

THE MANY ROLES OF THE CAE

INTRODUCTION AND INSTRUCTIONS

The Institute of Internal Auditors Research Foundation (IIARF) is the global leader in providing research and knowledge resources to enhance the internal audit profession.

The IIARF continually monitors the needs of the internal audit profession and its stakeholders to identify high priority topics for future projects. These high priority topics can either become Research Projects or Educational Products

Research Projects focus on discovering new information about the internal audit profession using academic research methods such as surveys, focus groups, interviews, case studies, literature review, and data analysis. Whenever possible, research projects should include implications or applications for practitioners.

Educational Products are designed to provide information that internal audit practitioners can use on the job. Educational products often include “how-to” information, tools, best practices, and so on. (A research component can support the educational product.)

The following request for proposal is for a **research project**, and a global scope is encouraged. Please note that submission guidelines were updated in 2012. Any proposal that does not follow the updated guidelines will be returned for revisions.

The review process normally lasts 4–6 weeks, but may take longer.

Return your proposal as a Microsoft Word document or PDF via email to research@theiia.org.

ALL RESPONSES TO THIS REQUEST FOR PROPOSAL ARE DUE NO LATER THAN MARCH 11, 2013.

If additional information is needed, please contact The IIA Research Foundation:

Tel: +1-407-937-1356

Email: research@theiia.org

Thank you for your interest in The Institute of Internal Auditors Research Foundation. We look forward to working with you.

TOPIC INFORMATION	
Priority Topic Title	The Many Roles of the CAE
Topic Summary	Using a literature review, survey, and interviews, this report should describe the many roles played by a chief audit executive (CAE), and give guidance for the skills and strategies needed to fulfill these roles.
Product Type	Choose one: <input type="checkbox"/> Educational Product <input checked="" type="checkbox"/> Research Report (applied) <input type="checkbox"/> Research Report (add to knowledge base, theoretical)
Problem the Research Will Address	Organizations need guidance to help them continuously train and develop future and current CAEs to meet the evolving demands on today’s internal audit leaders.
Target Audience	Future and current CAEs. Executive leaders and audit committees.
Research Questions	<ul style="list-style-type: none"> • What are the responsibilities, opportunities, risks, and conflicts of the CAE function now and trending toward the future? • What are best practices and guidelines for the multiple roles CAEs fulfill now and will fulfill in the future?
Benefits to the Audience	CAEs will be better prepared to fulfill their assigned responsibilities. CAEs will be able to identify opportunities, risks, and associated conflicts, and understand how to navigate through these sometimes troubled waters.
Topics/Issues Proposals should include: <input checked="" type="checkbox"/> At least all of the topics listed, plus researcher’s suggestions. OR <input type="checkbox"/> The researcher’s selection of options and/or additional topics.	<ol style="list-style-type: none"> 1. Overview of the development of CAE roles based on literature review (especially changes). 2. Description of how the research design is based on literature review and the research questions. 3. Responsibilities of CAEs. 4. Opportunities for CAEs. 5. Risks for CAEs. 6. Impact on CAEs and future performance (for example, getting caught between the expectations of the audit committee and management). 7. Pros and cons to effectively managing responsibilities as CAE. 8. Benefits to the organization and to the CAE’s professional career track to improving leadership within the organization. 9. Models/systems for practical application. 10. The research topics should emphasize needs of future CAEs and changes in the profession. 11. There would be differences between global regions. For example, Eastern Europe sees the internal audit activity as policing. Other European countries have more emphasis on advising. In the U.S., the emphasis is on risk management and compliance.

Methodology	Literature review, surveys, and interviews (existing IIA survey data should be analyzed before new surveys are conducted).
Sample Size and Description	<p>Sample size should be statistically significant so that relevant conclusions can be reached.</p> <p>Sample should include acting CAEs and possibly other executive leaders or audit committee members to learn about CAE roles and responsibilities.</p> <p>The sample selection should be a good mix of organization size, industry, and geography. Consideration should be given to making this a global research project.</p>
Researcher Qualifications	The researchers should have a good understanding of research skills. In addition, they should have a strong knowledge of internal audit responsibilities and duties, skills, and expertise.
Time Frame	9–12 months
Length of Book or Report	Small report, 50–80 pages in length.
Other Possible Content Uses	A webinar designed for CAEs to explain work performed and provide valuable consultation to today’s internal audit leaders. In addition, a journal article or a proposed article for <i>Internal Auditor</i> magazine should be strongly considered.
Resources to Consult	Identify and consider any previous research performed in this area, especially research conducted by The IIA.

INTERESTED RESEARCHERS AND AUTHORS, PLEASE PROCEED TO THE NEXT SECTION, PROPOSAL SUBMISSION GUIDELINES

PROPOSAL SUBMISSION GUIDELINES

The Institute of Internal Auditors Research Foundation (IIARF) is the global leader in providing research and knowledge resources to enhance the internal audit profession.

Proposals should outline how the requirements of the RFP will be met. Proposals should not exceed **five pages** exclusive of the summary page and appendices described below, and should be organized as follows:

1. Proposal Summary Page
 - a. Name of the priority topic being addressed.
 - b. Product type (education, applied research, or theoretical research).
 - c. Proposal title. (This title should be specific to the proposal, not the same as the name of the priority topic.)
 - d. Date proposal was submitted.
 - e. Primary researcher's name and contact information.
 - f. Proposal abstract. (This should be one to two paragraphs, including research need, primary audience, methodology, and a description of the primary deliverable.)
2. Project Description
 - a. Research questions.
 - b. Application/implications for internal auditors.
 - c. Topics/issues.
 - d. Methodology. (Explain how the proposed methodology will answer the research question. Include drafts of surveys or interview guides in appendices. An incomplete methodology will cause a research proposal to be returned.)
 - e. Sample size and description.
3. Research Team and Budget Description
 - a. Proposed research team members with a *brief description of their roles and qualifications*. (Describe research capabilities and/or academic qualifications related to the topic. Show that an experienced internal auditor is on the research team.)
 - b. Time frame.
 - c. Budget. (Give itemized budget and tell who receives funds.)
4. Deliverable Description
 - a. Length of book or report.
 - b. Other possible content uses.
5. Appendices
 - a. First draft of the interview guide, survey questions, and/or analysis methodology (if applicable).
 - b. Curriculum vitae (CV) for each researcher (three pages maximum).
 - c. Previous researcher affiliation with The IIA (previous research or educational products produced, volunteer participation, chapter officer, etc.).

Submit proposals by **MARCH 11, 2013**, via email to: research@theiia.org

Further information: research@theiia.org, Tel: +1-407-937-1356, Fax: +1-407-937-1101