candidates to participate in web conferencing as required.

Getting Started: Select Your Program Pathway

The QIAL professional credential is designed to benefit four group types. You must select one of two pathways to follow, based on the group type eligibility requirements below:

■ Program Pathway 1:

- **Aspiring leaders** – Those with a minimum of five years' internal audit experience or its equivalent and an active CIA.
- **New leaders** – Those with a minimum of 15 years' general management experience (or 10 years if they have an active CIA) who are now in an AE or equivalent position.

■ Program Pathway 2:

- **Experienced leaders** – Those with a minimum of 15 years' general management experience (or 10 years if they have an active CIA), including at least three of the last five years as an AE or equivalent.
- **Experienced instructors** – Those with a minimum of 15 years' experience (or 10 years with an active CIA) providing instruction to senior practitioners in internal auditing or engaged in postgraduate academic research in internal auditing or related subjects.

“Internal audit experience” means experience in audit or assessment disciplines, including internal auditing, external auditing, quality assurance, compliance, and internal control. “General management experience” means being in a position of responsibility for staff, planning, quality, budgets, or other resources. “Audit Executive (AE)” describes a person in a senior position responsible for effectively managing the internal audit activity in accordance with the internal audit charter and the Definition of Internal Auditing, The IIA Code of Ethics, and the Standards. The audit executive or others reporting to the audit executive, will have appropriate professional certifications and qualifications. This is interpreted to identify the individual who is accountable for the internal audit activity with respect to:

- Strategy
- Policy
- Planning
- Delivery
- Reporting, and
- Quality

The specific job title of the audit executive may vary across organizations. (Glossary of the International Professional Practices Framework). In some organizations there may be more than one person who satisfies this definition. Responsibilities may be delineated by division, department, geographical region, or similar segmentation.

QIAL Method and Steps to Achievement

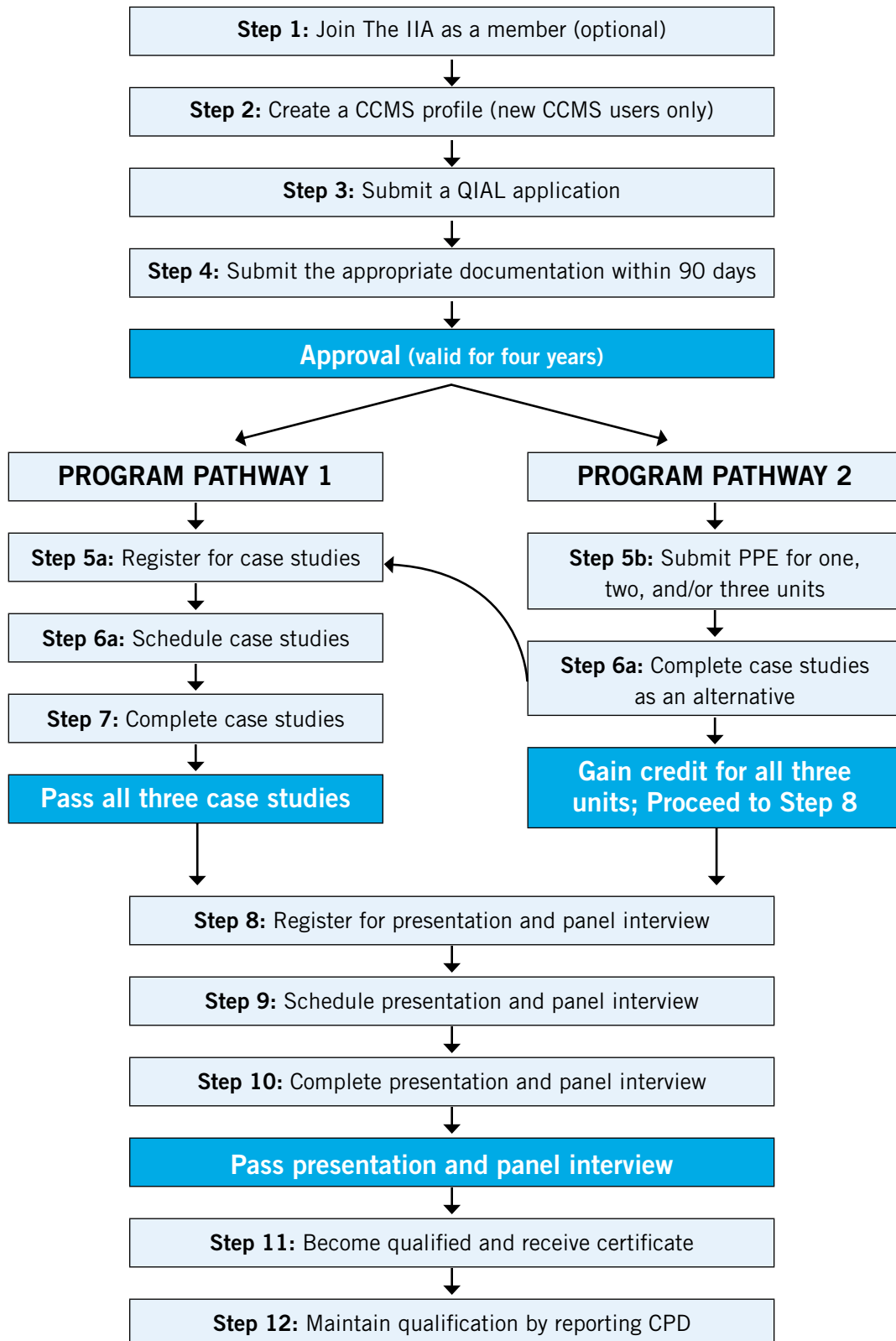
Requirements for each pathway are listed below. Aspiring and new leaders (Program Pathway 1) are required to complete all three case studies, as well as the presentation and interview. Experienced leaders and instructors (Program Pathway 2) have the option of completing the three case studies, or submitting a Portfolio of Professional Experience (PPE) or any combination of the two. Candidates who have selected Program Pathway 2 must complete the presentation and interview as well.

ASSESSMENT	PROGRAM PATHWAY 1		PROGRAM PATHWAY 2	
	Aspiring leader	New leader	Experienced leader	Experienced instructor
Case study 1	✓	✓	Portfolio of Professional Experience (PPE)	Portfolio of Professional Experience (PPE)
Case study 2	✓	✓		
Case study 3	✓	✓		
Presentation	✓	✓	✓	✓
Panel Interview	✓	✓	✓	✓

If you are eligible to apply for the QIAL within both Program Pathways, by following Program Pathway 2, you will be able to choose your preferred combination of case studies and the Portfolio of Professional Experience (PPE).

Note: All experience requirements for both Program Pathway 1 and 2 must be satisfied at the point of application. There is no requirement to be an IIA member.

Steps to Achievement



Step 1: Join The IIA as a Member (optional)

If you are not yet a member of The IIA, consider joining before you apply for the Qualification in Internal Audit Leadership (QIAL). This will enable you to take advantage of member exclusive pricing and other immediate and long-term benefits, including:

- Preferred pricing on application and assessment registration fees.
- Special pricing on learning resources available through The IIA Research Foundation Bookstore.
- Members-only access to The IIA's online auditing standards, ethics, and guidance information.
- Access to local IIA institutes and chapters for professional development opportunities.

For information on becoming an IIA member, please visit www.theiia.org/membership.

Those outside North America (defined as the United States, Canada, the Caribbean, Bermuda, and Guyana) should contact their local institute for more information on becoming a member. Visit www.globaliia.org to identify your local institute and explore the benefits of membership in your region.

Members of The IIA in North America receive exclusive benefits including but not limited to:

- Free CPE/CPD reporting.
- Complimentary monthly members-only Webinars.
- Reduced registration fees for IIA seminars and conferences.
- Members-only pricing on hundreds of IIA educational products.
- Subscriptions to the award-winning *Internal Auditor* magazine.
- Members-only access to the Audit Career Center job postings.
- Professional networking opportunities.
- Participation on local or international volunteer committees.

For information on membership, go to www.theiia.org/membership.

Note: Your membership must be processed before you can receive exclusive member pricing on your QIAL application and assessment registration fees. These special members-only rates on qualification fees cannot be applied retroactively.

Step 2: Create a CCMS Profile (new CCMS users only)

If you have not previously applied to The IIA for a global certification program, you must first create a unique profile in The IIA's Certification Candidate Management System (CCMS). To do so, visit www.globaliia.org/qial and click on the link to CCMS where you will be directed to the CCMS login page. Click on the "First Time Users" link on the right, read and agree to the terms of use, and complete the "New Profile" page. For specific instructions on how to use CCMS, refer to the [CCMS Candidate User Guide](#).

Step 3: Submit a QIAL Application

Log in to CCMS and click on the “Complete a Form” link to complete an application form. Select the application form for either Program Pathway 1 or Program Pathway 2 for the QIAL, and complete the required information.

Be careful to complete the application accurately. Between submitting your application and being approved, you will have 90 days in which you will need to submit documentation to verify certain information that you report (such as experience and status – see Step 4 below). If your documentation does not support the information provided on your application, you can face review and censure by The IIA's Global Ethics Committee, including but not limited to removal from the qualification program and revocation of assessments or qualification.

In completing the application you will be asked to accept the following attestation:

1. I hereby apply to The IIA for the Qualification in Internal Audit Leadership (QIAL) in accordance with and subject to the procedures and regulations of The IIA. I have read and agree to the conditions set forth in this form, in effect at the time of my application, covering the certification process and continuing education policies. I agree and certify that I have read and will abide by the provisions of The IIA Code of Ethics (available online) and accept all conditions of the professional credential program.
2. I authorize The IIA to make whatever inquiries and investigations it deems necessary to verify my credentials and my professional standing.
3. I hereby agree to hold The IIA, its officers, directors, examiners, employees, and agents, harmless from any complaint, claim, or damage arising out of any action or omission by any of them in connection with this application; the application process; the failure to issue me any certificate.
4. I understand that my application fee for the Qualification in Internal Audit Leadership is non-refundable in the event that my application is not approved.
5. I UNDERSTAND THAT THE DECISION AS TO WHETHER I QUALIFY FOR PROFESSIONAL CREDENTIAL RESTS SOLELY AND EXCLUSIVELY WITH THE IIA. I HAVE READ AND UNDERSTAND THESE STATEMENTS AND INTEND TO BE LEGALLY BOUND BY THEM.
6. The IIA application/registration pricing is based on your membership status. Pricing can be found on the QIAL web page [here](#). The price you see on the following page is final and not transferable or refundable. If the price is displayed incorrectly due to your membership status not being updated, please wait until your membership request has been processed at The IIA prior to submitting this form. For additional information on how to view membership status, please contact our Customer Relations Department at +1-407-937-1111 or customerrelations@theiia.org.

Step 4: Submit the Appropriate Documentation Within 90 days

When you have completed your application, you will receive an email asking you to submit required documentation. Documentation is required within 90 days of submitting your application before your application can be approved. Until your application is approved, you will not be able to make any further progress or register for any case studies.

Submitting the Required Documentation

Candidates must submit documentation related to:

Proof of identification

Identification must be proved in the form of a copy of the candidate's official passport or national identity card including a clear photograph. All documents must indicate current status; expired documents will not be accepted. All documents must be scanned and uploaded in a manner that ensures the photo is clearly legible.

Character reference

This must be supplied on the QIAL Character Reference Form, which must be completed and signed by an active IIA-certified individual, or a current or prior supervisor. A copy of this form is available at <https://global.theiia.org/qial/Public%20Documents/Character-Reference-Form.pdf>.

Professional experience

A statement of the candidate's work history must be attested to by the candidate's former or current manager, or someone holding an active IIA credential. All experience requirements must be satisfied at the point of application. A completed and signed QIAL Experience Verification Form is required. This document should only be completed and submitted if the experience requirements attested to have been completed in full. A copy of this form is available at <https://global.theiia.org/qial/Public%20Documents/Candidate-Guide-to-the-Portfolio-of-Professional-Experience.pdf>.

The QIAL Experience Verification Form and the QIAL Character Reference Form are also available on the QIAL web page. You may be able to complete some sections electronically (depending on how you access these forms) but both forms require handwritten signatures, and therefore you should print the forms, complete any sections that you have not completed electronically, and save a scanned copy on your computer, saving in either pdf or tif format. Please be sure to indicate your candidate ID /membership number on all your correspondence with us. You should then visit the Certification Document Upload Portal (<https://global.theiia.org/certification/new/pages/certification-document-upload.aspx>) to submit your documents to The IIA securely for review.

Once your documentation has been reviewed, you will either be approved or not approved for the QIAL, depending on whether your documentation provides sufficient evidence to support your application. If your application is approved, you will receive notification via CCMS confirming your approval. If your application is not approved, you will be contacted with additional information and requirements.

Eligibility Period

Once approved, your application will be **valid for four years**. The eligibility period requires candidates to complete the program process within four years of application approval. If a candidate has not completed the process within four years, all fees and any assessments already successfully completed will be forfeited.

The eligibility period may be extended only after presentation and acceptance of an exception request detailing extenuating circumstances. A request must be made through CCMS by submitting an incident, requesting consideration and further detailed instruction will follow.

If a candidate's eligibility period expires and they wish to reapply, the candidate may not retake any previously passed assessments within three years of passing that part.

Program Pathway 1: go to Step 5a.

Program Pathway 2: go to Step 5b.

Step 5a - Register for Case Studies (Program Pathway 1 only)

Candidates can register for case studies once all the required documentation has been submitted and the application has been approved. Registration occurs online through CCMS.

You may only register for one case study per registration form. If you wish to register for more than one case study, you will need to repeat these steps.

Each registration is valid for 120 days and (once you have submitted your registration form) allows you to sit for that case study one time. It is your responsibility to schedule an appointment for the case study during the period that your registration is valid and to sit for the case study during that time (see Step 6a below).

Log in to CCMS and click the "Complete a Form" link to complete a case study registration form. Select the appropriate form for the case study of your choice.

Note: It is only possible to register for the presentation and panel interview once all three case studies have been passed.

Authorization to Test

Once your case study registration has been processed (including payment), you will receive an "Authorization to Test" notification (one for each registration) via email advising you to contact Pearson VUE (The IIA's CBT administration vendor) to schedule your case study at one of their computer-based testing centers (CBT). You will be asked to wait 48 hours before contacting Pearson VUE in order to allow time for your registration data to be uploaded to their scheduling system. You cannot schedule an IIA case study with Pearson VUE without first registering and receiving authorization from the IIA.

The authorization to test for an individual case study registration is valid for 120 days. This means that you need to schedule your case study within the 120 day period. Please note that case studies are available in February, June, and October. Failure to schedule your case study within the 120 day period will result in forfeiture of your registration fee and you will need to re-register.

Accommodations for Candidates With Disabilities and Other Adjustments

If you have a physical or medical condition that requires modification to the test administration conditions, as soon as possible (preferably before you schedule any assessments), please contact The IIA's Global Certifications Department at +1-407-937-1325 or joelle.mcfaddin@theiia.org.

Step 6a: Schedule Case Studies (Program Pathway 1)

Scheduling

Scheduling is the process through which you secure a testing station at the location and time that you wish to take your case study within the available testing windows. You should schedule your case study as soon as possible so that you have the greatest opportunity to sit at your preferred date and time. Case studies must be scheduled so that it can be completed within the allotted testing window that falls within the 120 day period for which the registration is valid.

When to Schedule

You can schedule your case study for any available appointment time within 120 days from the date that the registration is processed at The IIA. If you do not schedule your case study in that time period, your “Authorization to Test” will expire (unless you have applied and paid for a one-time deferment), and you will be required to register and pay for that case study again to schedule or sit for it. Neither The IIA nor its vendor is responsible if you do not schedule an appointment before your registration or authorization to test expire.

How to Schedule

The easiest way to schedule a case study exam appointment (as well as reschedule an appointment, if necessary) is on the Internet. Using the Internet provides you with 24-hour scheduling access, giving you the quickest and most direct access to preferred dates and test center locations. You will also instantly receive a detailed confirmation of your appointment (on-screen and via email). Please be sure to use a valid email address. To schedule online, follow these steps:

1. Go to www.pearsonvue.com/ia.
2. Click on “My Account.”
3. Log in using your first name, last name, and candidate ID (membership ID) as it appears on your Authorization to Test letter. If you are a first-time user of the Pearson VUE website, you will need to click “Create a New Web Account” and will be asked for additional information.
4. You will be asked to set up a username and password. (Make note of them.)
5. You will be asked to choose two security questions. (Make note of them.)
6. Complete the requested information. Use the same information that you provided in your IIA CCMS “Primary Address” and “Primary Email” fields in order for the Pearson VUE system to locate your authorization from The IIA.
7. Click “Finish.” You may immediately schedule your exam.
8. Click on “Schedule Your Exam Now.” You will see all the case study exams you have been authorized to take and are able to schedule.
9. Select the case study exam you wish to schedule and follow the instructions to select the location of the testing center where you wish to take the exam. A calendar indicating available test dates will appear. Click on an available date to see the time slots that are available for the case study exam and select the time for your appointment. Follow the instructions to complete the scheduling of your appointment. You will receive an email confirmation of your appointment.

Note: You will see two confirmation screens on the Pearson VUE website. The first will be listed as “Confirm Order.” You must click on the “Confirm Order” button in the bottom right-side of the screen. You will then see a “Receipt” screen, which will indicate that you are confirmed for the specified case study test date and location.

Scheduling by phone

You may also schedule your exam over the phone. Visit www.pearsonvue.com/ia to see a listing of available phone numbers for Pearson VUE call centers. Many call centers have toll-free numbers for your convenience. Provide the call center representative with your IIA candidate ID/membership number, and you will be led through the scheduling process. Please have your first, second, and third choice of dates and times planned before you call the call center. You may not schedule an exam directly at a Pearson VUE testing center, and no walk-in appointments are allowed.

QIAL Case Study Schedule Changes

Changing an appointment can be accomplished online at www.pearsonvue.com/ia or by calling a Pearson VUE call center. Once you make an appointment, you will be permitted to make changes for a fee per reschedule or cancellation. Changes must be made no later than 48 hours prior to your current appointment. After that time, if you do not appear for your case study at your scheduled location on your scheduled date and time, you will be considered a “no-show,” your registration will be voided, you will forfeit your case study registration fee, and you will be required to register and pay for that case study again in order to sit for it in the future. Additionally if you cancel your case study appointment and do not reschedule within the 120 day scheduling period, you will forfeit your registration fee.

If you change your appointment time and do not receive an email confirmation of the cancellation, please contact the Pearson VUE call center immediately. You may reschedule your case study appointment as needed during your 120 day eligibility period. There will be an additional fee to reschedule or cancel. Please visit www.globaliaa.org to view the pricing structure for the most current fees. To cancel an appointment you must personally contact Pearson VUE customer service. Go to www.pearsonvue.com/ia to find your local phone number to call.

Case Study Testing Windows

QIAL case studies are currently available in February, June, and October.

As your registration for any particular case study is valid for 120 days, when you come to schedule, you will be able to see the available dates within that 120 day period. Any 120 day period will always include a whole month of the case study testing window, although, depending on when your registration is approved, it may be that it is split between the end of one testing window and the beginning of the next one. For example, if you register in the middle of June, you will be able to register for all dates in June after the approval of your registration and for all the dates in the beginning of October up to the 120th day following approval of your registration.

All times are Eastern Standard Time. You must schedule your case study so that it is completed within the given window. Test center available appointments vary and may not be available evenings and weekends. Please contact Pearson VUE for appointments available in your local area.

Case Study Cancellation

If you cancel your case study appointment and do not reschedule within the 120 day scheduling period, you will forfeit your registration fee.

Step 7: Complete Case Studies

Once you complete and submit your case study at a Pearson VUE testing center, you will receive a report confirming that your case study has been submitted. In addition, your CCMS record will be updated within 24 hours to reflect this. The score of the case study will initially be given as “T” indicating that it has been taken. Case studies are scored within 60 to 90 days of completion. You will be notified via email when your final score has been loaded into your CCMS record.

Retaking Failed Case Studies

If you fail any one of the case studies, you must wait at least 90 days before you are able to retake it.

You can re-register for the case study and schedule a new appointment once your case study results are published to CCMS. However, the earliest appointment date that will be available to you will be 90 days from the date that you last took that case study. Please keep in mind that when you register for a case study, you must sit for that case study within 120 days of your registration being processed by The IIA. If you register immediately after failing a case study, your 120-day authorization period will begin immediately but you will still have to wait 90 days before your first opportunity to sit for the case study.

There is no limit to the number of times a candidate can retake a failed case study. To re-register for a failed case study and schedule a new test appointment, repeat Steps 5a and 6a. For each retake, you will be assigned a different case study.

Retaking Passed Case Studies

Once you pass a case study, you are not allowed to retake a case study for that same unit again. The only exception is if you fail to achieve your qualification within the defined eligibility period. In this instance, you are required to wait for a period of three years to retake previously passed case studies.

Progression

Once you have received notification that you have passed all three case studies, you will be able to register for the presentation and final panel interview (see Step 8 below).

Proceed to Step 8.

Step 5b: Submit Portfolio of Professional Experience for One, Two, and/or Three Units (Program Pathway 2 only)

Upon approval of your application for Program Pathway 2, you are eligible to submit your Portfolio of Professional Experience (PPE) for one, two, or all three units. Submission is made by completing the PPE submission forms in CCMS and uploading the required evidence through the Document Upload Portal which can be accessed here <https://global.theiia.org/certification/new/Pages/Certification-Document-Upload-Portal.aspx>.

Note: For Program Pathway 2 candidates, it is only possible to register for the presentation and interview once you have gained credits for units 1, 2, and/or 3, either by an approved PPE submission or by completing the case study for that unit. (If you plan to complete one or more units through the PPE, you will need to complete Step 5b for each one.)

Refer to the *QIAL Candidate Guide to the Portfolio of Professional Experience* at <https://global.theiia.org/qial/Public%20Documents/Candidate-Guide-to-the-Portfolio-of-Professional-Experience.pdf> for help in preparing your submission. To complete the PPE submission forms, you will need to log in to CCMS and select the Portfolio of Professional Experience form for the required unit or units. If your PPE submission is unsuccessful and you later wish to make another attempt, you will need to repeat the submission process. There is no limit to the number of submissions that you may make within your QIAL eligibility period.

Log in to CCMS and click on the “Complete a Form” link to complete a Portfolio of Professional Experience form for the required unit. If you wish to submit a PPE for more than one unit, you will need to repeat these steps.

PPE submissions will not be processed until payment has been received in full and processed to your record. A submission without payment will only remain open for 90 days, at which time it will be denied and a new form must be completed.

Submitting the Required Evidence

Once you have completed the form or forms for the required units on CCMS and made payment, you can then submit the evidence to support your PPE through the Certification Document Upload Portal. PPE submissions can only be accepted in English. Any documents that need to be translated must be done so at the candidate's expense prior to submission. Please ensure that all evidence submitted includes your candidate ID number.

Candidates must complete the QIAL Portfolio of Professional Experience record sheet and evidence summary. In addition, each piece of evidence must be accompanied by a QIAL PPE Attestation Form. This should be printed, completed, signed, scanned, saved, and uploaded with your evidence.

Scan your evidence and save a scanned copy on your computer, saving in either pdf or tif format. Please be sure to indicate your candidate ID/membership number on all your correspondence with us. Evidence submitted needs to be cross-referenced to the Evidence Summary Cover sheet. Then visit the *Certification Document Upload Portal* at <https://global.theiia.org/certification/new/Pages/Certification-Document-Upload.aspx>. As you complete the on-screen instructions, you will be asked to upload your documents.

Evidence Requirements

Refer to the *QIAL Candidate Guide to the Portfolio of Professional Experience* at <https://global.theiia.org/qial/Public%20Documents/Candidate-Guide-to-the-Portfolio-of-Professional-Experience.pdf> to help you prepare your submission.

Receive Confirmation of Credit for One, Two, and/or Three Units

The evidence submitted in your PPE will be assessed against a detailed scoring rubric to determine whether sufficient credit has been gained for each of the units applied for. As in all non-disclosed scoring processes, the scoring is not shared with candidates. Two outcomes are available for each individual unit:

- Pass.
- Fail.

For a Pass outcome, no further feedback will be provided. If the assessor is unable to pass your portfolio because of insufficient evidence they will describe the gaps and seek additional information. Any evidence you are able to provide within two weeks will be considered. If on conclusion of this process the portfolio is still incomplete it will be judged a fail. For a Fail outcome, there is no option to submit additional evidence as part of the same application. A new application may be made for an additional fee by repeating Step 5b above. Alternatively you may choose to attempt a case study for that unit by completing Steps 5a, 6a, and 7 for Program Pathway 1.

Once you have received notification that you have credit for all three units, you will be able to register for the presentation and final panel interview (see Step 8).

Step 6b: Completing the Case Studies (Program Pathway 2)

If you have been approved for Program Pathway 2, you may complete each unit either by submitting a PPE or by completing a case study. You may choose to do this instead of submitting a PPE for any given unit. Alternatively you may elect to register for, schedule, and complete a case study after you have previously submitted a PPE for a given unit that was unsuccessful. You may do this for one, two, or three units.

In order to register for, schedule, and complete a case study, follows steps 5a, 6a, and 7 for Program Pathway 1.

There is no Step 7 for Program Pathway 2; proceed to Step 8.

Step 8: Register for Presentation and Panel Interview

Once you have passed all three case studies or completed them through a successful PPE, you will be able to register for the presentation and panel interview. These will normally be taken together and assessed by the same panel, unless you have previously failed either the presentation or the panel interview and need to retake either one. Registration occurs online through CCMS. You will need to complete two separate registrations: one for the presentation and one for the panel interview. However, you will be able to schedule them so that they are assessed in a single session.

Log in to CCMS and click on the “Complete a Form” link to complete a presentation or interview registration form. Select the appropriate form for either the presentation or panel interview. (If you wish to register at the same time for both the presentation and the panel interview, you will need to repeat these steps.)

Each registration is valid for 120 days (once you have scheduled the presentation and/or panel interview) and allows you to be assessed one time. Any retakes needed will require a new registration. It is your responsibility to schedule an appointment for your assessment during the period that your registration is valid and to undergo the presentation and/or interview during that time (see Step 9).

Step 9: Schedule Presentation and Panel Interview

Once you have submitted your registration for the presentation and panel interview, you will be contacted by a member of The IIA’s Global Certifications Department with further instructions.

Presentations and panel interviews may be conducted in one of three ways, subject to availability:

- Face to face.
- Remotely via a live web conference.
- Via a facilitated recording (which may be completed in person at an IIA institute or other suitable location or via web conferencing, where available).

Details and requirements for presentations and panel interviews apply equally regardless of the mode of delivery. In the case of a facilitated recording, an IIA administrator facilitates the event by listening to and observing the candidate’s presentation, asking questions, conducting the interview, and overseeing the recording process. The panel of assessors will view the recording to make their assessments. Details of available dates for presentations and panel interviews and the modes of delivery offered can be accessed at <https://global.theiia.org/qial/Pages/QIAL-Candidate-Documents.aspx> together with details of how to schedule your presentation and panel interview. You may also inquire directly via QIAL@theiia.org.

Step 10: Complete Presentation and Interview

When you schedule your presentation and/or panel interview, you will receive instructions about the date, time, and (unless it is to be conducted remotely) location.

Refer to the *QIAL Candidate Guide to the Presentation and Interview* at <https://global.theiia.org/qial/Public%20Documents/Candidate-Guide-to-the-Presentation-and-Interview.pdf> for more details about the content, format, and requirements of the presentation and panel interview.

Step 11: Become Qualified and Receive Certificate

You must pass all required assessments and complete all other program requirements in order to receive the qualification. Once you meet all requirements for qualification, you will receive notification that you are qualified. This official notification is sent to your preferred email address in CCMS and serves as proof that you are now qualified. You can also log in to your account on CCMS and view/print information from the “Certification Progress” screen, which shows your certificate number (called “Certificate Serial Number”) and date qualified. Your date qualified is the date that your last program requirement was completed and uploaded into CCMS. You may also utilize The IIA’s Social Badging <https://global.theiia.org/certification/Pages/Certifications-Social-Media-and-Badging.aspx> program to display your professional credential digitally.

To order your certificate*, you must log in to your candidate record in CCMS, select the new form tab, select the QIAL tab and complete the Certificate Order Form. Scroll down to the section labeled “certificates” and select the appropriate certificate for the QIAL designation. There is no fee for ordering your initial certificate which will be shipped directly to you using a standard postal service method. Expedited shipping is available at an additional cost.

Certificate reprints are also available through CCMS. Standard postal service shipping is included in the fee at no additional charge; expedited shipping is available at an additional cost.

To change your name on a certificate that has already been issued, you must log in to your CCMS candidate record and update your demographic data and your name as you would like it to appear on your new certificate. Then complete the Certificate Order Reprint Form located under the section labeled “certificates.”

*In some instances, candidates outside North America will not be able to order their certificates directly. These certificates are sent directly to the appropriate institutes which will contact candidates to arrange delivery. Those who have achieved the QIAL are eligible to order select branded merchandise to showcase those accomplishments from The IIA Certifications e-store, available by visiting www.globaliia.org and clicking on the Certifications & Qualifications tab and selecting Certifications Merchandise from the left-side menu.

Step 12: Maintaining Your QIAL Credential

In order to maintain your QIAL, you must demonstrate continuing professional development (CPD) in accordance with the *QIAL Candidate Guide to Continuing Professional Development*, (coming soon). Annual reporting is required for those who have received the QIAL designation. The reporting date is December 31 in the year following completion of the QIAL program.

Required attestations at the time of CPD reporting includes the following:

- To perform internal audit services in accordance with The IIA's *International Standards for the Professional Practice of Internal Auditing*.
- To agree to abide by The IIA Code of Ethics.
- To undertake not to bring The IIA into disrepute.
- To confirm no criminal convictions since last reporting period.

Failure to report CPD will result in an individual's qualification status being moved to "inactive–grace period." The designation can no longer be used until the individual's qualification status is fully reinstated. For further details, refer to the *QIAL Candidate Guide to Continuing Professional Development (CPD)* (coming soon).





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