The Institute of Internal Auditors Australia

Candidate Progression, Exclusion and Graduation Policy

Policy P5

voice of the profession

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Purpose

This policy set outs the protocols for candidate progression, special consideration, rules for exclusion and the criteria for graduation of the Graduate Certificate in Internal Auditing.

Scope

This policy applies to all candidates of the Institute of Internal Auditors-Australia (IIA-Australia) Graduate Certificate in Internal Auditing course.

Policy statement

Course duration

The Graduate Certificate in Internal Auditing course consists of four Modules which are expected to be completed over a two year period with a maximum allowed of five years. Candidature will not be extended beyond the five year period including any recognition of previously passed Modules.

Each course is held over a 12 week Semester, plus a mid-Semester break of at least one week and a further two week assessment period.

The semester dates are published on the IIA-Australia website www.iia.org.au.

Rules of progression

Candidate progression through the course is prescribed to the extent that the entry point is Module 1 'Risk Based Internal Auditing' and the exit point is Module 4 'Professional in Practice'. Candidates must first successfully complete Module 1 before progressing to Module 2 'Legal and Regulatory Environment' and Module 3 'Organisational Systems and Processes.

Once Module 1 has been successfully completed, Modules 2 and 3 can be undertaken in any order, and the successful completion of Modules 1–3 is pre-requisite for enrolment in Module 4.

Module 4 'Professional in Practice' is a 'capstone' module, which draws on the knowledge and skills developed in the first three modules and focuses on high level application of learning in a professional (workplace) context.

Assessment requirements for progression

Successful completion of each module requires a minimum of 50% of marks available overall (ie, the aggregate of all assessment tasks) plus achievement of at least 50% on the 'major' assessment task.

Special consideration

The IIA-Australia provides access to special consideration where academic performance has been adversely affected by illness or other serious cause beyond the candidate's control. (For Special Consideration for Deferral and Withdrawal, refer to Policy P13: Candidate Fees and Tuition Assurance Policy and Policy P14: Code of Academic Conduct).

The candidate can apply for special consideration by providing a statutory declaration to the IIA-Australia Registrar outlining the reasons for the application and including any supporting documentation. Contact details for the IIA-Australia Registrar are below.

The current fee for making an application for special consideration is set at AUD$50.

Rules for exclusion

A candidate found to have violated the Code of Academic Conduct (refer Policy P14) may be excluded from the Course.

The specific penalty for any violation is determined after an investigation (refer Policy P4: Candidate Grievance).

Graduation policy

Conferring the Award and Testamur

- A candidate is considered to have graduated when they have successfully completed the four modules and an award (Graduate Certificate) has been conferred by the IIA-Australia Board. Awards are issued as per Education Committee policies and the accreditation of the course.
- A Testamur is issued after the award is conferred. The Testamur contains the graduate's name, the award title, the conferral date, an official Testamur number and the signatures of the Chair of the Board of Directors and the CEO.
- Candidates are not permitted to obtain a copy of their Testamur if they have any fees owing to the IIA-Australia.
- Only one original copy of the Testamur is produced. A replacement copy of a Testamur may be provided in circumstances where the original is lost or destroyed, or the name needs to be changed. Requests for a replacement copy of a Testamur must include a Statutory Declaration identifying the reason for a new copy being required, with documentary evidence where there is a name change. The current fee for a replacement Testamur is set at AUD$100.

Statement of Academic Record

- The Statement of Academic Record (academic transcript) states the course and teaching period (semester) in which a candidate is enrolled and details the candidate's performance (grades) in all modules completed.
- The Statement of Academic Record is signed by the Registrar.
- The IIA-Australia provides two copies of a Statement of Academic Record free of charge on graduation but reserves the right to charge a fee for the reprinting of any additional copies requested by a candidate or their representative. The current fee is set at AUD$50.
- Candidates are not permitted to obtain a copy of their Statement of Academic Record if they have any fees owing to the IIA-Australia.

Responsibility

Board of Directors of the IIA-Australia

- Confer the award based on recommendations from the Education Committee.

Education Committee

- Make recommendations to the Board of Directors on those candidates who have met the requirements for achieving their award for the Graduate Certificate in Internal Auditing.

Registrar

- Issue Testamurs and maintain a Register of Testamurs.
- Provide replacement copies of Testamurs.
- Provide Statements of Academic Record and replacement copies.
- Receive and consider requests for special consideration and, where necessary, escalate to the Candidate Conduct and Appeals Committee.

Director of Learning and Development

- Convene a panel of the Candidate Conduct and Appeals Committee to consider cases of 'special consideration', including deferrals, as required.

Candidate Conduct and Appeals Committee

- Receive, hear and provide rulings in accordance with its Terms of Reference.

Key contact

The Registrar
The Institute of Internal Auditors-Australia
PO Box A2311
Sydney South NSW 1235

Telephone: **+ 61 2 9267 9155**
Facsimile: **+ 61 2 9264 9240**
E-mail: **registrar@iia.org.au**
Website: **www.iia.org.au**

Level 7
133 Castlereagh Street
Sydney NSW 2000 Australia

Legislative context

- NSW Higher Education Act 2001 (the Act)
- Australian Qualifications Framework (AQF)

Associated documents

- Policy P1: Candidate Plagiarism
- Policy P2: Candidate Selection and Admission
- Policy P3: Records and Document Management
- Policy P13 Candidate Fees and Tuition Assurance
- Policy P14: Code of Academic Conduct
- Procedure R2: Candidate Academic Records Management
- Graduate Certificate in Internal Auditing Course Handbook
- Education Committee Charter which contains the Terms of Reference (ToR) for its sub-committees

The above documents are available on the website at: www.iia.org.au

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