



The Institute of
Internal Auditors
Australia

Audit Committee Prequalification Scheme Application Form

Name	
Date submitted	
Date prequalified	
Date applicant advised of outcome	

Introduction

The Institute of Internal Auditors-Australia (IIA-Australia) has established an Audit Committee Prequalification Scheme (Scheme).

The purpose of the Scheme is to:

- Prequalify prospective independent audit committee chairs and members.
- Maintain a register of IIA-Australia prequalified members.
- Provide targeted access to the register for organisations seeking to appoint independent chairs and members to their audit committee. The Scheme is suitable for the public sector (Australian government, state and territory government, local government), corporate sector and not-for-profit organisations.

The Scheme is open to Professional Members of the IIA-Australia (PMIIA, PFIIA).

Many IIA-Australia Members have been recruited to audit committees through their Scheme prequalification.

Audit Committee Members

It is expected Audit Committee members will:

- Be good communicators who focus on matters of relevance and importance.
- Take a professional approach to their responsibilities including an appropriate commitment of time and effort so there is sufficient time to prepare for committee meetings and engage with the board of directors, chief executive officer, senior executives and other stakeholders outside committee meetings.
- Express opinions in a clear and constructive manner, ask questions that draw out key issues, and pursue independent lines of enquiry.
- Have a good understanding of the organisation, industry or sector.
- Understand the organisation culture and values and bring a thoughtful approach to ethical issues that might be faced.
- Convey technical matters to other members of the audit committee where members have been chosen for particular technical skills.
- In the public sector, where required have a security clearance at a level commensurate with the security classification of documents accessed by members or be willing to obtain one.

Audit Committee Chairs

In addition to member requirements, it is expected an audit committee chair will:

- Have a clear understanding of audit committee functions and responsibilities, its position within the organisation governance structure, and the organisation's work.
- Effectively plan and manage committee meetings and facilitate discussion to enable the committee to undertake its functions and responsibilities as outlined in the audit committee charter.
- Have active support of, and effectively engage with, the chief executive officer.
- Maintain an open and constructive relationship with senior management, internal audit, risk management, other committees and the external auditor.
- Ensure all audit committee members maintain up-to-date knowledge of the organisation and its activities.

Applicant Details	
Name	
This application is for:	Audit Committee Chair: Yes / No Audit Committee Member: Yes / No
Current employer	
Current position	
Telephone	
Mobile telephone	
Email	
Address	
Education	
Professional certifications	
Professional organisation memberships	
Specific industry experience	
Summary of relevant experience	

Current Board and Audit Committee Memberships				
Organisation	Role	Term	Start Date	End Date

Experience	Expert	Sound	Some	No
Governance				
Risk management				
Internal audit				
External audit				
Controls, compliance and fraud control				
Business operations				
Performance management				
Human resource management				
Information technology, cybersecurity				
Project management				
Other (please specify)				

Capability Statement	
1. Extensive senior level experience: <ul style="list-style-type: none"> • Governance and management of complex organisations • Ability to read and understand financial statements • Capacity to understand ethical requirements, including conflict of interest 	
2. Functional knowledge in areas such as: <ul style="list-style-type: none"> • Governance • Risk management • Internal audit • External audit • Controls, compliance and fraud control • Business operations 	
	<ul style="list-style-type: none"> • Performance management • Human resource management • Information technology, cybersecurity • Project management • Other (please specify)
3. Capacity to form independent judgements and willingness to constructively challenge and question management practices and information	
4. Professional and ethical approach to the exercise of duties, together with capacity to devote the necessary time and effort to the responsibilities of audit committee membership	

Declaration – Part 1	Yes / No
Have you ever been convicted of a criminal offence or is there a charge pending?	
Have you ever been refused membership, or had membership forfeited, of a statutory, professional or other body?	
Have you ever been subject to disciplinary proceedings by a statutory, professional or academic institution or other body?	
Are you presently under any order of the court, are you a bankrupt, have you made any assignment for the benefit of your creditors, or have you executed an authority under Part X of the Bankruptcy Act 1966 within the last 3 years?	
Are you subject to a notice not to manage a corporation as provided in Section 206, Part 2D.6 of the 'Corporations Act 2001'?	
Are you aware of any real, potential or perceived conflicts of interest that could result from your appointment to an Audit Committee?	
Have you been the subject of adverse findings by an anti-corruption body or similar body in any jurisdiction in Australia or internationally?	
Are you a lobbyist or an employee, contractor or person otherwise engaged by a lobbyist?	
If you answered 'yes' to any of these questions, please provide relevant information in a separate attachment to this application form to enable further considered assessment	

Declaration – Part 2	Yes / No
I am a Professional Member of the IIA-Australia.	
I have read and agree to be bound by the provisions of the IIA-Australia Constitution and By-laws prescribing ruling on the standards of practice and professional conduct, including the International Professional Practices Framework, a requirement by the IIA-Australia to be observed.	
I have read and will abide by the Code of Ethics adopted by the IIA-Australia to govern its members.	
I undertake to familiarise myself with the Code of Conduct for any organisation interested in securing my services	
I agree to produce any further evidence and information in relation to this application as may be required by the IIA-Australia to attest the information is true and correct.	
I have read the Privacy Statement contained in this application form and I consent to my personal information being collected, used and disclosed for the purposes of my application to be considered for the IIA-Australia Prequalification Scheme for Audit Committee Chairs and Members.	
The information provided in this application (including any attachments) is true and correct and I make it in the knowledge that a person making a false declaration is liable to the penalties of perjury.	

Privacy Statement	Yes / No
In consideration of the IIA-Australia evaluation of my suitability to be listed on its register of prequalified persons for roles as chairs and members of audit committees, I understand and agree that confirmation of my responses may be sought. These checks may include, but are limited to, criminal history and verification of my qualifications, certifications and professional memberships. I hereby authorise the IIA-Australia and its authorised nominees to collect, use, disclose and store personal information about me from third parties, for the purpose of verifying my experience and qualifications.	
I allow third parties holding personal information about me to release such information to the IIA-Australia and its authorised nominees.	
If successful with this prequalification application, I agree the IIA-Australia may provide my name and contact details to organisations seeking prospective audit committee candidates according to preferences in my application and without the IIA-Australia contacting me.	

Applicant Signature	Date

Attachments	
I have attached copies of the following documents:	
Professional CV	<input type="checkbox"/> Yes <input type="checkbox"/> No
Capability statement	<input type="checkbox"/> Yes <input type="checkbox"/> No
Professional referee report 1	<input type="checkbox"/> Yes <input type="checkbox"/> No
Professional referee report 2	<input type="checkbox"/> Yes <input type="checkbox"/> No

Professional Referee Report Template

Applicant name	
Referee name	
Referee Occupation	
Referee telephone	
Referee email	
Referee address	
How you know the applicant	
Referee Comments	
<p>Extensive senior level experience:</p> <ul style="list-style-type: none"> • Governance and management of complex organisations • Ability to read and understand financial statements • Capacity to understand ethical requirements, including conflict of interest 	
<p>Functional knowledge in areas such as:</p> <ul style="list-style-type: none"> • Governance • Risk management • Internal audit • External audit • Controls, compliance and fraud control • Business operations • Performance management • Human resource management • Information technology, cybersecurity • Project management • Other (please specify) 	
<p>Capacity to form independent judgements and willingness to constructively challenge and question management practices and information.</p>	
<p>Professional and ethical approach to the exercise of duties, together with capacity to devote the necessary time and effort to the responsibilities of audit committee membership.</p>	
Referee Signature	Date