Introduction

The three case studies are based on fictitious organizations and require candidates to provide insights into matters relating to governance, risk, and control. In preparation for the case studies, you should familiarize yourself with the QIAL syllabus for the relevant units. To maximize your chances of success, it is important to follow the instructions provided in the case study and cover all parts of the question in your response.

Although it is a written exam and you are required to ensure that your answer is given in an appropriate style, it is also recognized that you are working quickly on a computer under time constraints. Therefore, provided that your meaning is clear and the tone and use of language are suitable, no marks will be deducted for typing mistakes or issues of formatting. Remember to stay focused on the key issues as there is insufficient time to cover every single fine point of detail.

Refer to the QIAL syllabus which can be found at www.globaliia.org/qial for more details about the formal learning content of the program.

Technical requirements

With the integration of a test delivery system and ProctorU (The IIA’s vendor), candidates are seamlessly transitioned from the test delivery site to the proctor page. Candidates follow steps on screen to initiate an applet download. The applet (called LogMeIn Rescue) is not a permanent program installed on the candidate’s computer. The applet becomes inactive after the exam session is over. The applet initiates the screen-sharing connection and alerts the proctor that a candidate has arrived for their appointment. The proctor appears on screen to direct the candidate through the authentication process.

Before you get started, it is recommended that you test the equipment and software and ensure that your computer set up is appropriate several days in advance of your desired case study date. A webcam, microphone, and computer with Internet connection are required. The specific requirements are as follows:

- **Operating system:**
  - For a PC, you will require a reliable computer running Windows XP or higher with 1024 MB of RAM or higher.
  - For an Apple computer, you will require a reliable computer running Mac OS X or higher.
- **Webcam:** 640x480 video pixel resolution. The webcam may be integral to the computer or connected as a peripheral device.
- **Sound output:** headphones or working speakers connected to the computer.
- **Microphone:** either inbuilt to the headphones or connected to the computer. It is recommended that you have a webcam with a built-in microphone.
- **Internet:** reliable high-speed connection (minimum 768 Kbps/384 Kbps download/upload speeds).
• Web browser: any of the following web browsers with Adobe Flash Player installed (Flash Player 10 or higher recommended):
  o Internet Explorer 7 or higher.
  o Firefox 3.6 or higher.
  o Safari 3 or higher.
• Authority to allow remote access to your computer and screen by a proctor.

The software deployed by the vendor (ProctorU) locks down the user’s computer so that other programs, including Internet Explorer and Outlook, cannot be operated during the case study.

**It is strongly recommended** that you visit the ProctorU website using the computer and internet connection you plan to use for your case study to complete a very quick online system check at [www.proctoru.com/testitout/](http://www.proctoru.com/testitout/). The site will conduct an immediate camera check, microphone check, port check, bandwidth test, Flash check, and operating system check. Any problems will be highlighted and you can connect to a live assistant to help resolve them. At this point you should also check whether you will be able to allow ProctorU to run an applet that enables the screen sharing software (called LogMeIn Rescue). On some machines (especially those with high security settings) this may require admin access rights and so it is important to determine this in advance of when you plan to take the case study.

**Choosing a location**

You may choose to take your case study anywhere there is a reliable Internet connection. Candidates are required to select a quiet and comfortable environment free from telephones, TVs, radios, and other potential sources of interruptions, and where there is no opportunity to gain access to extraneous materials or assistance from third parties. A room with a single point of entry and exit is preferred. You should place a sign on the door instructing others to keep quiet and refrain from entering. The walls of the room selected should be free from books, pictures, or other materials that may potentially assist a candidate or give them unfair advantage during the case study.

Constant supervision by a remote proctor via a webcam will confirm the identity of the candidate and ensure that the candidate is not referring to other resources or receiving help from others. Be sure you are in a well-lit, quiet and private room. The lighting of your room must be daylight quality and overhead lighting is preferred. If overhead lighting is not possible, please make sure that your light source is not directly behind you because it will make it difficult for your proctor to see you.

**What will you need for your case study?**

Other than your computer, webcam, microphone, and speakers or headphones, you will need:

• Your ID (two versions – see the ID check section on the next page).
• A mirror or other reflective surface, if your webcam is integral to the computer and cannot be made to show the proctor your screen.

You will not be allowed to make any notes. You will be asked to remove any pens, pencils, books, paper, cameras, phones, tablet computers, MP3 players, TVs, or similar devices.
Logging in with ProctorU

It is recommended that you check in for your case study ahead of schedule to allow enough time for the various checks ProctorU will run. The proctor will take control of your computer in order to complete all necessary checks. The proctor will be able to do the following at all times throughout the process:

- See the candidate.
- See what is on the candidate’s screen.
- Monitor all programs that are running on the candidate’s computer.
- Speak to the candidate.

During the initial set up stage, the candidate will be able to see and hear the proctor and communicate via on screen text. However, once the session has started, the candidate will not be able to see or hear the proctor unless the proctor needs to communicate with the candidate. The candidate will be able to attract the proctor’s attention by speaking into the microphone. A recording will be made of the entire session which will be kept for monitoring and review purposes for up to 60 days.

If it is important to you to specify that you require a male or a female proctor, please notify The IIA at least five days in advance of when you plan to take your case study by phoning +1-407-937-1325 or by emailing Joelle.McFaddin@theIIA.org.

Clothing, eyeglasses, and other accessories

Please choose clothing that is comfortable. If you are wearing a jacket with internal pockets, the proctor will ask you to reveal these to the camera. If you have pens or other objects on display in your pockets or are wearing pins, heavy jewelry, or brooches you may be asked to remove these. If you need to wear eyeglasses/spectacles for the case study, the proctor will ask you to remove them and hold them up to the camera for close inspection. If you need to wear a hearing aid, please advise us of this in advance. The proctor may ask you to show this to the camera. The proctor will need to be able to view your face clearly for the purpose of taking a photo and confirming your ID. Therefore you will be asked to remove any clothing that may obscure the face.

Equipment and systems check

The proctor will undertake technical checks to ensure that you are equipped to proceed with the case study. You are very strongly advised to check this for yourself in advance of the scheduled appointment (see above). If it is not possible to remedy any technical problems having to do with your equipment, operating system, or Internet connection, it will not be possible to proceed with the case study and you will forfeit your registration fee.

ID check

The IIA and ProctorU employ strict security measures. One level of security involves your identification. You must have at least two forms of identification (ID) that meet the following requirements:

- Contains your name exactly as you provided it during the QIAL application and case study registration process (as it appears on your case study appointment confirmation letter).
- Has a permanently affixed photo of your face.
• Is current — expired IDs will not be accepted.
• Is an original document — no photocopies will be accepted.

Acceptable forms of identification are:

• Government-issued driver’s license.
• Passport.
• Military ID (except those with chips).
• Permanent resident visa.
• Credit card with photo (meeting the requirements stated above).
• Other government-issued ID.

Unacceptable forms of identification include:

• Employee identification or work badge.
• University/college identification.

If you do not present acceptable identification at the time you are scheduled to take your case study, you will not be allowed to take your case study, and you will be considered a “no-show” even though you were logged on at the specified time and date.

Your name on your identification must match the name as it appears on your test confirmation. If it does not, your registration will be voided, you will forfeit your case study registration fee, and you will be required to register and pay again in order to sit for that case study in the future. If you need to change your name as it appears in CCMS, log into your CCMS account to record an incident. You will then be instructed as to what documentation is required and how to submit that data.

The proctor will take your photo to be used to match with any future assessments you undertake.

Candidates in the United States will be asked an automated series of security questions based on publicly available data about you.

Room check
The proctor will ask you to use the webcam to get a full 360° view of the room, including walls, entrances and exits, desk space, under the keyboard, beneath the table, behind the computer, and so on. If you have a peripheral webcam you can provide this view by moving the camera. If you are using a laptop with an integral webcam, you can move the whole computer so that the proctor gets to see around the room and view the working space around you. If the computer you are using has an integral webcam, is fixed to the desk, or is too heavy to move, then the proctor will ask you to use a mirror to provide a suitable view of the room. The proctor may ask you to move if for any reason the position or location selected are unsuitable. A mirror or other reflective surface will also be used wherever there is an integral camera to enable the proctor to see your computer screen.

System lock down
The proctor will install a temporary secure browser to prevent access to any other part of the computer during the case study. This will be uninstalled at the end of the session.
Starting the case study
When all the checks have been completed and both you and the proctor are ready for you to begin, you will be logged into the case study by the proctor.

Non-disclosure agreement and general terms of use for IIA case studies
Before you can access the case study, you will be required to accept the terms of The IIA’s non-disclosure and confidentiality statement. This case study is confidential and is protected by law. It is made available to you, the candidate, solely for the purpose of becoming qualified. You are expressly prohibited from disclosing, publishing, reproducing, or transmitting this case study, in whole or in part, in any form or by any means, verbal or written, electronic or mechanical, for any purpose, without the prior written permission of The IIA.

In the event of any actual or anticipated breach by you of the above, you acknowledge that The IIA will incur significant and irreparable damage for each such breach and that The IIA has no adequate remedy at law for such breach. You further acknowledge that such breach may result in your qualification being revoked, disqualification as a candidate for other programs in future, and suspension or revocation of membership privileges at The IIA’s discretion.

If you do not accept the case study non-disclosure agreement, your case study will be terminated. If this occurs, 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 should you wish to sit for it in the future.

Testing time allotted
When you have accepted the non-disclosure agreement, you are ready to begin the case study and the system will advise you of the time that you have to complete it. The time allocated for each case study is as follows:

Case study unit 1: 3 hours and 45 minutes
Case study unit 2: 3 hours and 45 minutes
Case study unit 3: 2 hours and 45 minutes

You may allocate the time as you wish. It is recommended that you spend some time reading the case study materials and preparing your answer. You will have access to all the materials for the full allotted time.

During the case study
Clock
The computer program has a built-in timer to let you know the time remaining as you work through the case study. Plan your time wisely so that you have enough time to tackle all parts of the case study.

Interruptions
Sometimes you may experience temporary or intermittent interruptions during the session, such as loud and distracting noises from an adjacent room or outside. Someone may try to enter the room by mistake. The proctor will make note of any disruptions of this kind that occur. In extreme cases where it is impossible to continue (for example, if it becomes necessary to evacuate the building), the proctor will
decide to terminate the session and file a report with The IIA. Depending on the circumstances, The IIA may decide to allow the candidate to complete the session at the next convenient opportunity, continuing from the point where the session was terminated.

Technical problems
If technical issues arise during the session (for example if the Internet connection is lost or the webcam ceases to operate), the proctor will work with the candidate to resolve the problem. During this time the clock will not be stopped. If the technical problems cannot be resolved within 30 minutes the proctor will terminate the session and file a report with The IIA. Depending on the circumstances, The IIA may decide to allow the candidate to complete the session at the next convenient opportunity, continuing from the point where the session was terminated.

Bathroom breaks
There are no scheduled breaks during the case study. You are allowed to take a single break, if necessary, of no more than ten minutes, but any time taken for breaks counts toward the overall time allotment for that case study. If you choose to take a break, the proctor must be notified. Upon return, the proctor must re-secure the environment with a camera pan of the room and monitor.

Misconduct
ProctorU staff are trained to watch for unusual behavior and incidents during the case study. Case study sessions are recorded to document the occurrence of any unusual activity, and candidate misconduct will be reported to The IIA for investigation.

If any misconduct occurs during the case study, the proctor will instruct you to refrain from that behavior and make of note of this to report to The IIA. If the misconduct is repeated or is sufficiently severe in the first instance, the proctor will terminate the session and file a report with The IIA.

If you violate any of the testing rules, attempt to gain assistance from third party during the case study, or make copies of The IIA materials, your case study may be terminated and your score invalidated. The IIA and its Professional Certifications Board consider candidate misconduct related to the certification process a serious offense. Incidents of candidate misconduct will be referred to The IIA’s Global Ethics Committee for action. Actions by The IIA’s Global Ethics Committee may include invalidation of case study results, disqualification from participation in all IIA certification programs (current and future), and publication of the results of their due process in an IIA publication. If evidence of misconduct is discovered after a candidate has been awarded the QIAL, it may be revoked. The IIA may also take other actions to the extent permitted by law.

Ending your case study
Unless it is terminated early by the proctor, your session may be ended either automatically when the full time allocated expires or when you choose to terminate by selecting “end” and confirming that you wish to close the session.

When you are ready to submit the case study, notify the proctor. You will submit the case study, but the proctor is required to disable the secure browser. The proctor will continue to observe as you log out of the test delivery site and close the browser used for the assessment. This ensures that you cannot re-enter the environment once disconnected from the proctor.
Please do not ask the proctor any questions concerning the case study content or case study scores as they will not be able to assist you.

After the case study

Reporting case study concerns
If you have questions, comments, or concerns regarding the case study experience or content, please submit an incident report in your CCMS record. The IIA will not re-grade or otherwise change a candidate’s grade after the case study has been completed based on these comments.

IIA Global Certifications cannot discuss specifics related to individual case study queries or individual scores. All case study content is non-disclosed.

Receiving your results
Your submission will be held securely on ProctorU’s server and access rights granted to an authorized IIA assessor to assess it. The assessment process, which includes standardization procedures and review of a sample of scripts by a moderator, may take up to 60 days. Occasionally, case study results will be withheld for a period of time. This may occur as a result of our ongoing global audit procedures surrounding the case study process.

Note: Your result will become official once The IIA publishes it to CCMS. You will be notified by a system-generated email once it is available. Case study scores may be suspended, voided, or otherwise invalidated after becoming official if The IIA discovers errors or evidence of cheating or other improper activity.

If you are successful in a case study, you will be provided confirmation that you have passed.

If you are unsuccessful in a case study, you will be provided with:

- Your score expressed as a percentage of the total marks available and the pass mark expressed as a percentage of the total marks available;
- An indication of the domains where moderate or significant improvement is required.

In either case you will not be provided with a copy of your completed script. You will not be advised of the names of the assessor or moderator. You will not be advised if your script has been subject to moderation nor whether this process resulted in a change to the score originally awarded by the assessor.

If you have questions about your case study results or wish to register an appeal, log into your CCMS record to log an incident. A member of The IIA’s Global Certifications Department will follow up with you.

In order to preserve security and to maintain the integrity of the global certifications process, case study results are continually monitored.

Tutorials
http://vimeo.com/69468445 Learn about ProctorU
http://vimeo.com/75513179 Watch How it Works
Frequently Asked Questions

1. When a candidate tests their computer ahead of time, where can they go to check the administrative/access limitations?

Candidates can check their computer software and hardware in advance with a live technician by visiting www.proctoru.com/helpdesk. The site includes an automated check for webcam, microphone, and Internet connectivity, in addition to a diagnostic for Flash and the operating system. After the automated equipment test, candidates can connect to a live technician and download LogMeIn Rescue (screen sharing technology) or run other checks. Our skilled proctors have a wealth of industry experience to rectify any technical issues candidates may encounter.

2. If candidates acquire an administrative password to download LogMeIn Rescue to run the systems and requirements check, will the candidate need the administrative password to connect with the proctor on the day of the assessment?

A candidate needs administrative access on their computer to download the LogMeIn Rescue applet. On the day of the exam, the administrative password is needed only if the proctor needs to troubleshoot or resolve technical issues.

3. Does the candidate need to create a ProctorU account to connect with the proctor?

No, candidates do not need to create a separate ProctorU account.

4. Can the candidate schedule by phone with ProctorU?

No. Over-the-phone scheduling with ProctorU is not supported. All scheduling and rescheduling must be completed with the test delivery system.

5. How does the candidate cancel a registration?

Candidates cancel appointments through the test delivery system.

6. Can the proctor communicate with the candidate via on screen messaging throughout the exam?

No, all communication is verbal once the secure browser is launched. However, the proctor works diligently to ensure the candidate’s audio connection is functioning before launching the secure browser.

7. How does the secure browser work?

ProctorU offers a proprietary secure browser that locks down the candidate's testing environment. This ensures the exam and proctoring session are the only programs running.

The browser will:

- Disable all running programs in the background, such as screen capture and screen recording software.
- Disable music and sound output, excluding verbal instruction from proctors.
- Disable virtual machines.
- Freeze additional monitors, so only one monitor is visible.
- Disable the ability to copy and paste.