



Chartered Institute of  
Internal Auditors

# Chartered by Learning

Candidate handbook

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# Contact us



Have a look at our website for the most up-to-date information about the Career Pathway and syllabi:

**[www.iaa.org.uk/career-pathway/](http://www.iaa.org.uk/career-pathway/)**

If you have already enrolled, then see the student pages of our website or our online Study System:

**[www.iaa.org.uk/students](http://www.iaa.org.uk/students)**



Questions regarding your membership, registrations and exemptions can be directed to:

**[student.support@iaa.org.uk](mailto:student.support@iaa.org.uk)**

If you have questions about the learning programme or tuition support, please contact:

**[learning@iaa.org.uk](mailto:learning@iaa.org.uk)**

All questions regarding assignments and exams can be sent to:

**[assessments@iaa.org.uk](mailto:assessments@iaa.org.uk)**



If you would like to speak to a member of the Chartered IIA, please ring us on:

**+44 (0)20 7498 0101**





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# Introduction

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# Welcome

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Welcome to the Chartered IIA, and well done on making the important decision to invest in your future by establishing yourself as a Chartered member.

On your journey towards Chartered membership, you will be supported by facilitators, examiners and staff, with a single objective: to provide you with the help and encouragement you need so you can apply your learning, maximise your potential, contribute to the profession, and grow your career.

During your time on the Chartered by Learning programme, we will help you to develop and refine the skills you need to be a future leader. For this chosen profession, this comes down to three key concepts: critical thinking, insight, and evidence. This can be explained simply as the ability to draw on the broadest range of experience and knowledge to present a recommendation that perfectly fits the scenario.

As an aspiring leader, this journey will be personal, allowing you to enrich your existing knowledge and experience while broadening your view of the world and the information accessible in the data driven world. The challenge is no longer the ability to recall facts, but rather to scrutinise validity, and adopting and co-opting the painstaking work of other people to support you and your ambitions.

To achieve this objective will require diligence, commitment and hard work: 400 hours of hard work to be precise. But you will benefit from being a Chartered Internal Auditor, and you alone can put in the hard work to achieve this. You will also need to balance your work, your personal life, and find the 10 or so hours a week to complete the programme.

In addition to your fellow students, your facilitators, and the team at the Chartered IIA, you also have access to a wide range of resources that have all been put into place to support you. This guide is a great place to start to help you to navigate the course.

By carefully reading this guide, you will gain access to some useful and helpful tips to assist you every step of the way. If a situation arises that is outside of your control (as they sometimes do), it is good to know in advance of the options available and when or who to contact should you require the necessary support.

Welcome to the course, and we wish you all the very best of luck.

The Chartered IIA Team

Insight  
Evidence  
Critical thinking

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# Routes to Chartered membership

The Chartered IIA offers members four different routes to become Chartered Internal Auditors and use the coveted CMIIA designation.



## Chartered by Learning

This route is for aspiring CAEs/HIAs and has been developed for members who are ready to take the next step in their careers but do not have the certification or experience necessary to take that step.

### QIAL

If you were registered on the Qualification in Internal Audit Leadership, then you can transition to the Chartered by Learning programme. Furthermore, if you passed any of the QIAL case studies then you can receive standard exemptions from the CMIIA.

## Chartered by Experience

Aimed at current CAEs with significant experience in setting the organisational strategic objectives, the Chartered by Experience route is rigorous and challenging for senior leaders to gain the CMIIA designation.

## Direct entry

If you have been working as an internal auditor for the last two years and hold Chartered membership from any of the CCAB bodies, or an MBA and five years' experience, then you can apply via the Direct Entry route, and you may also be eligible for an exemption.

## Birmingham City University route

The Chartered IIA and BCU collaborated to develop a MSc in Internal Audit Management and Consultancy which incorporates both the CIA and the CMIIA. This route also aligns with the Internal Audit Professional apprenticeship (level 7) allowing candidates to potentially access apprenticeship levy funding.





# Admission policies



# Eligibility

## Membership

CMIIA is a membership class and not a qualification, and membership of the Chartered IIA is required for the duration of your studies, as well as the need to maintain your CMIIA designation. If your membership lapses, you will not be able to access your materials, sit any of the exams, and if your membership lapses after you have completed your studies, then you may not use the CMIIA designation or refer to yourself as a Chartered Internal Auditor.

## Study route

To be eligible for the Chartered by Learning programme, you must hold an active Certified Internal Auditor (CIA) or IIA Diploma (PIIA) designation. In other words, you should have received your certificate and notification from IIA Global that you have attained CIA. Evidence that you have passed the three CIA exams is not sufficient to register on the Chartered by Learning programme.

CMIIA is only available to members of the Chartered IIA, and you will need to join as a member irrespective of where you reside.

## Direct Entry for accountants

Applicants holding the following designations can register on the study route and receive a standard exemption from the Module 1: Strategy paper and only need to complete Module 2: Leadership and the Assessment for Professional Conferral.

- ACCA: ACCA or FCCA
- Chartered Accountants Ireland: ACA or FCA
- CIMA: ACMA or FCMA
- CIPFA: CPFA
- CPA Ireland: CPA
- ICAEW: ACA or FCA
- ICAS: CA

You need to submit:

- a photocopy / scan of your certificate and your member number to allow the Chartered IIA to verify the designation with the appropriate professional body.
- a CV showing that you have worked as a full-time internal auditor for at least two years. This experience must have been gained within the last 10 years.

## Direct Entry for advanced business degrees

Applicants holding a full 180 credit Master of Business Administration (MBA) degree can also enrol on the Chartered by Learning programme via the Direct Entry route. MBA holders will also be eligible for the standard exemption from Module 1: Strategy and only need to complete Module 2: Leadership and the Assessment for Professional Conferral.

You must provide a copy of your degree certificate and a CV showing that you have been working as a full-time internal auditor for at least five years during the last ten years.

The diagram on the next page should help you to clarify the options.

## IIA Diploma (PIIA)

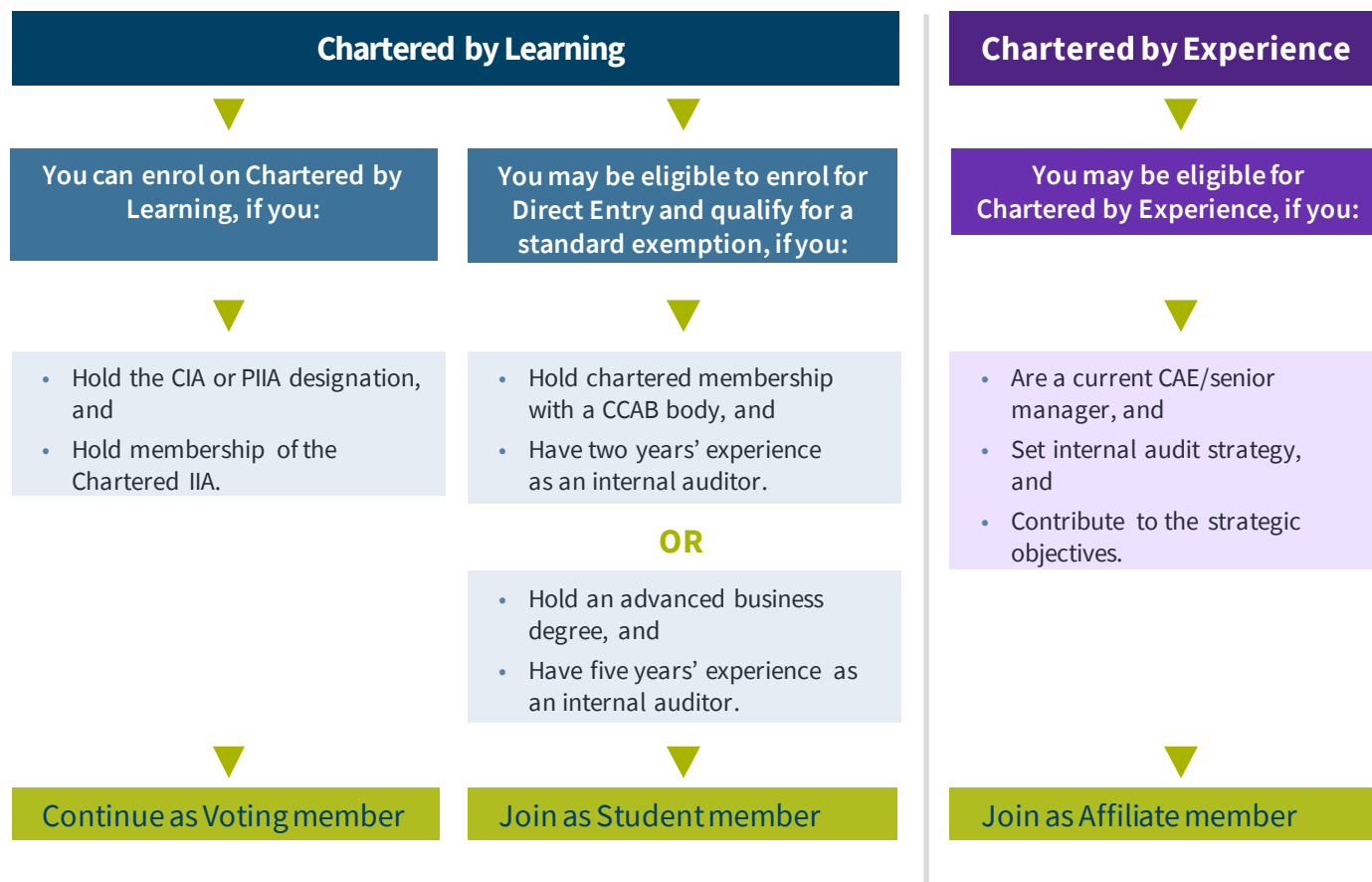
If you completed the legacy IIA Diploma and you hold the PIIA, and you are a current member of the Chartered IIA, then you can immediately enrol on the Chartered by Learning programme. You do not need to submit any documentation or proof.



More information about joining the Chartered IIA as a member can be found on the [Join Us section](#) of our website.



Below is a summary of the routes to Chartered membership and the key requirements for each:



## Exemptions

Currently, we do not offer any exemptions other than the standard exemptions for the Direct Entry route and for those candidates who completed some of the QIAL case studies. This will be reviewed in the coming months and additional routes will be added as and when appropriate.

## Transitioning from the Qualification in Internal Audit Leadership (QIAL)

If you have passed any of the QIAL case studies, then these will be applied as exemptions when you register on the study route to Chartered membership.

- If you complete QIAL Case Study 2, then you are exempt from Module 1: Strategy.
- If you have completed QIAL Case Study 1 Internal Audit Leadership and QIAL Case Study 3 Ethical Leadership, then you are exempt from Module 2: Leadership.

You will retain these exemptions until you complete your studies and you have been awarded the CMIIA designation.

The QIAL has been withdrawn and we are no longer taking registrations for this programme.

# Progressing your studies

## Study window

You have three years to complete the CMIIA from the day you register onto the programme. This will be the date on the confirmation email that you received when you first registered onto the study route.

No extensions are given, and, after three years, if you have not completed the programme, you will automatically be deregistered from the CMIIA study route, and you may need to retake any of the modules you have completed to achieve your designation.

## Study breaks

You can pause your studies for a total of twelve months. So, you can either take a full year off, or perhaps a shorter six-month break between the two modules to prepare and give yourself a head start.

This stops the countdown of the three-year study window. During study breaks you will not be able to study, access your materials, or sit any of the exams. When you are ready to resume your studies, simply get in touch with us.

After twelve months, the study break will automatically end, and the study window will continue to count down.

It is not possible to pause your courses, only the study window. If you choose to activate a study break during a course, then you will not qualify for that exam and you will need to re-start the course and repeat the assessments again. You will also be liable for any fees due.

## Extensions for extenuating circumstances

You may request an extension to the three-year study window based on extenuating circumstances. These are broadly defined as significant events outside your control and would include natural disasters, civil unrest, birth and adoptions, death or illness of a close family member, or personal illness.

You need to submit a request to the Chartered IIA detailing your circumstances and provide supporting documentation. Your request will be reviewed, and you will be informed of the outcome.

## Study hours per module

You will spend at least 400 hours studying. Naturally, this will be impacted by many different factors such as experience, reading speed, etc. and you should use this only as a guide when planning your time. You can expect to spend 180 hours on each of the modules, leaving 40 hours for the Assessment for Professional Conferral.

This means that you can expect to spend around 10 hours per week studying.

The anticipated length of your studies will be 18 months.

This represents the total learning time including all workshops, exams, reading, etc. This is commonly referred to as 'notional hours'.

## Study hours for the programme

### Module 1: Strategy

- 180 hours over 19 weeks
- Including classes, assignments and the exam

### Module 2: Leadership

- 180 hours over 19 weeks
- Including classes, assignments and the exam








### Assessment for Professional Conferral

- 40 hours
- Including the problem statement submission, investigation, and the assessment





# Terms and conditions

 <p><b>Direct entry exemption fee</b></p> <p><b>£660</b></p> <ul style="list-style-type: none"> <li>• Payable for direct entry only</li> <li>• Standard exemptions</li> <li>• Excluding VAT</li> </ul>	 <p><b>Module 1: Strategy</b></p> <p><b>£1,970</b></p> <ul style="list-style-type: none"> <li>• Tuition support</li> <li>• Exam</li> <li>• Excluding VAT</li> </ul>	 <p><b>Module 2: Leadership</b></p> <p><b>£1,970</b></p> <ul style="list-style-type: none"> <li>• Tuition support</li> <li>• Exam</li> <li>• Excluding VAT</li> </ul>	 <p><b>Exam Resit</b></p> <p><b>£475</b></p> <ul style="list-style-type: none"> <li>• Payable only if a resit is offered</li> <li>• Excluding VAT</li> </ul>	 <p><b>Assessment for Professional Conferral</b></p> <p><b>£420</b></p> <ul style="list-style-type: none"> <li>• Excluding VAT</li> </ul>
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## Fees

The fee per module includes access to the online course, all classes with the facilitators, assignments, and the exam. There are no further charges.

We do recommend you purchase a strategy handbook for Module 1, but we do not prescribe any specific publication.

In the event that you fail an exam, you will need to pay the Exam Resit fee to be eligible for the resit exam.

## Registration process

If you are CIA or PIIA qualified and a current member of the Chartered IIA, you will be automatically registered on the CMIIA when you enrol on the first modular course.

If you apply via one of the Direct Entry routes, then you will need to join the Chartered IIA as a Student member. You also need to submit evidence that you hold the required certification and experience before you are registered on the study route.

## Terms

You can enrol on one module at a time and will not be allowed to register on both unless you are a full-time student. This is because the learning programme is very demanding and the syllabus very extensive.

You are required to complete the modules in sequence: Module 1: Strategy, Module 2: Leadership, and finally, the Assessment for Professional Conferral.

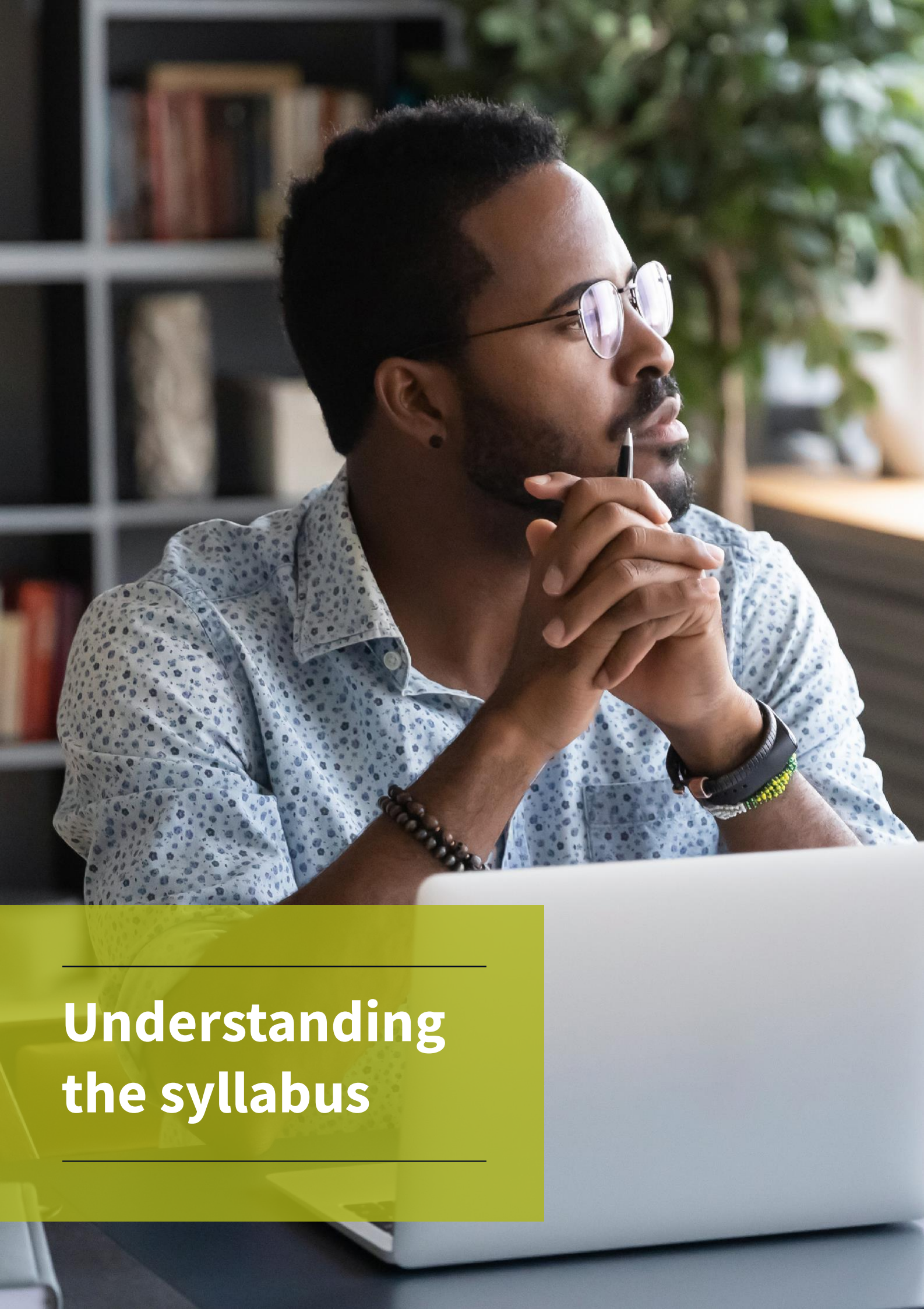
We offer two terms per year: a Spring term starting in March with the exams in July, and an Autumn term starting in September with the exams in January. You will receive your exam results in time to enrol for the next term.

Once both modules are completed, you will be able to book onto the Assessment for Professional Conferral.

## Cancellations and transfers

You can cancel your enrolment up to the day before the course starts and will be refunded the full fee minus a 20% administration fee. Once your course starts, cancellations are no longer possible.

You are allowed to transfer to a next cohort during the first two weeks of the course. In week three, you are expected to submit your first assignment, at which point you can no longer transfer.



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# Understanding the syllabus

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# Syllabus

The syllabus focuses on leadership and management and is much more developmental in its approach to reflect contemporary instruction and in developing learning for a higher-level cognitive function. It is dynamic, has a more tailored approach to students' career objectives, and is aimed at preparing you for the next step of your career and in helping you to lead the profession. You will be equipped with the competencies necessary to know where to go, and the confidence you need to know how to get there.

The syllabus comprises of two theory modules and a practical application-based assessment.



## Syllabus areas

You will be covering the following topics in the learning programme.

Module 1: Strategy 	
Domain I	Leadership Principles
Domain II	Organisational Strategy
Domain III	Commercial Acuity
Domain IV	Organisational Culture
Domain V	CSR and Sustainability

Module 2: Leadership 	
Domain I	Planning
Domain II	Influence
Domain III	Quality Assurance and Improvement Programme
Domain IV	Assurance and Insight
Domain V	Talent Management

The syllabus also includes six additional areas that candidates need to consider, which are not specifically referenced in the domains.

You are expected to:

- Have a detailed knowledge and an in-depth understanding of the **International Professional Practices Framework (IPPF)** and will be able to reference relevant standards wherever these may be applicable.
- Have an acute awareness of what constitutes **ethics**, ethical behaviour, and ethical decision making, and be able to reflect and demonstrate these at all times.
- Have a good understanding of available **technology** and technological developments and be able to draw on such knowledge as and when appropriate. This would also include the associated benefits and risks.
- Critically evaluate** all information presented.
- Base decisions and recommendations on clear **evidence**, understand what constitutes convincing evidence, how it is obtained, and assure that all evidence is objective and unbiased.
- Communicate** in an appropriate tone and style, considering the audience and their expectations, applying terminology correctly, and using the appropriate formats as used in the profession.

## Module 1: Strategy



### Learning objectives

**Module 1** introduces you to strategy and considers the role of the Chief Audit Executive (CAE) in setting the internal audit strategy, and the wider role of the internal audit function, in providing assurance on both risk management and the strategy-setting process.

The overarching objectives for Module 1 are to:

- Participate and contribute to the discourse when the governing body and senior management are formulating the strategy and the strategic objectives.
- Act as a trusted advisor providing assurance on the strategic risks.
- Review and audit the strategic processes to provide assurance on the application of the process.

## Module 2: Leadership



### Learning objectives

**Module 2** addresses the management of the function. With focus on the operational activities, the domains in this module incorporate areas closely aligned with internal audit (such as planning), and other elements that are not specifically related to internal audit, for example, talent management.

The overarching objectives for Module 2 are to:

- Plan, supervise, and communicate internal audit engagements and recommendations to senior management.
- Critically evaluate the inherent risk and control implications of different business processes.
- Develop and deliver risk-based audit programmes to help organisations succeed.
- Develop stakeholder relationships and act as an independent assurer.
- Lead and manage projects and investigations as required by senior stakeholders.





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# Learning

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# Learning

You have two opportunities per year to take either module, in spring and in autumn. Module 1 and 2 always run simultaneously, and you should complete Module 1 before taking Module 2.

Specific times and dates are available on your course, or you can view a summary on the [student section of the website](#).

Your course will devote three weeks to each of the five domains. For Domains 1, 2, and 3 you will complete a compulsory assignment to be eligible to sit the exam.

## Tuition and support

You will enrol on a 15-week learning programme, where the tuition and support, study materials, assignments and exam, all work together to develop your knowledge, skills and behaviours. It is therefore not a certification of your skills and you will be expected to complete all the elements of the learning programme.

You will be working across the five domains to develop and nurture your understanding of what it means to be a CAE. The Module 1 exam requires you to demonstrate that you can contribute towards setting the strategic objectives, while Module 2 demonstrates your ability to lead the internal audit function.

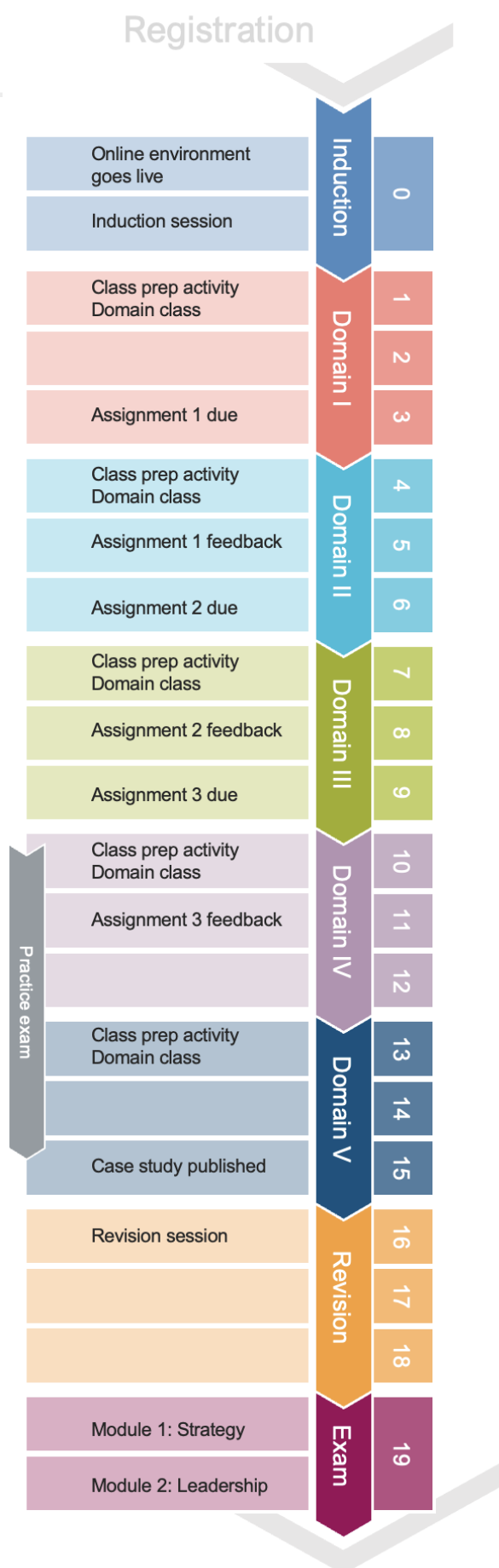
The Induction will introduce you to some of the key topics and demonstrate how you should investigate the key parts of the syllabus.

Each domain covers three weeks. During the first week you will participate in an online activity leading up to the domain class taking place on the Friday of the first week. You will then continue to read around the syllabus topics to complete your assignment which is due on the last day before the next domain starts.

An overview of the syllabus is provided in this Handbook.

You will find the full syllabus under the Career Pathway section of our website.

[www.iaa.org.uk/career-pathway](http://www.iaa.org.uk/career-pathway)





The main objective of this programme is to provide you with the skills and knowledge necessary to start building and refining your skills and ability to work as a member of senior management. You will be expected to demonstrate not only your mastery of the syllabus, but also the ability to critically analyse a situation before applying insight and foresight and ultimately to chart a strategic direction for the function and the organisation.

At all stages, your conduct, recommendations and analysis should be able to demonstrate this.

### Insight

The most important thing you will learn during this course will be **Insight**. You will need to demonstrate your ability to bring together existing knowledge and experience, supported by critical thinking, as well as new information to make ethical decisions that will be most suitable for the company, support the strategic objectives, or address key risks. To achieve this, you will need to act and think like a CAE.

### Facilitator

Each group will be led by a facilitator, whose role is not as a tutor or a lecturer, but rather to act as your guide throughout the programme.

Facilitators all hold CMIIA and each have senior management experience. They are perfectly placed to support you by providing you with their expertise and an in-depth level of experience to guide you in your discussions and preparing you for the final exam. This does not include giving feedback on draft assignments



Please contact the Chartered IIA via email at [learning@iia.org.uk](mailto:learning@iia.org.uk) instead of the discussion forums.

### Inductions

You will have the opportunity to attend an induction where you will be able to understand exactly how the course will be delivered. You will also be provided with very valuable insight into what will be expected of you.

The induction will take place a week before the start of the course, and we highly recommend that you attend this session as it will be to your benefit.

### Resources

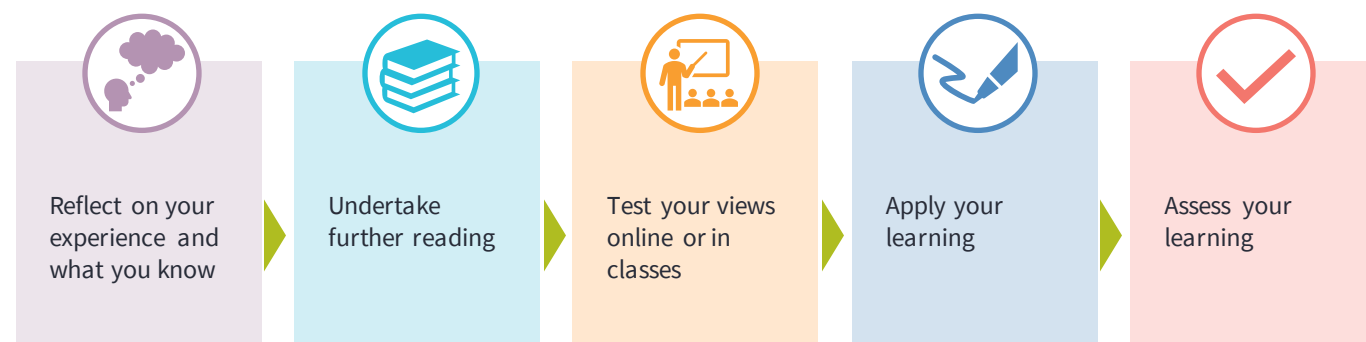
As part of the course, we will provide you with a range wide of resources, including:

- Links to the Chartered IIA resources
- Access to micro-courses
- Journal and magazine articles covering current affairs
- Links to other sources.

For the Module 1 Strategy course we recommend you invest in a good source on corporate strategy. We recommend the following, but any good and recently published book will suffice:

Whittington, R., Regner, P., Angwing, D., Johnson, G., and Scholes, K. 2020. *Exploring Corporate Strategy*. 12th edn. Harlow: Pearson Education Ltd.

### Learning process



## Assumed learning

It is likely that you have already been working in the profession for some time and that you have accumulated significant experience and knowledge to date. You have probably come across many of the theories and models that will be addressed in the syllabus. Rather than provide you with lectures and a long reading list, you should keep to the syllabus and for those areas where you are less familiar with the content, you should find additional resources to assist your learning.

The course provides you with an opportunity to address any potential weaknesses that you may have and to also focus on models and theories that you prefer to work with. If there are areas that you are not familiar with, then it will be up to you to familiarise yourself and include in your learning and assessment.

## Referencing

You should always credit the author of a text if you are going to use their ideas in your work. Not referencing others' work is considered wholly inappropriate and tantamount to stealing somebody else's ideas, and it could lead to a case of plagiarism, potentially resulting in disciplinary action. It is therefore imperative that you study the preferred Harvard Referencing system and apply it consistently.

You will be provided with guidance on appropriate referencing techniques, but if you have not been to university, then it might take some practice to get used to this. Failure to reference appropriately when required could result in losing a lot of marks.

## Forums

The most effective way to interact with the facilitator and with the other students is via the discussion forums. Each cohort is allocated their own forums.

To contact the Chartered IIA, please do so by email.

More information about joining the Chartered IIA as a member can be found on the [Join Us section](#) of our website.



## Student Study system

You will be given access to the Chartered IIA's online Study System one week before the course officially starts. We use the Moodle platform, where students will have access to a host of learning materials and resources.

Here you will find information and instructions about all three assignments. Each assignment question is posted on the agreed date, with deadlines and guidance on how to upload and submit your assignment.

## Discussion forum

The forums are an open environment to share knowledge and experience or to air concerns and receive the support that you need. This is an online community where you can easily connect and interact with fellow students and facilitators to discuss topics that are relevant to your classes, assignments or exams. You are encouraged to use this as frequently as you can to exchange information and ask anything that is on your mind, and that may also be helpful for others to know.

Ahead of each session, facilitators will post onto the discussion forum a topic to consider. You may then research or discuss with your fellow students and then report back your findings during virtual classes. This is designed to help you be prepared and to get the most out of the session.

## Virtual classes

We use Webex for every virtual class. We encourage you to download the application onto your computer for ease of access. Classes are held by a facilitator who will lead a discussion on the syllabus topics outlined on Page 13.

There are five classes to represent each domain. You will find the details of the classes on your course. An Induction session will take place one week before the programme starts. It will be led by the the Head of Education and Development to explain the course structure, expectations and to answer your questions.

The course reflections session is arranged to take place midway through the course and will be a chance for us to hear from you and respond to your feedback as part of our continuous improvements.



A woman with long dark hair and round glasses is smiling and looking to her right. She is wearing a grey blazer over a dark top. Her hands are clasped together on a desk. In front of her is a laptop and some papers, one of which shows a line graph. The background is a bright office space with large windows.

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# Assignments

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# Assignments

## Summary

- Assignment each for Domains I, II and III.
- Each assignment weighs in at 10% (which is averaged and contributes to 30% of the final mark). The remaining 70% is the exam result.
- An average of 50% across the three assignments is required to gain eligibility for the exam.
- A score of less than 40% in any of the three assignments will mean candidates will not be eligible for the exam.

## Assignments

For both Modules 1 and 2, each comprises of three compulsory assignments. An average score of 50% is required over the three assignments and the total average will also count as 30% of the final grade. The assignments focus on the first three of the five domains of the syllabus and focus on understanding of the theory.

All candidate marks awarded for the assignments are subject to a rigorous quality assurance process, which includes marks being subjected to an external moderation process.

The marks awarded post-moderation are final. However, should you have any questions related to the marking process then please email the assessment team at [assessments@iia.org.uk](mailto:assessments@iia.org.uk).

## Submissions Policy

Assignments must be submitted in accordance with Chartered IIA guidelines on or before the agreed submission dates. The dates will be shown on your course. All assignments must be your own work and without risk of committing plagiarism. Assignments are submitted electronically via the student Study System in PDF format onto the Turnitin plagiarism checker tool. If you submit your assignment late, then you will be penalised 5% for the first hour, between 2 and 12 hours you will be penalised 10%, and between 13 and 24 hours you will be penalised 20%. Submissions received later than 24 hours past the deadline will not be marked. Failure to submit your work on time may affect your overall performance and final grade. If you fail an assignment due to late submission you will not be able to submit and you will fail the course. Late work will only be accepted if agreed in advance with the Chartered IIA. If there are any extenuating circumstances which are likely to affect your ability to submit work on time, these need to be agreed in writing before the submission deadlines. All requests need to be put in writing as early as possible with supporting documentation as evidence and sent to [assessments@iia.org.uk](mailto:assessments@iia.org.uk).

## Extensions on Assignment Submissions Policy

This policy deals with extensions that can be agreed with the Chartered IIA on the submission of assignments and sets out the parameters when this would be appropriate.

Students should adhere to the published deadlines for the submission of all assignments. You will find the latest agreed dates on your course on the Study System. If you are not clear on the deadlines, you should contact [assessments@iia.org.uk](mailto:assessments@iia.org.uk).

The Chartered IIA recognises that, on occasion, students may encounter circumstances which prevent them from meeting assessment deadlines. Any mitigating circumstances are included in this policy for you to carefully review. Depending on your circumstances, you can request for your assignment to be submitted up to seven calendar days after the published submission date. This must be agreed with the Chartered IIA and confirmed in writing. The final decision will be made by the Chartered IIA. Please familiarise yourself with the Candidate handbook regarding late submissions.

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### Similarity and plagiarism

All assignments are submitted online via Turnitin and will be checked for instances of similarity against internet sources, other assignments, other submissions across the globe, and unpublished and published sources. Please read our Plagiarism Policy accessible via your course.

You are expected to reference sources appropriately and can lose up to 10% of the total mark should you fail to do so.

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### Timings

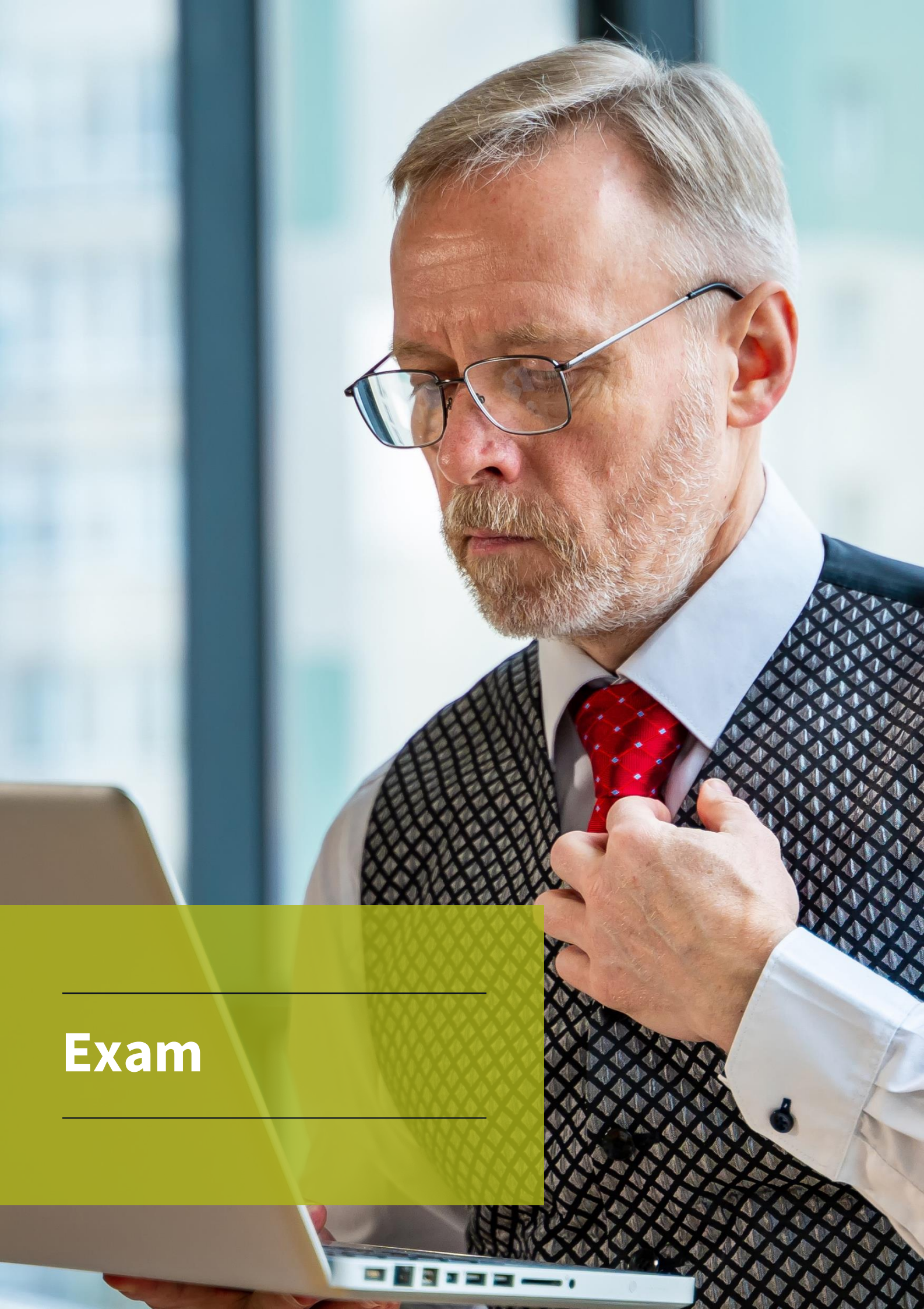
You will have three weeks to study each of the five syllabus domains, and the assignments for the first three domains should be submitted before the following domains commence.

You will receive your marked assignment two weeks later.

### Failing an assignment

If you do not achieve 40% in any of the 3 assignments, you will fail the course altogether and will need to re-enrol at a later opportunity.

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# Exam

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# Understanding the Exam

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When enrolling onto the learning programme you are automatically enrolled onto the exam. However, to be eligible, you are expected to complete all elements of the course. Each exam is set against a case study, in which you will have three hours to answer four questions. The case study is demanding and designed to challenge you. You will be expected to demonstrate your competency against the syllabus, but you must also draw from your own experience and the knowledge you gained when studying for the CIA.

You will receive the case study approximately four weeks before the exam.

Module 1 and Module 2 exams are both 'closed book' and there is no need to take any notes or materials with you to the exam. You will have access to the case study during the exam.

You can sit the exam from any location, but it is your responsibility to ensure that your computer, internet connection, and your physical surroundings meet the criteria and are tested well before the exam. You will be provided with additional guidance on how to use and test your computer with the TestReach online exam software.

## Exam

Candidates will qualify for the exam by completing all three assignments and achieving a minimum average score of 50% across the 3 assignments. If you do not achieve this 50% score, you will not be eligible to sit the exam.

The final exam for each module is worth 70% of the module's final grade. Questions are set around a case study, which will be available in week 10 of the course, after assignments have been submitted. You will then have nine weeks to analyse all elements thereof, which should lead to an exceptional level of insight into the fictitious company presented in the case study.

The focus is squarely on the application of the theory addressed in the syllabus, including the strengths and weaknesses. Discussing the merits of a theory will not be sufficient to pass.

You will develop an in-depth understanding of the theory that will allow you to critically assess multiple perspectives and start applying your new understanding of management to your work environment. The insight, knowledge and skills gained will then allow you to deal with complex problems effectively and creatively, thereby demonstrating not only your mastery of the content, but also your competence as an internal audit leader.

# Before the Exam

## Reasonable adjustments

Reasonable adjustments, (such as extra time or additional breaks) may be made during the course or during the exam for any student experiencing a permanent or temporary health condition, disability, or learning difficulty.

Requests for reasonable adjustments should be made on the course registration form and a member of the team will contact you. Alternatively, please email [assessments@ija.org.uk](mailto:assessments@ija.org.uk) as soon as possible outlining your request, the specific adjustments you require and supporting appropriate evidence as necessary, from a Doctor, Physician, or Educational Psychologist.

Notification should be made several weeks ahead of the exam, so that we can agree the best way to support you.

All requests and documentation will be treated and held sensitively in the strictest confidence by two members of the Chartered Institute's Assessment team and will not be shared with any other parties.

## Exam booking confirmation

You will qualify to sit the exam only once you have passed all three assignments. At this point you will receive a confirmation email which will include your candidate number and instructions on the exam. It is important that you keep this email as you may be asked to produce this to confirm your identity.

## Confirming your identity

When you first log into the exam you will be asked to confirm your identity and produce the candidate number which appears on your exam booking confirmation. You will then be able to access the exam. A valid government issued ID, as below is required:

1. passports
2. citizen/ ID cards
3. driver's license
4. ID cards issued to the armed forces, police

The photo must be clear, and you must be easily recognisable from the image. If the image is unclear or, for whatever reason, the invigilator has doubts over your identity then they may ask for a second form of ID even if the initial ID was a valid government issued document. Documents that expired within the last 12 months can also be used if these meet the criteria above.

If the invigilator isn't convinced that you are who you claim to be, then you may be refused entry to the exam.



If you are in any doubt about any of the policies that apply, please contact [assessments@ija.org.uk](mailto:assessments@ija.org.uk) for clarification.

# Taking the Exam

## Exam duration, location and time

All exams will be conducted using the TestReach platform and held in UK GMT time in autumn and UK BST time in spring. The exam will only be available at the specific time indicated, so if you are planning to sit the exam from another time zone, you need to ensure that you join the exam at the corresponding time shown.

The exam will last three hours. The amount of time available for each exam is set, and the system will display a clock counting down, showing how much time you have left to complete the exam.

## Anonymity

You will be designated a random candidate number which is the only identifying feature provided to the external examiners and it is in place to preserve your anonymity.

## Invigilation

All exam invigilation will be conducted by TestReach, to ensure that none of the tutors or examiners are involved in the actual exam taking process.

In the majority of cases, exams will be online and the invigilation will be done remotely with each invigilator monitoring around four exam candidates. Although you will not be able to see the invigilator, a continuous high quality video feed will allow the invigilator to monitor your eyes and mouth closely. In addition to the remote invigilator, software designed to detect potentially illicit actions will be activated. All exams will be recorded, and the recordings used should there be any suspected infringement. If any infringement is noticed during the exam, the exam will be terminated immediately.

## Exam questions

After exam results have been released, the full exam will be published online, along with model answers for each question outlining the possible points you could have made. There is therefore no need to write down or make a note of the exam questions at the end of the exam.

## Misconduct

The Chartered IIA insists on a very high standard of ethical conduct from all members. Misconduct will be seen as a very serious matter and will be referred to the Chartered IIA's disciplinary committee. If there is satisfactory evidence of misconduct you will be expelled from the Chartered IIA and any professional designations will be withdrawn.

Misconduct during the exams could include:

- Having access to a mobile phone, Smart watch, music player, or any other communication, photographic, or recording device.
- Providing assistance, trying to provide assistance, or trying to obtain assistance from any other person or prohibited source during the exam.
- Accessing materials in either print or electronic form that isn't provided by the Institute, during the exam or opening other internet browsers.
- Trying to influence examiners and markers by including notes about special circumstances.
- Behaving in any way that is unfitting, unprofessional, or that may bring the Institute into disrepute.
- Recording or trying to record the exam in any way including taking photos of open screens.
- Taking notes of exam questions and sharing this material with anyone.

## Presentation of work

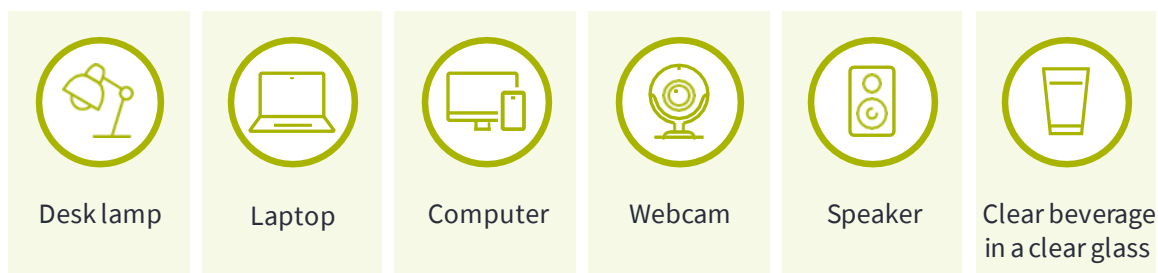
All assessments must be presented appropriately in line with the expectations of professional and academic documentation. This includes the use of appropriate terminology, the use of appropriate and professional language, layout, spelling and grammar. If the meaning of what you are conveying is obscured by spelling or grammatical error, then the examiner cannot allocate marks accordingly.

## Conflict of interest

All assessments are marked by an independent external team of examiners. Tutors are neither involved in the setting of the assessments nor in the marking.



## Items allowed on your desk during the Exam



## Items not permitted on your desk during the Exam



### Absent from an exam

If you are not able to sit the exam, you need to inform the Chartered IIA of your circumstances prior to the exam, and provide a clear explanation with supporting documentation explaining the reason for your absence. If you do not make the necessary arrangements, you will be marked as failing the exam.

### Extenuating circumstances

If you feel that your exam performance may be affected by a serious matter in the weeks leading up to the exam, then you should inform the Chartered IIA in writing and supply supporting documentation. If the Chief Examiner and Moderator agrees, then your final mark may be adjusted up to 5% for serious circumstances, and these include:

1. The death or critical illness of a dependent or close relative.
2. A severe and debilitating illness lasting several weeks.
3. Civil unrest.
4. Acute illness during the exam.
5. Missing at least a third of the exam time due to circumstances beyond your control.

Extenuating circumstances must be brought to the attention of the Chartered IIA prior to the exam starting. Once the exam starts, the expectation is that you will be able to complete it.

### Punctuality

The exam will start promptly at the specified time. If you are more than 15 minutes late you may not be permitted to access the exam or provided with additional time and your exam will end at the originally allocated time.

### Comfort breaks

You are allowed to take one break of no longer than five minutes during the exam. The time on your exam clock will continue to count down and it is in your own best interest to return to the exam as quickly as possible. Candidates will need to inform the remote invigilator when they are taking a break. If you do not notify your invigilator, or if you are away from your computer for longer than five minutes, your exam may be terminated, and you may fail the exam.

### Technical issues

If you encounter any problems, you need to report it to the remote invigilator immediately. TestReach will be responsible for the invigilation and they are best placed to assist you. If you are concerned that the issue may impact on your final result, then you should provide a full and detailed account of what happened to [assessments@iia.org.uk](mailto:assessments@iia.org.uk) within 48 hours of the exam start time.

# TestReach

All exams are conducted online via the TestReach app, this enables you to sit your exam from any location. Exam invigilation will be online and as a result you need to make sure your computer meets the minimum system requirements, that your computer is not sitting behind a firewall, and that your internet connection is stable.

## System requirements

During the exam, any applications that are not required for the exam will be locked and unusable. As such you will not be allowed to open any other windows. The invigilator will be able to see your screen and be able to take remote access of your computer.

We also recommend that you update your computer and all software before the pre-check, and that you install the latest version of Google Chrome and set it as your default browser for the exam.

If you plan to take the exam from behind a firewall, then you may need to change the settings to allow this. It is imperative that you perform the pre-checks using the same network, and the same computer you will be using during the exam.

Before the exam can commence, the invigilator will ask you to scan your environment using a webcam. If you are using an integrated webcam then you need to ensure you are able to lift and rotate your computer.

Minimum system requirements for remotely invigilated exams are:

- Computer with no less than 4GB or RAM.
- A Windows PC with Windows version 7 or any newer version, or an Apple computer with MacOS 11.3 or later; preferably Monterey.
- You will not be able to use Chromebooks, tablets or phones to write your exam.
- A working webcam, and a working microphone which will be active for the duration of the exam, and with speakers.
- Stable internet connectivity with continuous internet speed of no less than 516 kbps.
- Recommended screen size of at least 13" and a resolution of 1024 x 768.

As a result of company firewalls, you cannot sit the exam using a work computer, or using a work network.

## The exam app

You will receive a notification after your name is enrolled onto the exam. You will then be prompted to download and install the TestReach app on the computer you will be using on the day.

Once testing has been successfully completed, you will be booked on the exam.

## Testing your software

It is your responsibility to test the software prior to the exam and to ensure that the system works properly. If you do not run the pre-tests on your laptop or computer, you may not be able to sit the exam. If you are using work equipment, please contact us so we can provide your IT department with more details.

You will need a working webcam and must ensure it is clear and in perfect working order; without this you will not be allowed to sit the exam.

## Secure test environment

As part of ensuring you are working within exam conditions, the remote invigilator will ask you to show them the area where you will be sitting the exam by rotating the camera. This is to ensure that you cannot access help either through additional resources or by communicating, or attempting to communicate, with anybody else.

During the exam you will only be permitted to have your computer, a desk lamp, and a clear beverage in a clear glass on your desk. Should you have any specific requests then you can contact us at [assessments@iia.org.uk](mailto:assessments@iia.org.uk) and we will consider your request.

## Taking notes

As you are not permitted to have any stationary during the exam, TestReach's functionality allows you to make notes and for you to plan your answers. These are your notes and will not be submitted as part of the exam and therefore will not be marked.

Watch this [YouTube video](#) to familiarise yourself with TestReach



# After the Exam

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## Exam statistics

After each exam, the statistics for that sitting will be added to the [student section of the website](#). This information is available to all members.

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## Past exam papers

You will have access to all past exam and resit exam papers, including the outline answers, the chief examiner's report via your course's Study System.

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## Receiving your results

You will be able to download your results statement from the course site.

You will receive your results four weeks after the exam, although marks for failing candidates will be released sooner to allow them as much time as possible to prepare for the resit exam.

The exact dates will be communicated nearer the date.

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## Failing an exam

If you fail your exam, you will receive brief notes on the key reasons why you failed and you will be offered an opportunity to re-sit the exam.

The notes you receive will be very brief and may only be a couple of sentences. However, these would have been written by the examiner, and you are urged to read these carefully and to understand exactly what the examiner is referring to.

We do not provide detailed feedback as it is important to protect the integrity of the exam and to not give those who are resitting the exam an unfair advantage over those who sat and passed the exam the first time.

If you fail an exam and the resit exam, or you choose not to resit, then you will need to complete the module again. This means you will be expected to enrol on the module, complete all the assignments again to be eligible for the exam, and then sit the exam under the standard exam conditions.

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## Maximum number of exam attempts

You can repeat a module a maximum of three times. If you fail the exam and the resit exam a third time, you will be deregistered from the Chartered by Learning programme and you will need to wait two years before you can register again. This is to allow you to gain a bit more experience in the field.

You will receive basic feedback on your results. For a fee of £450, you can request to review your exam again and receive detailed feedback.

Should you fail the course a third time, you will be deregistered from the CMIIA to gain more experience before you can register again after two years.

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## Resit Exams

If you failed the exam, you will be notified three weeks after sitting the exam. If you fail, you will be invited to attempt the resit exam which is scheduled to take place five weeks after the initial exam sitting.

The resit exam will be based on the same case study as the exam, and will have a similar format and structure, but the questions themselves will be different.

You will need to use your time wisely to revise those areas identified by the examiner.



# Appeals

## Appeals

If you fail your exam, you can appeal the outcome on the following grounds:

1. Extenuating circumstances or reasonable adjustment arrangements agreed with the Chartered IIA were not implemented and consequently you were disadvantaged.
2. Any administrative error by the Chartered IIA or the assessment team that adversely impacted on the outcome.

The full appeals policy can be found on the [student pages of our website](#). It is important that you familiarise yourself with the policy before lodging an appeal.

The appeal process has three stages:

### Stage 1

If anything unforeseen happens during the exam, please notify the invigilator immediately and ask that the matter be documented and referenced, and then inform the Chartered IIA within 48 hours. We will use this information to investigate your claim and inform the Moderator. If your claim is found to be valid, your marks will be adjusted.

If you are not satisfied with the outcome, then you should escalate the matter by lodging a formal complaint with the Chartered IIA. The matter will be investigated by a senior member of staff outside the Education and Development department and you will be informed of the outcome.

### Stage 2

If you are not satisfied with the outcome of the complaint, then you can complete the Appeals form and pay the fee of £200. If your appeal is successful, the fee will be reimbursed. We also recommend that you proceed with the resit exam if you are appealing the outcome of the exam and the resit fee will also be refunded if your appeal is successful.

### Stage 3


If you are not satisfied with the outcome, then you can request that the appeals panel be convened. The appeals panel will review the outcome reached at stage two.

Only appeals that have valid grounds will be processed. Disagreeing with the judgement of the exams team will not be considered suitable grounds; those that are based on valid grounds will be processed.

## Marginal fails

If you received a marginal fail mark, then your marks would have been scrutinised by the examiners, your script would have been moderated, and the Chief Examiner would have been challenged to specify the exact reasons who the mark should constitute a fail instead of a pass mark.

Lodging an appeal in the hope that a marginal fail will be converted to a pass, and without providing any evidence for the grounds of the appeal, will not be successful.

A woman with dark hair in a bun, wearing a grey blazer and a hoop earring, is seen from the back, addressing a group of people in a blurred office environment. A green rectangular overlay is positioned in the lower-left corner, containing the title text.

# Assessment for Professional Conferral

# Assessment for Professional Conferral

The Assessment for Professional Conferral is the final assessment on your way to being awarded CMIIA.

Upon completing the two theory elements, Module 1: Strategy and Module 2: Leadership, the Assessment for Professional Conferral requires you to show that you have the knowledge, skill and character to lead your internal audit function at the highest level, and to lead the profession of internal audit.

## Competencies

The Assessment for Professional Conferral is based on a set of competencies that are derived from the Chartered by Learning syllabus, the International Professional Practices Framework, and the Internal Audit Competency framework, and groups these elements into five compatible and coherent competencies. These five competencies, when taken as a whole, reflect the duties and responsibilities of the Chief Audit Executive.

What the Assessment for Professional Conferral achieves is to assess the candidate's ability to respond to the challenges that CAE's face in the real world and analyse these within a safe and simulated environment.

The primary objective of the Chartered by Learning programme remains to provide a route to Chartered membership to aspiring leaders, and so allow them to build their careers and provide a competitive advantage over colleagues who do not hold the leadership designation.

The full set of competencies are shown on the following page.

## Timeline

From registering on the Assessment for Professional Conferral, you will have one year to complete it, although you are reminded that you have three years to complete the full programme and achieve CMIIA.

The syllabus expects that you will spend around 40 hours preparing and undertaking the assessment, for example:

- Drafting the Problem Statement: 5 hours
- Investigation and reading: 20 hours
- Writeup and documentation: 7 hours
- Review and reading for discussion: 5 hours
- Preparation and practice: 2 hours
- Assessment: 1 hour



The image above shows the different phases of the assessment.

## Problem Statement

Your first step will be to identify a realistic problem which will form the topic for your assessment. This will be documented in the Problem Statement and be submitted to the assessor. There are very clear guidelines around what would constitute a suitable problem, but generally speaking, it should be strategic in nature, and it should be in line with the roles and responsibilities of a CAE. The Problem Statement should be clearly linked and justified around 3 of the competencies with the 2 other competencies explored through the discussion phase of the assessment.

The CIAA will review your Problem Statement, and if they decide it is suitable, you will receive confirmation that you can continue working towards the assessment. If your Problem Statement does not clearly define the work you are undertaking, is not suitably complex or substantial, is not a reflection of the role of the CAE, or does not meet the other criteria set, then your Problem Statement will be rejected and you will fail the assessment at that point.

If the Problem Statement is accepted, and your chosen date for the one-to-one assessment is confirmed, you can start investigating your problem, conducting a root cause analysis, and documenting your findings and recommendations.



## Assessment

You will be presented with a range of available slots for the assessment for you to choose from.

The assessment itself will be conducted online via Teams, and unlike the exam, you can have access to whatever notes or documents you feel you will need.

All assessments will be recorded for quality purposes, and once the assessment outcome has been confirmed, the recording will be deleted.

The assessment will be a one-to-one meeting between you and the assessor, who will also hold the CMIIA designation. The assessment will be done on Teams, but you can also request a face-to-face assessment at our premises in London. Occasionally, an observer may join the assessments for purposes of quality assurance, but they will not take part in the assessment.

The tone for the assessment will be professional and friendly. We understand that assessments are naturally stressful, and our assessors will try to put you at ease.

No later than one week before your assessment is due to take place, you must submit the following three documents to allow your assessor to prepare:

1. Presentation
2. Notes on the presentation
3. Reflection on the Problem Statement

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## Support

Upon registering for the Assessment for Professional Conferral, you will receive access to a dedicated online resource where you will be able to access extensive guidance on all areas of the assessment. This will include templates and worked examples for some of the key activities and documents. You will also submit all assessment documentation via the site.

We also provide guidance on skills and techniques that you will find helpful, for example, on root cause analysis, and on presentation technique.

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## Fees

The Assessment for Professional Conferral is available at £420+VAT.

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## Presentation

In the first twenty minutes of the assessment, you will present your findings and recommendations for the problem you identified in your Problem Statement.

The assessor will not interrupt you. After twenty minutes you will be asked to stop, and any information that you did not present will not be assessable.

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## Q and A

After the presentation, the assessor will spend twenty minutes asking clarifying questions about your presentation. The questions will be unique to each presentation and will explore your assumptions, your use of data and evidence, alternatives you may have considered, and so forth.

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## Professional Discussion

The final twenty minutes will be a discussion with the assessor. The main purpose of the discussion is to understand how you met the five competencies – of which some, but not all, will be addressed in your presentation. Any competencies not addressed in the presentation will be covered in the discussion.

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## Assessment outcome

After the assessment, the assessor will submit their notes and the recording for moderation. If the second assessor agrees then you will be notified of the outcome. You will not receive a mark, but rather a pass or a fail.

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# Competencies for the Assessment for Professional Conferral

Below are the five competencies that you will need to demonstrate for the Assessment for Professional Conferral:

## Set 1 Professionalism

**A competent chief audit executive** provides assurance that the function conforms with the International Professional Practices Framework (IPPF), specifically the Code of Ethics, Core Principles and the IIA Standards. This means the:

- Core Principles, and so demonstrating that the function is operating effectively.
- Code of Ethics, and so demonstrating that the internal auditing function acts with integrity, objectively, confidentially and competently, and while promoting an ethical culture.
- Standards, defining the requirements for professional practice and evaluating performance.

To demonstrate this competency the candidate should demonstrate their ability to put in place those policies, processes and other practices that will bring about the above compliance and provide the required assurance to the board. This could include:

- Assurance and consulting activities
- Conformance with the IPPF
- Independence of the function
- Being objective and promoting objectivity
- Due professional care
- Promoting professional development.

## Set 3 Communication

**A competent chief audit executive** ensures that all communications are effective and accurate. This is particularly important when communicating audit results and providing assurance on the risk management activities of the organisation. Communication is also critical to establishing and maintaining relationships, to promote the work and value of the internal audit function.

To demonstrate this competency the candidate should demonstrate their ability to communicate effectively with a wide range of stakeholders at a strategic level. This would include:

- Influence and persuasion
- Networking
- Advocacy
- Building and maintaining relationships
- Insightful consultation
- Opportunities for change and improvement
- Innovation
- Soft skills.

## Set 2 Business Acumen

**A competent chief audit executive** supports the work of the Senior Management teams in setting the strategic direction of the organisation that will determine future success, define the strategic objectives of the organisation, and the impact that will have on the operational performance of the internal and external stakeholders of the organisation.

To demonstrate this competency the candidate should demonstrate their business acumen and acuity to identify the desired outcome for the organisation and how these objectives are achieved. This could include:

- Financial literacy
- Internal and external communication
- Data and information systems
- Decision making
- Performance management
- Stakeholder management.

You should always read the competencies in conjunction with:

1. [Global internal audit standards](#)
2. [Internal audit competency framework](#)
3. [Chartered by Learning syllabus](#)



### Set 4 Leadership

**A competent chief audit executive** ensures that the internal audit function is well managed by developing and delivering strategic and operational plans and monitoring and improving quality.

To demonstrate this competency the candidate should develop, review and deliver the audit plan to ensure the efficiency of the internal audit function capable of adding value to the organisation. This could include:

- Internal audit strategy implementation
- Budgeting
- Talent management
- Staffing
- Financial performance
- Policies, procedures and activities to support the internal audit function
- QAIP
- Coordination of audit and assurance activities
- Reducing waste and inefficiency.

### Set 5 Governance

**A competent chief audit executive** recommends improvements to governance, ensuring that the model fits the organisation, and is in line with the UK Corporate Governance code, and providing assurance that the emerging and principal risks are being managed appropriately.

To demonstrate this competency the candidate should identify and implement changes that would improve board oversight in line with the organisational culture and a focus on integrity and ethical behaviour. This could include:

- Governance code compliance
- Identifying and controlling risk
- Impact of structure and culture on risk management strategy
- Strategic planning process
- Audit and corporate strategy alignment
- Performance management and accountability
- IT and data governance
- Risk management and control
- Fraud risk
- Continuous improvement.

## Terms and conditions

Below is a summary of the key terms and conditions that you need to be aware of. The full terms can be found on our website.

- You have 12 months to complete the Assessment for Professional Conferral from the moment you register. However, you only have a total of three years to complete the Chartered programme and you need to complete your Assessment for Professional Conferral before the three years expire.
- We do not offer any extensions on the 12-month period.
- You must have completed both Module 1: Strategy (or by exemption) and Module 2: Leadership before you can register on the Assessment for Professional Conferral.
- If your Problem Statement does not meet the criteria, then you may fail the assessment. Alternatively, if you cannot demonstrate the five competencies during the assessment then you may also fail.
- You will receive a pass or fail grade only, and not a mark.
- You must submit your Problem Statement no later than 24 hours after you made the booking.
- You have a maximum of six months to book your assessment.
- You must submit your assessment documentation consisting of your presentation, accompanying notes, and reflection on the competency matrix no later than seven calendar days before your assessment is set to take place.
- Your Assessment for Professional Conferral must be an original piece of work and must not be the same as previously attempted candidates. You will need to differentiate your work if it is too similar or your Problem Statement will not be accepted.
- You may not deviate from the Problem Statement once it has been accepted and this should form the basis for your presentation

If you have any further questions, then please get in touch and we would be happy to help you: [assessments@iia.org.uk](mailto:assessments@iia.org.uk).



# About the Chartered Institute of Internal Auditors

**The Chartered Institute of Internal Auditors is the only professional body dedicated exclusively to training, supporting and representing internal auditors in the UK and Ireland. We have 10,000 members in all sectors of the economy.**

First established in 1948, we obtained our Royal Charter in 2010. About 2,500 members are Chartered Internal Auditors and have earned the designation CMAA. Over 1,000 of our members hold the position of Head of Internal Audit and the majority of FTSE 100 companies are represented amongst our membership.

Members are part of a global network of 200,000 members in 170 countries, all working to the same International Standards and Code of Ethics.

Stay connected



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Chartered Institute of  
Internal Auditors