



2017

CERTIFICATION CANDIDATE HANDBOOK

 The Institute of
Internal Auditors | *Global*

 **CCSA** **CFSA** **CGAP** **CRMA**

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Introduction

Greetings, and welcome to The IIA Certification Candidate Handbook! You are to be congratulated for beginning your journey to earning an IIA certification — one of the most tangible ways you can demonstrate your professional internal audit knowledge and skills.

The IIA has streamlined the process of obtaining your certification to make it as convenient as possible. Take time to read this helpful guide carefully. It will walk you through the certification process from start to finish and provide you with helpful tips for addressing each step along the way. You will frequently see links to The IIA website so you can access more in-depth and up-to-date information about specific aspects of certification.

Let's begin!

This handbook provides certification information for the CIA, CCSA, CFSA, CGAP, and CRMA certification programs.

Information regarding QIAL, CPEA, and CPSA certifications is available through links located on page 9 of this document.



About The IIA

Internal auditors impact every aspect of an organization from finance and operations to marketing and human resources, acting as coaches, stakeholder advocates, risk managers, control experts, efficiency specialists, and problem-solving partners. The IIA has been the foundation for the internal audit profession and its practitioners for over 75 years and serves as the internal auditor's partner — providing guidance to tackle the complex issues internal auditors face on a daily basis.

Established in 1941, The Institute of Internal Auditors (IIA) is an international professional association with global headquarters in Lake Mary, Florida, USA. The IIA is the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator. Generally, members work in internal auditing, risk management, governance, internal control, information technology audit, health and safety, education, and security.

The IIA has more than 190,000 members worldwide who enjoy benefits including local, national, and global professional networking; world-class training; certification; standards and guidance; research; executive development; career opportunities; and resources, such as IIA Quality Services, LLC, make The Institute an indispensable partner.

Certifications are only as credible as the organization that offers them. With The IIA, you can feel assured that your certification is relevant and respected in the marketplace. Connecting with The IIA via one of its certifications is advantageous on its own, but do consider membership as well.

As a member, you receive members-only pricing for certification and so much more. Members are also eligible for discounted certification application and exam registration fees, study materials, seminars, and conference registrations. If you are considering IIA membership in addition to IIA certification, we recommend becoming a member first, as members-only pricing cannot be applied retroactively.

For more details about membership benefits and how to join The IIA, visit the [Membership](#) web pages. If you live outside North America (defined as the United States, Canada, the Caribbean, Bermuda, and Guyana), you must contact your local [Affiliate](#) to learn more about becoming a member.

There are over
177,000 IIA
certified
individuals in
over 160
countries
worldwide.



The IIA and Pearson VUE: Exam Partners

The IIA has partnered with Pearson VUE to administer its certification exams. Pearson VUE has test centers around the world, offering computer-based testing in a variety of languages. Its technology investments ensure leading-edge security and improved service for IIA certification candidates.

You will see as you progress through this handbook, some steps in the process of becoming certified (entering the program and being approved to take the exam, for example) are managed by The IIA and some (such as scheduling exams) are managed by Pearson VUE. Together, our two organizations combine to make your certification experience as convenient and trouble-free as possible.

The IIA's Certifications — Professionalism Defined

Why should you consider obtaining an IIA certification? While each individual has unique needs that a certification can address, there are some general reasons that apply to nearly everyone who pursues an IIA certification:

- It illustrates your commitment to your chosen profession.
- It demonstrates your mastery of your subject matter.
- It indicates your discipline and ability to see a project through to conclusion.
- It differentiates you in the marketplace.
- It shows your employer that you possess expertise that will contribute to the betterment of the organization.
- It positions you for advancement.
- It solidifies your connection to The IIA itself, the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator.

“My certifications have brought results through my career development with job and leadership opportunities. It is a crucial part of my professional development.”

*Ara Kurazyán,
CIA, CCSA, CFSA, CGAP,
CRMA
Senior Auditor, Deloitte*

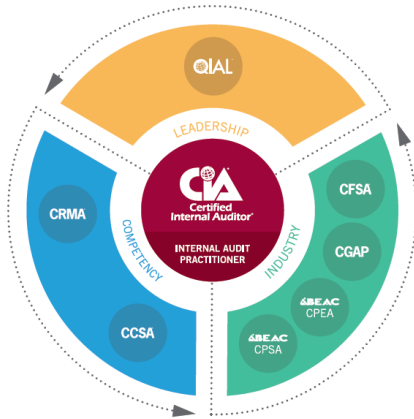


Choosing Your Certification Program

A good place to start when considering an IIA professional certification is determining which certification is right for you. No matter what stage your career is in, there is likely an IIA certification perfect for you, whether you are seeking to demonstrate your knowledge and expertise in the general field of internal auditing, or to validate your proficiency in a more specialized area. The IIA's [Certifications](#) webpage contains detailed information about all the certifications available, but here is a brief introduction:

- **Certified Internal Auditor® (CIA®)** — The IIA's premier certification for more than 40 years and the only globally recognized certification for internal auditors, the CIA demonstrates your readiness to tackle the distinct challenges auditors face and distinguishes you as a reliable and trusted source for objective, effective internal auditing.
- **Certification in Control Self-Assessment® (CCSA®)** — Make a statement to executives and colleagues about your knowledge of CSA fundamentals, processes, and related topics such as risk, controls, and business objectives.
- **Certified Financial Services Auditor® (CFSA®)** — Establish your credibility and demonstrate the measure of your knowledge of audit principles and practices within the banking, insurance, and financial services industries.
- **Certified Government Auditing Professional® (CGAP®)** — A certification designed especially for auditors working in all levels of the public sector, including governments and publicly controlled or publicly funded agencies and enterprises.
- **Certification in Risk Management Assurance® (CRMA®)** — A certification that enables audit practitioners and others interested in risk management assurance to demonstrate their abilities to provide risk assurance, governance processes, quality assurance, and control self-assessment.
- **Certified Process Safety Auditor® (CPSA®)** — A Board of Environmental Health & Safety Auditor Certifications (BEAC) credential that demonstrates understanding of important process safety elements and regulations.
- **Certified Professional Environmental Auditor® (CPEA®)** — A BEAC credential that allows environmental auditors to demonstrate proficiency in one of four specialty areas: Environmental Compliance, Health and Safety, Management Systems, and Responsible Care®.
- **Internal Audit Practitioner™** — A professional designation for new and rotational staff (who may not yet have committed to an internal audit career) to demonstrate their aptitude in internal audit basics.
- **Qualification in Internal Audit Leadership® (QIAL®)** — A qualification for aspiring, new, and experienced internal auditors to demonstrate innovation and leadership excellence.





Because of the diverse options and subject matter covered, there may be more than one certification to complement your career path. This illustration depicts the positioning of each certification within the internal audit environment.

The IIA created a [video](#) to help you determine which certification is right for you. Pursuing an IIA certification is a seven step process. You have up to four years from the time your eligibility into a program is approved to complete the program.

Affiliate Specific Policies (United Kingdom/Ireland and South Africa)

If you reside in the United Kingdom/Ireland, you must be a member of IIA–United Kingdom/Ireland to participate in the global certification programs.

If you reside in South Africa, you must be a member of the IIA–South Africa to participate in the global certification programs. Failure to maintain membership with South Africa will result in listing your certification as inactive with the South African Qualifications Authority.

If you reside outside of North America, please refer to your local IIA Affiliate for additional policies specific to your region. Find your local IIA Affiliate [here](#).



Requirements for the CIA, CCSA, CFSA, CGAP, and CRMA Certification Programs

Before you complete an application, familiarize yourself with the eligibility requirements for your selected program to ensure you qualify and agree to the program’s terms and conditions.

1. Education

Those WITH a university degree		Those WITHOUT a university degree
<p>In North America Bachelor’s Degree (or higher)</p>	<p>Outside North America 3 or 4 year post- secondary degree (or higher)</p>	<p>Candidates may now become eligible, subject to approval, who possess:</p> <ul style="list-style-type: none"> Two years’ post-secondary education and five years’ verified experience in internal audit or its equivalent <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> Seven years’ verified experience in internal auditor or its equivalent.

Note: Candidates who do not meet these education and experience requirements may be conditionally accepted into the program. Please refer to the [Certification-Education-Requirement-Exception-FAQ-and-Application.pdf](#) and complete and submit the required form.

Students and professors are eligible for a discount for the CIA program only. To learn more and obtain the Student-professor form, visit the [Pricing Structure](#) web page.

2. Character Reference

Candidates must exhibit high moral and professional character and must submit a [Character Reference Form](#) signed by an IIA certified individual or the candidate’s supervisor.

3. Proof of Identity

Candidates must provide proof of identification in the form of a copy of the candidate’s official passport, government-issued driver’s license, or national identity card. [Read the list of acceptable forms of identification](#) for more details.

Once the above requirements are fulfilled and documents are approved, you are able to register and schedule to sit for an exam.



Once approved into the certification program, individuals have four years from the date of approval to complete the program.

For EXIT out of the Program with CERTIFIED status:

Experience

24 months' of professional experience are required for most programs. A master's degree can substitute for 12 of the required 24 months. Visit The IIA's [certification webpages](#), select the program of your choice and click on eligibility requirements for additional information.

Examinations

Candidates must successfully complete all examinations, as well as education and experience requirements for the certification program before earning a certified status.

QIAL, CPEA, and CPSA Certifications

Candidate handbooks outlining program details and eligibility requirements for the QIAL[®], CPEA[®], and CPSA[®] certification programs are located online. Click on the desired program below to access the candidate handbook.

[QIAL Program](#) [CPEA Program](#) [CPSA Program](#)



Steps to Certification

Certification candidates can follow the seven easy steps to certification. Each step below provides guidance and links to assist you in navigating the process.

1	2	3	4	5	6	7
Create a profile in CCMS	Apply to the program	Submit documentation	Register for your exam	Schedule your exam	Prepare for your exam	Sit for your exam

Step 1: Create a Profile in CCMS

All certification candidates must have, or create, a profile in the [Certification Candidate Management System \(CCMS\)](#). There is no cost to do this. If you already have a profile in CCMS, you may skip this step.

To create your profile, access CCMS and complete the required information. When you have completed this step, you will be able to use CCMS for several phases of the certification process.

To learn more about CCMS, visit the [CCMS User Guide](#) to walk you through the steps to create a profile and submit an application. If you have any difficulties, contact Customer Relations at The IIA, +1-407-937-1111.

Step 2: Apply to the Program

With your CCMS profile complete, you may now apply to the program you have selected. This, too, is handled through CCMS, via the *Complete a Form* link. If some time has passed since you created your profile, verify your current information or use the [Update Personal Info](#) link to make appropriate changes before you submit your application. The CCMS guide, noted in the *Creating a Profile* section, will guide you through the application form.

Applications require payment within 90 days of submission, unless you have a promotion code or have participated in an application fee waiver promotion for your chosen designation. If you have a promotion code, include the code when prompted during the application process.

Otherwise, visit [this page](#) for current program pricing if you are in North America (defined as the United States, Canada, the Caribbean, Bermuda, and Guyana) or [this page](#) for those outside North America. Select Affiliates have their own certification programs. While on the page, scroll down to the sidebar, “Are You in One of These Locations?” to find out if your local Affiliate provides alternative certification pricing.



If you believe that the price provided to you via CCMS is incorrect, **do not submit your application form**. Instead, log an incident through CCMS and a certification administrator will contact you. The [CCMS User Guide](#) will show you how to save the work you have completed on your application form. *It is important to ensure the price is correct because once you accept the price provided and submit your form, no refunds or credits will be issued, in whole or in part.*

Payment can be made by credit card (recommended for faster service), check, or wire transfer. The latter two options may take several weeks to process. If you pay by check or wire transfer, you must include information about your selected form of payment during the application process and follow the on-screen instructions regarding submission of payment. This will serve as your invoice.

Direct any questions related to wire transfer payments to wirepayments@theia.org

*To receive the IIA member discount on your certification application and registration fees, your membership must be fully processed **before** you submit your application form.*

Check your membership status (through CCMS, on the home page) before you submit your application form, as membership processing times vary throughout the world. You may also check with your local Affiliate (or your audit group coordinator if your employer is an IIA audit group member) to verify the status of your membership.



Step 3: Submitting the Required Documentation

The third step is submitting the required documentation for the program. This may include, but is not limited to, government-issued photo identification, proof of education, character references, and experience verification documentation. This information verifies that you meet the eligibility requirements for the certification program you selected.

If appropriate documentation is not received within 90 days from the time of your application submission, you will forfeit any fees paid and your application will be denied.

The Experience Form may be submitted anytime within the four-year program window. Your certification will remain “pending” until the Experience Form and documentation is approved by an IIA certification specialist.

Candidates have four years from the date of approved application to complete an IIA program.

Documents must be submitted through the [Document Upload Portal](#) in [CCMS](#). Detailed instructions for uploading materials are located in the [CCMS User Guide](#).

Step 4: Registering for an Exam

You will receive notification from The IIA when you are approved to proceed with your chosen certification program and are eligible to register for your exam.

Log in to [CCMS](#) and click the *Complete a Form* link. Select the appropriate form for the exam of your choice. Be aware that registration forms cannot be removed once payment has been submitted, and fees paid through CCMS cannot be transferred from one registration form to another.

The registration pricing policies for the exams are similar to those related to applying for the program:

- If you believe the price shown is incorrect for any reason, **do not** submit your registration form. Instead, contact The IIA’s Customer Relations team at CustomerRelations@theiia.org.
- No refunds or credits will be made once you accept the price and submit your form.
- Paying with a credit card shortens processing time, but payment through check or wire transfer is available (view [Payment Options](#) here). Please note that registrations paid through CCMS with check or wire transfer may take several weeks to process.

Once your payment and all payment-related information is received and processed, your registration will be approved and you will receive an “authorization to test” email from The IIA. The email provides instructions on how and when to contact Pearson VUE to schedule your exam. You cannot schedule an IIA exam with Pearson VUE without first registering for the exam through CCMS and receiving authorization to test from The IIA.



Step 5: Scheduling an Exam

You may schedule your exam online or by phone as described below. Please wait 48 hours after you receive your “authorization to test” email before contacting Pearson VUE to schedule an exam. This will allow time for your authorization data to be uploaded to the Pearson VUE scheduling system. You are encouraged to schedule your first exam soon after the 48-hour waiting period, as many other certifying bodies offer their exams through Pearson VUE, so available spaces and dates fill up quickly. The earlier you schedule, the better your chances of reserving a date, time, and location that is convenient for you. However, The IIA recommends no more than 45 days prior to your desired date.

NOTE: You will receive an “authorization to test” email from The IIA. The exam eligibility window is open for 180 days, or until your program expiration date, whichever comes first. You are responsible for contacting Pearson VUE to schedule and sit for your exam during your exam eligibility window. Failure to meet the deadline will invalidate your registration, requiring forfeiture of any fees paid and having to re-register and remit payment again.

Special Accommodations

If you have a physical or medical condition that will require modification to the test administration conditions, immediately upon submitting your exam registration and prior to scheduling with Pearson VUE, please contact Gabriel Marquez in The IIA’s Global Certification Department at +1-407-937-1277 or Gabriel.Marquez@theiia.org, who will assist in making appropriate accommodations. Requests may take 30 days or more to arrange, depending on the nature of the accommodation needed.

Scheduling Online

The easiest way to schedule (or reschedule) an exam appointment is via the [Pearson VUE](#) website, which provides 24-hour scheduling access and quick, direct access to preferred dates and test center locations. Additionally, you will instantly receive a detailed confirmation of your appointment (on-screen and via email). The email address you use to register for your exam should match the email address in your CCMS profile.

Go to www.pearsonvue.com/iiia and follow the steps outlined. Keep in mind that if you are a first-time user, you will need to create a web account.

Please note that Pearson VUE test center schedules vary and may change often; however, most are open five or six days per week during normal business hours (based on local conditions) throughout the year. You will be presented with a calendar indicating available exam dates. Click on an available date to view the open time slots. You can schedule your exam at any time the Pearson VUE site is open and has exam stations available.



Scheduling by Phone

You may also schedule your exam over the phone through a Pearson VUE call center. Visit www.pearsonvue.com/ia to view the call center phone list. Do not call a specific test center location to schedule or cancel an exam; only call center representatives can assist with these issues. Many call centers have toll-free numbers for your convenience. Provide the call center representative with your IIA Candidate ID number and you will be guided through the scheduling process. Select your test center, and have your first, second, and third choices of dates and times in mind before you call. Walk-ins are not accepted without a previously scheduled exam appointment.

Test centers will not require any payment from you, with the exception of Armenia, where a local tax will be collected. Your examination fees will have been paid for by The IIA. If you are asked to submit any fees directly to the test center, contact Pearson VUE customer service at +1-952-681-3756.

Receiving Confirmation

After you schedule your exam, Pearson VUE will email you an appointment confirmation that includes information about the location of the test center you chose. Review the email immediately to confirm your information, including your first and last names and the date and time of your scheduled examination. **Print the confirmation notice and bring it with you to the test center when you arrive to take the exam.** The notice contains important information that will allow the test administrator to locate your record and permit you to take the exam. It may also be useful to bring the “authorization to test” email you received from The IIA, but it is not required.

If you do not receive an email from Pearson VUE stating that you are scheduled for an exam, contact a Pearson VUE call center immediately, because it may mean your appointment was not properly recorded.

What if the test center becomes unavailable on the day of your scheduled exam?

Pearson VUE will make every attempt to contact you if a test center has to close for any reason. However, if you are unsure whether your test center is open on the day of your scheduled exam, call the test center directly. If it is open, it is your responsibility to keep the appointment. If it is closed, you will be given the opportunity to reschedule without penalty or fee.

If you are unable to contact the local test center, go to www.pearsonvue.com/ia or contact the Pearson VUE call center nearest you.



Failure to Appear for Your Scheduled Exam

Once your exam appointment is confirmed, you are expected to be present on the date of the exam. If you do not appear for your exam at your scheduled location on your scheduled date and time, your registration will be voided and you will forfeit your exam registration fee. If you wish to sit for the exam at a later date but still during the testing eligibility window, you will be required to register and pay applicable fees again.

For information on fees associated with cancellations or reschedules, visit [the Pricing Structure page](#) of The IIA website

Changing an Appointment

You may cancel or reschedule your appointment as needed during your scheduling and testing eligibility window by contacting Pearson VUE through its website or call center. You will be charged a fee each time you reschedule or cancel. You may make changes up to 48 hours prior to your confirmed appointment. You will receive an email from Pearson VUE confirming your changes; if you do not receive the email, contact Pearson VUE immediately.

You can also extend your exam window with an [Exam Registration Extension](#). The extension — only one per exam window — allows an additional 60 days to sit for an exam if you have not already scheduled to sit for an exam or cancelled your initial appointment. The extension is available for all IIA professional certifications, with the exception of the QIAL.

Step 6: Prepare for the Exam

IIA certifications are self-study programs without a prescribed curriculum, therefore, you can choose your desired method of preparing for the exam. The IIA offers many study resources you may find helpful:

- Review manuals, study materials, and guidance publications offered through the [Internal Audit Foundation's Bookstore](#)
- Practice tests
- Practice questions
- IIA in-person, online, and on-demand, and on-site training
- Information on third-party review courses

Discover your study options available through [IIA Training](#). Within the Certification area of The IIA's website, exam syllabi are available for each certification offered. To help ensure your pre-exam study time is productive, it is a good idea to review the exam content covered by your chosen program so you can pursue appropriate, relevant study resources.



Step 7: Sit for the Exam

The big day has arrived to sit for your exam. Here is some information to help ensure a trouble-free experience.

In addition to preparing for the exam's content, you may also want to familiarize yourself with the basics of computer-based testing. You will find a tutorial on the topic [here](#). The tutorial is unavailable at the test center, so it is best to review it before your scheduled appointment time.

Arrive Early

Your exam email confirmation will list the location of your test center. Plan to arrive at the test center location at least 30 minutes prior to your scheduled appointment time. If you arrive less than 30 minutes before your appointment, you may be denied access and you will be considered a no-show. If you arrive after your scheduled appointment time, you will not be admitted to sit for the exam and will be considered a no-show. Classification as a no-show means your registration will be voided and you will forfeit your exam registration fee.

Present Acceptable Personal ID

To protect the integrity of the examination process, The IIA and Pearson VUE employ strict security and identification measures. You **must bring with you** at least one form of government/national photo identification that meets all the following requirements:

- Contains your name **exactly** as you provided it during the exam registration process (as it appears on your Pearson VUE exam appointment confirmation letter and in your CCMS profile).
- Has a permanently affixed photo of your face.
- Is current. Expired IDs will not be accepted.
- Is an original document. Photocopies will NOT be accepted.

Acceptable forms of ID are:

- Government-issued driver's license.
- Passport.
- Military ID.
- Alien Registration Card (green card, permanent resident visa).
- Government-issued local language ID (plastic card with photo and signature, accepted only if issued from the country the candidate is testing in).

Unacceptable forms of ID include:

- Employee ID or work badge.
- University/College ID.
- Insurance card.



Your identity will also be verified through comparison of your signature to the signature on your ID (if any).

If you do not present acceptable ID at the time you are scheduled to take your exam, you will not be permitted to take your exam and you will be considered a no-show even though you appeared at the test center.

To view all security and exam integrity measures in place, click [here](#).

Checking In

The Pearson VUE staff will guide you through the steps developed by The IIA, which are designed to ensure your security and the security of the exam itself. The following list is a high-level overview. Refer to the security information in this handbook for more details regarding security policies and procedures.

When you arrive at your test center, you can expect the following:

- The test center administrator will show you where to securely store your personal items (purses, wallets, watches, jewelry, cell phone, etc.). Space is limited, so do not bring anything to the test center that it is not absolutely necessary. No food or drink is allowed in the test room.
- The administrator will provide you with a copy of the candidate rules agreement. You must accept the terms of this agreement in order to take an exam at a Pearson VUE test center.
- You will be offered certain tools to use during your exam: an erasable note board and pen (on which you can take notes during the exam) and an on-screen calculator. You must return the note board and pen to the administrator before leaving the test center. You may request a hand-held calculator, which the test center will provide if one is available; you cannot bring your own personal calculator or similar device into the test room.
- You will be required to sign the test center log before being admitted to the test room.
- To learn more, view the "[What to Expect at Pearson VUE](#)" video.

Keep your identification with you at all times during the exam after the administrator checks you in. If you leave the test room for any reason, **you will be required to show your ID to be readmitted.**

*Before you begin your exam, you will be **required to accept the terms of The IIA's exam Nondisclosure Agreement (NDA)**.*

The agreement's purpose is to emphasize the confidential nature of the exam and the ramifications should any candidate share exam content.

If you do not accept the exam NDA, your exam will be terminated, your registration will be voided, and you will forfeit your exam registration fee.

*Refer to **Exam Security** beginning on page 23 for more details.*



Taking the Exam

Once you have completed the check-in procedures, the exam administrator will escort you to your workstation, where you must remain for the duration of the exam unless you are authorized to leave the room.

There are no scheduled breaks during the exam. You may take a break, if necessary, but the time taken for breaks counts toward your overall time allotment for the exam. If you leave the test room for any reason, you will be required to sign the test center log and show your identification upon exiting and reentering. You may also be required to provide a fingerprint or palm vein image.

Once you have been seated at your exam station, the administrator will log you in to your exam. You will be asked to confirm that the exam shown on the screen is the exam you are scheduled to take, and then you will begin the exam session. The session begins with a welcome screen and The IIA's nondisclosure agreement (NDA). These screens do not count toward your exam time. However, please be aware that there is a separate time limit on these initial screens, and if that time limit is exceeded, the exam session will begin automatically.

The computer screen has a built-in timer to let you know how much time remains as you work through your exam. Plan your time wisely so you will have enough time to complete all questions. One approach is to flag certain questions and return to them after you have viewed the last question in the exam. If you complete the last question on the exam before your time allotment expires, you may use the remaining time to review your flagged questions and any other questions. Flagging questions does not affect your exam score.

If you encounter a computer problem, report it immediately to the exam administrator and ask the proctor to log an incident. Please refrain from asking test center employees questions about the exam content or exam scores. They are unable to assist you. If you have any concerns, log an incident in your CCMS profile.

Playing by the rules:

Candidate conduct during exams is taken quite seriously by both The IIA and Pearson VUE. Test center employees are trained to watch for **unusual behavior and incidents** during exams, and their **real-time monitoring** is reinforced by audio and videotaping of the exam sessions.



After the Exam

Congratulations! You have completed the exam. Now what can you expect?

Receiving Your Score

First, it is useful to understand how scores are calculated. Each question that contributes to your final exam score is pretested to ensure statistical validity. There is no penalty for incorrect responses or guessing, so it is to your advantage to respond to every question on the exam.

If your score is delayed:

There are several reasons a score report may be delayed. The IIA continually **monitors exam results** to preserve the **security** of the exam and ensure the integrity of the certification process. If anomalies are discovered, the scoring process may be delayed during investigation. Additionally, certification procedures are regularly audited, which may also cause a slight delay.

Your raw score is calculated based on the number of questions you answer correctly and is converted to a reporting scale that ranges from 250 to 750 points. A score of 600 or higher is required to pass an IIA exam. Neither The IIA staff nor Pearson VUE's staff are able to discuss specifics related to individual exam questions or individual scores.

Your score becomes official once The IIA publishes it to CCMS. This process takes a few days, and you will be notified by a system-generated email when your official score is available. If you passed the exam, your score report will indicate only that; no numeric score will be reported. If you did not pass the exam, your score report will include two important data points: your numeric score and your performance on each major exam topic area or domain, so you know on which domain(s) you need further study.

Reporting Concerns

If you have questions, comments, or concerns regarding exam security, misconduct, or your test center, please visit The IIA's [Exam Security](#) webpage for details.

The IIA reserves the right to revoke score results after publication of the official score.

Retaking the Exam

If you **passed** an exam/exam part, you are not permitted to retake that exam/exam part again unless your certification program window expires prior to your completing all the requirements. In that situation, you must wait three years to retake a previously passed exam/exam part.

If you **failed your exam or exam part**, you must wait at least 90 days before you can retake the exam/exam part. You can re-register for the exam/exam part and schedule your new exam appointment as soon as your exam results are published to CCMS; however, the earliest appointment date that you will be able to select will be 90 days from the date you last took that exam. You must submit a new registration form with payment to retake a failed exam.



Remaining Eligible

You have four years from the time your program application is approved to complete the process. If you do not complete the program within that time frame, you will forfeit all fees you have paid and exam parts you have passed.

Extensions

Candidates who require an extension for reasons other than hardship are granted a one-time program window extension after completing and submitting the extension form through [CCMS](#) and paying the applicable fee. The one-year extension will be granted from the original program expiration date.

Candidates may also extend their exam eligibility window with an Exam Registration Extension. This extension allows an additional 60 days to take an exam when an exam part has not been previously scheduled or after an initial appointment is cancelled. The 60 day extension is available for all examinations and will not be granted beyond a candidate's program expiration date.

Visit the [Pricing Structure](#) page of The IIA website to view the cost of the extensions. If your program eligibility expires and you wish to reapply, you may not retake any previously passed exam part within three years of passing that part.

Hardship Extensions

A one-time extension of the program and exam eligibility window is permitted for candidates who may have extenuating circumstances. In this case, you should submit an incident through [CCMS](#), detailing the extenuating circumstances (e.g., illness, maternity and paternity, death in the family, civil unrest, natural disaster, and military service). The request will be reviewed and you will receive instructions on how to proceed. All requests require supporting documentation.

Receiving Certification

Once you meet all the requirements for a particular certification, you will receive notification (at your preferred email address in CCMS) that you are certified and you may begin displaying tangible evidence of your accomplishment.

A certificate is the most common way to announce your achievement. You can take care of several certificate-related tasks through [CCMS](#). Please note that prefixes, such as Mr., Dr., Miss, etc., and designation acronyms (including Ph.D.) are not printed on certificates.



- [Order your certificate](#) — Complete the certificate order form, selecting the appropriate certificate for your professional designation.
- [Purchase certificate reprints](#) — Complete the certificate reprint order form, selecting the appropriate certificate for your professional designation.
- [Change your name on a certificate that has already been issued](#) — Visit the “Custom Question Section” of your CCMS profile and update how your name should appear on a new certificate. Then complete the certificate order reprint form and remit any applicable fees.

If your name changed due to marriage, divorce, or other legal means, you may request a certificate reprint at no charge. Simply log an incident through your CCMS record, and an IIA staff member will contact you with details.

All certificates are shipped by standard postal service. Certificates shipped outside of the United States may take up to 16 weeks for delivery. Expedited shipping is available at an additional cost.

Social Media and Badging

Holders of IIA certifications can also tell their professional story on popular social and professional networking sites, personal websites, or in emails with web-enabled certifications. The IIA partners with Acclaim to represent your certification as electronic badges so you can manage your IIA certification portfolio online. Backed by Pearson VUE, the world’s largest education company, this new standard for communicating learning achievements provides:

- A way for individuals to verify your certification(s).
- A web-enabled version of your certification(s).
- A place to manage your electronic badge(s).
- An overview of the skills required for the certification(s).
- A secure means of storing and publishing your certification(s).

To learn more, visit The IIA’s [Social Badging](#) webpage.

Certificate Frames

The IIA’s has partnered with a high-quality certificate framing company that offers a variety of customized frames available for you to display your certificate(s). Visit The IIA’s [Certifications Merchandise](#) webpage for framing options offered exclusively to IIA-certified professionals.



Maintaining Your Certification

Certified individuals maintain certification by earning and reporting continuing professional education (CPE) credit hours by Dec. 31 annually. You will submit your CPE information directly through CCMS. Certified members outside North America may be required to report their CPE credit hours directly to their IIA Affiliate. Check with your local Affiliate for clarification and information.

Regardless of where you report, you are responsible for ensuring that the information you submit on an annual basis is accurate. You will receive email reminders of your reporting requirement 90, 60, and 30 days before the Dec. 31 reporting deadline. It is your responsibility to keep your CCMS profile up-to-date with current contact information to receive the reminders.

For complete and up-to-date information on the CPE requirements for each certification, associated fees, required documentation, and how to submit it, go to The IIA's [CPE Reporting](#) webpages, select your certification, and review the [Administrative Directive No. 4](#) document.

[Global CPE Opportunities](#) and North America [CPE Opportunities](#) are available for your convenience. If your certification status remains inactive for more than 12 months due to non-reporting, you may incur fees to reactivate your certification. Access the [Reporting Steps](#) webpage for complete details.

Being Audited

Each year, The IIA randomly samples a percentage of all certified individuals who report CPE hours to confirm conformance with the CPE reporting program rules. If you are selected for an audit, you will be required to submit the CPE certificates that provide evidence of the hours you reported. If you fail to participate, your certification status will become inactive.

If you fail to meet your CPE requirements by the reporting deadline, you will automatically be placed in "inactive-grace period" status and may not use your certification or social badge until the situation is rectified.



Exam Security

The IIA, the Professional Certifications Board, and Pearson VUE take exam security very seriously, because the value of your certification and our credibility depends on it. The IIA created an Exam Security Team to enhance processes and procedures, and increase investigative measures to protect The IIA's exam intellectual property (IP).



IIA exam content is confidential and everyone, including candidates, volunteers, members, certified individuals, and the public, has a role in ensuring that confidential exam information and IP remains just that — confidential. It is NEVER appropriate to share, discuss, post, or upload exam content. If you have become aware of such a violation, contact The IIA through the dedicated [Exam Security](#) webpage. The site provides a process for exam candidates and others to confidentially provide information should they notice unusual or inappropriate behavior at a test center related to IIA exam IP, or see an advertisement for the sale of IIA certification exam questions and answers. Copyright law also prohibits the resale of certification review materials.

Nondisclosure Agreement

Prior to beginning the exam, you will be required to confirm that you will abide by the Nondisclosure Agreement (NDA). If you are not able to abide by the agreement, you will not be permitted to sit for the exam and will forfeit your exam fee. The NDA agreement emphasizes The IIA's commitment to exam security and the exam candidate's role in protecting certification exam content.



What Happens if Exam Security Is Violated?

Unauthorized possession, reproduction, publication, or disclosure of any IIA examination materials, including storing or disclosing examination questions to any person or entity by any means before, during, or after the exam is prohibited by copyright laws and can result in program disqualification or other appropriate censure.

Sharing of IIA exam content and IP is **strictly prohibited** and can result in your exam results being void.

For guidance on what is acceptable (and unacceptable) behavior, this chart offers situations that exam candidates may be confronted with, along with the appropriate action to be taken.

Situation	Appropriate Action
My friend asks me how the exam went. Can I talk with her/him about it?	Discussions regarding how you felt about the exam experience is fine as long as exam content is not discussed. Specific exam questions should never be discussed.
An acquaintance stated that he could provide me with a URL where there is an IIA exam for me to study from. Should I take him up on his offer?	Studying from recalled exam content is improper and can lead to severe penalties. If you are aware that an IIA exam has been exposed, visit the Exam Security webpage to report the impropriety. Do not purchase such materials.
I want to bring water and food into the exam room. Can I?	There are no planned breaks during your exam, though you may take a break during which time the exam clock continues to run. If you need a special accommodation for food or water, supported by a doctor's note, contact Gabriel Marquez in The IIA's Global Certifications Department at +1-407-937-1277 or Gabriel.Marquez@theiia.org who will assist you in making accommodations for your situation. Requests may take 30 days or more to implement, depending on the nature of the accommodation, so please consider that in your eligibility window.
Can I use my phone in the exam room just to look at the time?	No. Watches and phones are NOT permitted in the test room. There will be a clock on your computer screen that displays the amount of time remaining to complete your exam.
What if I need to access something that I have stored?	Access to personal belongings is not permitted with the exception of medication and food as approved by the test administrator.



Exam Ethics, Misconduct, and Irregularities

The IIA has established a process for dealing with instances of possible certification candidate misconduct or irregularities on exams. Misconduct, irregularities, or breaches in The IIA's [Code of Ethics](#) during the exam process is a serious offense with serious consequences. Intent is not an element of a finding of misconduct, irregularity, or The IIA's Code of Ethics. This means that an "honest mistake" is not a defense to a charge of misconduct, irregularity, or breach of The IIA's Code of Ethics.

If you are a candidate for, or earn an IIA certification, you are expected to comply with The IIA's Code of Ethics, which exists to promote an ethical culture in the profession of internal auditing.

You are expected to provide accurate information on your application. For example, if the documentation you submit does not support the information you provided on your application, you may face review and censure by The IIA, which may result in your removal from the certification program and invalidation of an exam, or revocation of a certification or qualification.

You must respect the ownership and intellectual property rights of The IIA in all exam items and exam materials. Any misconduct, irregularities, or breaches in The IIA's Code of Ethics, including violation of intellectual property rights, could lead to invalidation of your score, a ban preventing you from future certification, prosecution in accordance with applicable law, or the pursuit of other remedies by The IIA.

The IIA's [Code of Ethics](#) includes two essential components:

- **Principles** that are relevant to the profession and practice of internal auditing.
- **Rules of Conduct** that describe behavior norms expected of internal auditors. These rules are an aid to interpreting the Principles and are intended to guide the ethical conduct of internal auditors.

Examples of ethics violations and misconduct include:

- Submission of false, inconsistent, or misleading statements or omission of information requested by The IIA.
- Submission of an altered or an inauthentic transcript.
- Submission of an application containing false, inconsistent, or misleading information.
- Attempting to take the exam for someone else or having someone else take the exam for you.
- Copying or sharing information, or any other form of cheating.
- Obtaining advanced access to certification or exam material.
- Theft of exam materials.
- Bringing prohibited items into the exam room.
- Failing to follow directions of test center staff.
- Violation of Pearson VUE scheduling or test center rules and regulations.
- Attempting any of the above.



The IIA reserves the right to invalidate or withhold any exam score when there is a good faith basis to question the validity of any score upon a discovery of irregularity. If The IIA discovers any violation or irregularity, on or after the exam day, The IIA may withhold or invalidate your exam score(s). Irregularities occur when an incident or pattern causes The IIA to question the validity of exam scores, including:

- Possible exposure (purposeful or accidental) to exam content.
- Unusual answer patterns.
- Unusual score changes.
- Inconsistent performance on different parts of your exam.

The IIA will investigate all instances of alleged misconduct, irregularities, or breaches in The IIA's Code of Ethics through the [Process for Disposition on Certification Violation for The IIA's Certification Candidates and Certification/Qualification Holders](#).

Agree to Terms of Use

Prior to starting the exam, you will be asked to read and accept the terms below. If you do not accept the terms, your exam will not be delivered and you will forfeit the exam fee. To prepare you for exam day, the terms are as follows:

Nondisclosure Agreement and General Terms of Use

I agree to comply with and be bound by The IIA's rules, including this nondisclosure agreement and general terms of use. I understand that The IIA's exam is confidential and secure, protected by civil and criminal laws of the United States and elsewhere. This exam is confidential and is protected by copyright law.

I have not accessed live questions that might appear on my exam. I agree not to discuss the content of the exam with anyone.

I will not record, copy, disclose, publish, or reproduce any exam questions or answers, in whole or in part, in any form or by any means before, during, or after I take an exam, including orally; in writing; in any internet chat room, message board, or forum; by SMS or text; or otherwise.

I have read, understand, and agree to the terms and conditions set forth in The IIA's Certification Candidate Handbook including fees, policies, and score invalidations for misconduct, irregularities, or breaches in The IIA's Code of Ethics.

I agree that The IIA has the right to withhold or invalidate any exam score when, in The IIA's judgement, there is a good faith basis to question the validity of a score for any reason.

I understand that if I do not agree to this nondisclosure agreement and these conditions, I will not be permitted to take the exam, and I will forfeit my exam fee.

The Principles in The IIA's Code of Ethics are integrity, objectivity, confidentiality, and competency. Click on the [Rules of Conduct](#) to learn more about The IIA's Code of Ethics.



Helpful Links

Before Application

The IIA	https://global.theiia.org/Pages/globaliiaHome.aspx
IIA Membership	https://join.theiia.org/Pages/default.aspx
IIA Certifications	https://na.theiia.org/certification/Pages/Certification.aspx https://global.theiia.org/certification/Pages/Certification.aspx

During the Certification Process

CCMS	https://www.theiia.org/ccms
Code of Ethics	https://global.theiia.org/standards-guidance/mandatory-guidance/Pages/Code-of-Ethics.aspx
Document Upload Portal	https://global.theiia.org/certification/new/Pages/Certification-Document-Upload.aspx
Exam Language Offerings	https://global.theiia.org/certification/Pages/Exam-Language-Offerings.aspx
Exam Security	www.theiia.org/examsecurityGL
Exam Tutorials	https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx
Payment Options	https://global.theiia.org/about/about-the-iiia/Pages/Payment-Options.aspx
Pearson VUE	www.pearsonvue.com/iiia
Photo ID Policy	https://www.theiia.org/exam-id
Practice Tests – Available in select languages for the CIA only	https://global.theiia.org/certification/CIA-Certification/Pages/Certified-Internal-Auditor-CIA-Practice-Exams.aspx



Pricing Structure (North America)

<https://na.theiia.org/certification/Pages/Pricing-Structure.aspx>

Pricing Structure (outside North America)

<https://global.theiia.org/certification/Pages/Pricing-Structure.aspx>

Study Resources

<https://global.theiia.org/certification/enrolled/Pages/Exam-Preparation-Resources.aspx>

What to Expect at a Pearson VUE Test Center

<https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx>

After Certification

Administrative Directive Number 4

<https://global.theiia.org/certification/Public%20Documents/Administrative-Directive-No-4.pdf>

Certification Frames

<https://global.theiia.org/certification/Pages/Certifications-Merchandise.aspx>

CPE Reporting

<https://global.theiia.org/certification/certified/Pages/CPE-Requirements.aspx>

Social Media and Badging

<https://global.theiia.org/certification/Pages/Certifications-Social-Media-and-Badging.aspx>





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