



Qualification in
Internal Audit Leadership™

CANDIDATE GUIDE TO THE PRESENTATION AND INTERVIEW

MAY 2016



Introduction

There's no better way to demonstrate your qualifications as a leader to your stakeholders and peers than with The IIA's Qualification in Internal Audit Leadership™ (QIAL™) professional credential. The QIAL is the only qualification program that identifies, assesses, and develops core skills linked to audit leadership success. It caters to CIAs and CAEs who are already strong performers and have the potential for greater leadership. The program consists of two components: (1) The Case Study or Professional Portfolio (details are documented in another guide) and (2) The Presentation and Panel Interview. The Presentation and Panel Interview form the capstone to the program and address both technical and communication skills.

Program Pathway 1 candidates will need to pass all three case studies before they can register for the presentation and panel interview. Program Pathway 2 candidates will need to have satisfied the requirements for all three units by completing and having had approved a Portfolio of Professional Experience and/or by passing case studies before they can register for the presentation and panel interview.

Generally, candidates will schedule the presentation and panel interview together (unless they are undertaking a retake following a previously unsuccessful attempt). In most cases the presentation and panel interview will be assessed by the same panel comprised of three QIAL-qualified and IIA-trained assessors (including a chair), plus a facilitator (usually an IIA staff member). The panel interview will be conducted in English. In all cases, a video recording will be made of the presentation and panel interview for the purposes of monitoring and potential appeals. Once the assessment process is complete, the recording will be destroyed.

Presentation and panel interview delivery

Presentations and panel interviews are conducted face-to-face with a panel of assessors.

Details of available dates for presentations and panel interviews offered can be accessed on our website at <https://global.theiia.org/qial/Pages/QIAL-Planning-Schedule.aspx>. To schedule your presentation and panel interview, email QIAL@theiia.org.

In all cases, the presentation and panel interview will be conducted as if it were a formal meeting of the board, audit committee, or similar body. You will be invited into the room when the chair and panel are ready.

What happens during the presentation?

- Upon registration, you must submit a short professional biography to QIAL@theiia.org. Your professional biography is used to avoid any possible conflicts of interest when scheduling your panel of assessors.
- You are required to deliver a 20-minute presentation, as if to a board of directors.
- You may select one of the following:
 - (1) Identify an innovative* internal auditing practice that you would like to introduce to an organization if the opportunity arose.
 - (2) Identify an innovative* internal auditing practice that you have introduced to an organization.



- Your presentation **must** cover:
 - The role played by internal auditing in helping an organization remain aware of and effectively manage its current and emerging risks.
 - How a CAE should maintain awareness of leading-edge practice in internal auditing.
 - A description of the innovative* internal auditing practice you have selected.
 - The intended or realized benefits from the innovative internal auditing practice focusing on enhancements to governance, risk management, and control.
 - The process for implementing such an innovation effectively.
- *Innovative is defined as a new or significantly improved approach, method, or process that takes the provision of internal audit services beyond mere conformance with the requirements of the IPPF. It may be new to the organization, the sector, the geographical region, or to the profession of internal auditing globally. You should focus on the positive impact the innovation is intended to have on governance, risk management, and control.
- The presentation should reflect best practice in internal auditing and draw upon examples from your own professional experience. Communication and presentation skills will form part of the overall assessment.
- If you have previously made a presentation as one of your assessments for the QIAL and have been unsuccessful, you must prepare and deliver a new presentation on a new topic.
- You will be asked to sit when making your presentation to the panel as is appropriate for a formal meeting.
- You will be allowed a maximum of 20 minutes for your presentation. If the presentation exceeds the time limit, any input or remarks made after 20 minutes will not be taken into account for the assessment.
- During the presentation, you will be observed and assessed but you will not be asked any questions. The chair of the panel may ask you to progress more quickly if they feel that you are spending too much time on introductory topics.
- The panel members are not able to participate in any interactive elements you may choose to include as part of your presentation.
- It is not necessary to provide personal and organizational details to the panel. The panel will have reviewed your professional biography in advance. They will not have reviewed your application, case studies, or portfolio of professional experience.
- After the presentation, you will be asked to leave the room for a few minutes while the panel discusses and agrees to questions it wants to ask you. You will then be asked questions from the panel related to your presentation for a period of up to 10 minutes.
- A laptop or PC and wireless pointer will be provided. On the day of your presentation, you must provide a copy of it in electronic format, preferably Microsoft PowerPoint, on a memory stick (USB flash drive). Your presentation must be submitted to The IIA at QIAL@theiia.org at least five days in advance of your scheduled presentation date.
- The presentation must be your own work. Its contents will be assessed for plagiarism.

- Do not bring handouts or other giveaways. The panel will not be able to accept them and they will not form part of the assessment.
- The presentation and question and answer session will be recorded for monitoring and appeal purposes.
- The IIA will keep an electronic copy of all presentation materials used for monitoring purposes.
- You will be observed and assessed throughout the presentation. A member or members of The IIA staff may also be present for monitoring purposes.
- Assessment will be made based on the content and style of your responses.

Candidates should focus on the key requirements of the presentation as described above, refrain from covering unnecessary personal or organizational details, and address their comments as if to the board, audit committee, or similar body.

What happens during the panel interview?

- Upon registration, you must submit a short professional biography to The IIA at QIAL@theiia.org. Your professional biography is used to avoid any possible conflicts of interest when scheduling your panel of assessors.
- In the panel interview, you will be assessed on your personal experiences, understanding, and expertise. The purpose of the panel interview is to supplement the assessments already made through the case studies or Portfolio of Professional Experience, and presentation with an appraisal of your performance in front of a panel.
- You will be asked a series of prepared questions by a member or members of an interview panel. You are required to demonstrate your professional competence by responding to those questions and drawing upon your knowledge, experience, and understanding.
- Where necessary, supplementary questions will be asked to seek clarification or further detail to the responses made.
- You will not have prior knowledge of the questions that the panel will ask you.
- Questions will be read to you and will also be available visually.
- For each question, you will be allowed a maximum of five minutes in which to make your response. When you complete your response or when five minutes pass (whichever is sooner), the interview will proceed to the next question. A clock will be visible to you showing the time remaining for your answer for each question. Where less than five minutes is required, the remaining time cannot be carried forward to future questions.
- You will be observed and assessed throughout the panel interview. A member or members of The IIA staff may also be present for monitoring purposes.
- Upon completion of the panel interview, you will be asked to wait outside the room while the panel discusses their assessment. In exceptional cases you could be asked to return to provide further answers to one or more of the questions previously answered where the panel seeks additional clarification. This will last no more than 10 minutes.

- The panel members will be experienced practitioners who have received training on the requirements of the panel interview assessment and who hold the QIAL.
- Assessment will be made based on the content and style of your responses.
- The panel interview will be recorded for monitoring and appeal purposes.

How will I be assessed?

The assessors will use a detailed scoring rubric for both the presentation and the panel interview. The presentation and panel interview are scored separately. A sample of presentations and interviews is selected for moderation purposes. Moderation is a process of sampling and second marking by an independent assessor to ensure consistency and standardization.

How will I get my results?

You will receive the results of your presentation and interview via email within 60 days. You will not receive a numeric score, only a Pass or Fail result. If you are unsuccessful in a presentation or panel interview, you will be provided with an indication of the key areas of the assessment where improvement is required, together with suggestions from the panel about how you may achieve the required improvement. Any suggestions are intended as helpful guidance only, based upon opinion and cannot guarantee future success.

You will not be advised if your assessment has been subject to moderation nor whether this process resulted in a change to the score originally awarded. You will not be advised of individual scores awarded by assessors, only of the final decision of the panel.

When can I retake the presentation or panel interview if required?

A minimum of 90 days must elapse between an unsuccessful attempt at completing the presentation or panel interview and any retake. You will not be able to retake any assessment if you have been successful.

Non-disclosure agreement

Having accepted the terms and conditions of the QIAL, you are bound to refrain from sharing the content of either the presentation or interview with a third party. Sharing your presentation, whether successful or not, with others is also not permitted.