

# Candidate Progression, Exclusion and Graduation Policy

*Policy P5*

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## Purpose

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

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## Scope

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

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## Policy statement

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### *Course duration*

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

Each course is held over a Semester consisting of a 12-week teaching period and a further two week assessment period. There is a mid-semester break of at least one week in each Semester.

Semester dates are published on the IIA-Australia website: [www.iaa.org.au](http://www.iaa.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 or at the same time. The successful completion of Modules 1–3 is a 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.

Candidates who fail the same module more than once, including through non-submission of assignments, may be put on academic probation or have their enrolment suspended. Suspensions are at the discretion of the Education Committee and will be for a minimum of one study period. In these cases, the candidate may be asked to show just cause as to why they should be allowed to re-enrol in the course. A suspension does not reduce a candidate's five years' available to complete the GradCertIA.

Candidates who are required to show just cause must provide a submission which includes evidence that you could not meet your progression requirements because of circumstances outside your reasonable control. Examples include serious ill health or misadventure. It does not include circumstances such as work demands. Details on how you are resolving or have resolved these circumstances to enable you to successfully progress should also be provided. Further information and guidance on the suspension and just cause processes can be obtained by contacting the Registrar at [education@iia.org.au](mailto:education@iia.org.au).

## 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 Assignment 2.

## Non-award candidates

Non-award candidates must achieve an assessment grade of Credit or above on Module 1 and at least 50% on Assignment 2 within Module 1 to subsequently be considered eligible for progression as an award candidate into the remainder of the Graduate Certificate in Internal Auditing. In exceptional circumstances the Education Committee may allow non-award candidates who perform satisfactorily in Module 1 but do not meet these specific requirements to progress into the remainder of the Graduate Certificate in Internal Auditing.

## Special consideration

Candidates may apply for special consideration when they experience short-term, unexpected serious and unavoidable circumstances that adversely affect their academic performance. (For Deferral and Withdrawal, refer to Policy P13: Candidate Fees and Tuition Assurance Policy and Policy P14: Code of Academic Conduct).

Applications for special consideration must be made 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 provided below.

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

## Rules for exclusion

A candidate found to have breached the Code of Academic Conduct (refer Policy P14) or Policy P1: Academic Integrity may be excluded from the Graduate Certificate in Internal Auditing.

Alleged breaches of the Code of Academic Conduct are referred to the Conduct and Appeals Subcommittee. The specific penalty for any breach is determined after an investigation (refer Policy P4: Candidate Grievance).

## Leave of Absence

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Candidates that need to take a break from their study are advised to take a leave of absence which is available for up to one year (two semesters).

- Time taken as a leave of absence puts candidature on hold and therefore does not count toward the five years' available for candidates to complete the Graduate Certificate in Internal Auditing.
- Only one leave of absence for a maximum period of two semesters is allowed during a candidate's candidature.
- Applications for leave of absence are to be received prior to the start of semester. If tuition fees have been received, they will be held in credit for 12 months less a \$100 administration fee.
- Candidates will not have access to study resources while on a leave of absence. Candidates who are members of IIA-Australia will still be able to access technical resources from IIA-Australia and IIA Global.

Candidates may not apply for a leave of absence once a semester has commenced. Candidates should consult Policy P13 Fees and Tuition Assurance for information on deferrals and withdrawals. Candidates intending to apply for a leave of absence may request a Leave of Absence form from [education@iaa.org.au](mailto:education@iaa.org.au).

## Graduation policy

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### *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 or Registrar.
- 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 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.

## Responsibilities

### *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 Conduct and Appeals Sub-committee.

### *Education Manager*

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

### *Conduct and Appeals Sub-committee*

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

## Key contact

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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: [education@iia.org.au](mailto:education@iia.org.au)  
Website: [www.iia.org.au](http://www.iia.org.au)

Level 5  
580 George Street Sydney  
NSW 2000 Australia

## Legislative context

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- Commonwealth of Australia Tertiary Education Quality and Standards Agency Act 2011
- Higher Education Standards Framework (Threshold Standards) 2021
- Australian Qualifications Framework (AQF) Second Edition January 2013

## Associated documents

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- Policy P1: Academic Integrity
- 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](http://www.iia.org.au)

## Version:

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Version No	Date	Document Location	Name of Person	Comments
V1	April 2015		EC	Revised version
V2	29 Nov 2016		EC	Editing; updating of legislation and responsibilities
V3	January 2017		EC	Updating for HES Framework 2015
V4	December 2018		IIA-Australia	Update email address
V5	March 2019		EC	Rules around suspension added
V6	February 2020		EC	Leave of Absence
V7	October 2020		EC	Clarification of progression requirements for non-award candidates
V8	August 2021		Education Manager	Update to address Update to Threshold Stds

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