



CERTIFICATION CANDIDATE HANDBOOK

Effective June 2018

NOTICE:

CCSA, CFSA, CGAP

PROGRAMS ARE CHANGING

SEE WWW.THEIIA.ORG/CERTTRANSITION



The Institute of
Internal Auditors

Global



CCSA CFSA CGAP CRMA

Table of Contents

1. Introduction.....	3
2. The IIA's Certifications: Overview and Pricing.....	4
2.1 Certified Internal Auditor® (CIA®)	4
2.2 Certification in Control Self-Assessment® (CCSA®)	5
2.3 Certified Financial Services Auditor® (CFSA®)	5
2.4 Certified Government Auditing Professional® (CGAP®).....	6
2.5 Certification in Risk Management® (CRMA®)	6
3. Eligibility Requirements.....	7
3.1 Prior to the Examination(s)	7
3.2 Examinations.....	8
3.3 Experience	8
4. Program and Exam Eligibility Extensions	9
4.1 Hardship Extensions.....	9
4.2 Nonhardship Program Extensions	10
4.3 Exam Eligibility Extensions	10
5. Six Steps to Certification	10
5.1 Step 1: Create a Profile in the Certification Candidate Management System (CCMS)	10
5.2 Step 2: Apply to the Program	11
5.3 Step 3: Upload Required Documents	11
5.4 Step 4: Register for an Exam	12
5.5 Step 5: Schedule an Exam.....	14
5.6 Step 6: Sit for the Exam	16
6. After the Exam	18
6.1 Receiving Your Score.....	18
6.2 Retaking the Exam	18
6.3 Becoming Certified	19
6.4 Receiving and Displaying Your Certification	19
6.5 Maintaining Your Certification	20
6.6 Being Audited.....	20
7. Exam Security.....	20
7.1 Ethics Violations and Misconduct	21
7.2 Reporting Violations	21
7.3 Consequences of Violations	21
Appendix A: Helpful Links	23
Appendix B: Nondisclosure Agreement and General Terms of Use	25



1. Introduction

Congratulations on beginning your journey toward earning a certification from The Institute of Internal Auditors (IIA) — one of the most tangible ways you can demonstrate your professional internal audit knowledge and skills.

This handbook provides certification information for the CIA®, CCSA®, CFSA®, CGAP®, and CRMA® certification programs. Take time to read this guide carefully. It will walk you through the certification process from start to finish and provide you with helpful tips for each step along the way.

For program details and eligibility requirements pertaining to the QIAL®, CPEA®, and CPSA® certification and qualification programs, visit the following webpages:

[QIAL Program](#)

[CPEA Program](#)

[CPSA Program](#)

Steps to certification:

Step 1 - Create a profile

Step 2 - Apply to the program

Step 3 - Upload documents

Step 4 - Register for the exam

Step 5 - Schedule an exam

Step 6 - Sit for the exam

**See Page 10 for details.*



2. The IIA's Certifications: Overview and Pricing

The IIA offers several global certifications that cover a variety of internal audit specialties, including public sector, financial services, risk management, and others. Information and pricing for the CIA, CCSA, CFSA, CGAP, and CRMA programs is provided on the following pages.



Alert: Certification processes, pricing, and taxes may vary in countries where exams are administered through agreements with IIA affiliates. If you reside in South Africa, you must be a member of the IIA–South Africa to participate in the global certification programs. Likewise, 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 are in one of the following countries, please refer to your local IIA Institute website ([click to find your local affiliate](#)) or contact your local representative for more information about certification processes and to verify pricing.

- Belgium
- Chinese Taiwan
- Indonesia
- Malaysia
- Brazil
- Czech Republic
- Japan
- Switzerland
- China
- Korea
- Thailand

2.1 Certified Internal Auditor® (CIA®)

The CIA is the premier certification for internal auditors and the designation that The IIA recommends every internal auditor pursue and possess. Not only does the CIA demonstrate your credibility as an internal audit professional, but it gives you a competitive edge over your peers.



The CIA is a three-part exam that covers the knowledge, skills, and abilities that today's internal auditors require. For details regarding the topic areas covered on the three parts of the CIA exam, please refer to the [exam syllabus](#).

The CIA exam is currently offered in the following languages: Arabic, Chinese Simplified, Chinese Traditional, Czech, English, French, German, Hebrew, Indonesian, Italian, Japanese, Korean, Polish, Portuguese, Russian, Spanish, Thai, and Turkish.

CIA Pricing*

	Member	Nonmember	Student/Professor**
CIA Program Application Fee	US \$115	US \$230	US \$65
CIA Part 1 Exam Fee	US \$280	US \$395	US \$230
CIA Part 2 Exam Fee	US \$230	US \$345	US \$180
CIA Part 3 Exam Fee	US \$230	US \$345	US \$180

*This pricing is applicable in the United States, Canada, and many other countries. Contact your local affiliate to verify the pricing structure and applicable taxes. All fees are nonrefundable.



**Students and professors are eligible for special pricing for the CIA program. [Click here](#) to learn more.

2.2 Certification in Control Self-Assessment® (CCSA®)

The CCSA exam covers control self-assessment fundamentals, processes, and related topics such as risk, controls, and business objectives. For details regarding the topic areas covered on the CCSA exam, please refer to the [exam syllabus](#).



The CCSA exam is currently offered in the following languages: English, Italian, Japanese, Portuguese, Spanish, and Turkish.

CCSA Pricing*

	Member	Nonmember
CCSA Program Application Fee	US \$115	US \$230
CCSA Exam Fee	US \$380	US \$495

*This pricing is applicable in the United States, Canada, and many other countries. Please contact your local affiliate to verify the pricing structure and applicable taxes. All fees are nonrefundable.

2.3 Certified Financial Services Auditor® (CFSA®)

The CFSA is a specialty certification for internal auditors working in banking institutions, insurance companies, holding and investment companies, and other financial services organizations. Eighty percent of the exam covers four domains: (1) Financial Services Auditing, (2) Auditing Financial Services Products, (3) Auditing Financial Service Processes, and (4) The Regulatory Environment. The remaining 20 percent relates to the candidates' chosen discipline: Banking, Insurance, or Securities. For details regarding the topic areas covered on the CFSA exam, please refer to the [exam syllabus](#).



The CFSA exam is currently offered in the following languages: English, Italian, Japanese, Spanish, and Turkish. The exam is also offered in Portuguese for Banking only.

CFSA Pricing*

	Member	Nonmember
CFSA Program Application Fee	US \$115	US \$230
CFSA Exam Fee	US \$380	US \$495

*This pricing is applicable in the United States, Canada, and many other countries. Contact your local affiliate to verify the pricing structure and applicable taxes. All fees are nonrefundable.



2.4 Certified Government Auditing Professional® (CGAP®)

The CGAP is a specialty certification for internal auditors working in the public sector at all levels — federal/national, state/provincial, local, quasi-governmental, or crown authority. The exam covers relevant standards, frameworks, auditing skills and techniques, and the government auditing environment. For details regarding the topic areas covered on the CGAP exam, please refer to the [exam syllabus](#).



The CGAP exam is currently offered in the following languages: Chinese Traditional, English, Estonian, Polish, Spanish, and Turkish.

CGAP Pricing*

	Member	Nonmember
CGAP Program Application Fee	US \$115	US \$230
CGAP Exam Fee	US \$380	US \$495

*This pricing is applicable in the United States, Canada, and many other countries. Please contact your local affiliate to verify the pricing structure and applicable taxes. All fees are nonrefundable.

2.5 Certification in Risk Management® (CRMA®)

The CRMA program includes two exams: Part 1 of the CIA exam and a separate CRMA exam, which covers governance, principles of risk management assurance, and assurance and consulting roles for internal auditors. For details regarding the topic areas covered on the CRMA exam, please refer to the [exam syllabus](#).



The CRMA exam is currently offered in English only.

CRMA Pricing*

	Member	Nonmember
CRMA Program Application Fee	US \$115	US \$230
CIA Part 1 Exam Fee	US \$280	US \$395
CRMA Exam Fee	US \$380	US \$495

*This pricing is applicable in the United States, Canada, and many other countries. Please contact your local affiliate to verify the pricing structure and applicable taxes. All fees are nonrefundable.

3. Eligibility Requirements

To obtain and maintain an IIA certification, you must meet all program requirements: meet eligibility requirements, maintain exam confidentiality, adhere to The IIA's Code of Ethics, obtain the required continuing professional education (CPE), and meet all other conditions of the program enacted by The IIA's Professional Certification Board (PCB). Proof of identification (ID) is also required (see page 12 for a list of acceptable forms of ID).

Familiarize yourself with the eligibility requirements for your selected program to ensure you qualify and agree to the program's terms and conditions. Eligibility requirements cover the following four areas:

- Education.
- Ethics.
- Examinations.
- Experience.

3.1 Prior to the Examination(s)

You must meet the education and ethics requirements for your selected certification program before you can sit for an exam.

3.1.1 Education

Generally, post-secondary education is required for The IIA's certification programs. However, if you do not meet the minimum education requirements, The IIA offers an alternate pathway for experienced internal auditors to become eligible for certification programs. Please refer to the table below.

<u>WITH</u> post-secondary education		<u>WITHOUT</u> post-secondary education
In North America Bachelor's degree (or higher) Associate degree	Outside North America Three- or four-year post-secondary degree (or higher) A-Level certificate or equivalent	Candidates who possess seven years of verified experience in internal auditing (or its equivalent) may become eligible, subject to approval. Complete the Certification Education Requirement Exception form and upload it to the Certification Document Upload Portal . (Submit the document type as "Educational.")

3.1.2 Ethics

To obtain an IIA certification, you must exhibit high moral and professional character and agree to abide by The IIA's Code of Ethics. A [Character Reference Form](#), signed by an IIA-certified individual, your supervisor, or your professor, is required.



3.2 Examinations

You must successfully complete all examinations for your certification program before earning a certified status.

3.3 Experience

Although work experience is required to become certified, you may apply to the certification program and sit for exams prior to obtaining the requisite work experience. However, you will not be certified until all program requirements have been met. Additionally, you must meet the experience requirement within the program eligibility period of four years in order to receive your certification. Work experience for The IIA's certification programs is based on the maximum level of education achieved, as indicated in the charts below.

CIA Experience Requirement

Educational Level	Work Experience Required
Master's degree or equivalent	12 months internal auditing experience or its equivalent
Bachelor's degree or equivalent	24 months internal auditing experience or its equivalent
Associate degree, A-Level certificate, or equivalent	60 months internal auditing experience or its equivalent

CCSA Experience Requirement

Educational Level	Work Experience Required
Master's degree or equivalent	12 months CSA, quality assurance, risk management, or environmental auditing
Bachelor's degree or equivalent	12 months CSA, quality assurance, risk management, or environmental auditing
Associate degree, A-Level certificate, or equivalent	60 months CSA, quality assurance, risk management, or environmental auditing

Prior to becoming certified, CCSA candidates must also obtain at least seven hours of acceptable facilitation experience or at least 14 hours of acceptable facilitation training. To be considered acceptable, facilitation experience or training must meet the guidelines listed on the [Facilitation Validation Form](#).

CFSA Experience Requirement

Educational Level	Work Experience Required
Master's degree or equivalent	12 months auditing in a financial services environment
Bachelor's degree or equivalent	24 months auditing in a financial services environment
Associate degree, A-Level certificate, or equivalent	60 months auditing in a financial services environment



CGAP Experience Requirement

Educational Level	Work Experience Required
Master's degree or equivalent	12 months government environment (federal, state/provincial, local, quasi-governmental areas, authority/crown corporation) auditing experience
Bachelor's degree or equivalent	24 months government environment (federal, state/provincial, local, quasi-governmental areas, authority/crown corporation) auditing experience
Associate degree, A-Level certificate, or equivalent	60 months government environment (federal, state/provincial, local, quasi-governmental areas, authority/crown corporation) auditing experience

CRMA Experience Requirement

Educational Level	Work Experience Required
Master's degree or equivalent	12 months auditing experience or controls-related business experience such as risk management, quality assurance, or CSA
Bachelor's degree or equivalent	24 months auditing experience or controls-related business experience such as risk management, quality assurance, or CSA
Associate degree, A-Level Certificate, or equivalent	60 months auditing experience or controls-related business experience such as risk management, quality assurance, or CSA

4. Program and Exam Eligibility Extensions

Once accepted into the certification program of your choice, you have **four years** in which to meet all eligibility requirements and complete the program, unless you request an extension. If your program eligibility expires before you have completed all the necessary exams to receive your certification, you may reapply for your program; however, you will have to retake any exams you passed in your previous eligibility window. Note, you must also wait at least 90 days from your previous exam date before you can retake a previously passed exam or exam part.

4.1 Hardship Extensions

A one-time extension of the certification 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, or military service). The request will be reviewed and you will receive instructions on how to proceed. All requests require supporting documentation.



4.2 Nonhardship Program Extensions

If you require a program extension for reasons other than hardship, you may be granted a one-time, one-year extension after completing and submitting the Program Extension form through [CCMS](#) and paying the applicable fee (see the chart below for exam cancellation and extension fees). The 12-month extension will be granted from the original program expiration date.

Program and Exam Extension Fees

	Member	Nonmember
Certification program extension (12 months)	US \$275	US \$275
Exam eligibility window extension (60 days)	US \$100	US \$100

4.3 Exam Eligibility Extensions

When you register for an exam, you have 180 days to sit for the exam. This 180-day period is known as the exam eligibility window. If needed, you may request a one-time extension to your exam eligibility window by submitting an Exam Registration Extension form through [CCMS](#) and paying the applicable fee (see the chart above). The extension allows an additional 60 days (or until your program expiration date, whichever comes first) to sit for the exam. The exam eligibility extension will not be granted beyond your program expiration date.

5. Six Steps to Certification

Once you've selected the certification program that's right for you, follow these six steps to certification:

Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
Create a profile in CCMS	Apply to the program	Upload required documents	Register for the exam(s)	Schedule the exam(s)	Sit for the exam(s)



Alert: After you've completed Step 3 and have been approved into the certification program of your choice, you will have four years to complete the remaining steps of the certification process.

5.1 Step 1: Create a Profile in the Certification Candidate Management System (CCMS)

All certification candidates must have, or create, a profile in CCMS. There is no cost to do this. If you already have a profile in CCMS, you may skip this step, but if some time has passed since you created your profile, you should verify your current information.

To create your profile, [access CCMS](#), click "First Time Users," 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. You can learn more about CCMS with the [CCMS User Guide](#). If you have any difficulties, contact Customer Relations at CustomerRelations@theiia.org or +1-407-937-1111.



5.2 Step 2: Apply to the Program

With your CCMS profile complete, you may now apply to the certification program you have selected by clicking on the “Complete a Form” link.

5.2.1 IIA Member Discount

By joining The IIA, you can save up to US \$115 on certification fees and receive additional membership benefits like free CPE reporting, depending on the certification program you select and your location. 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, and note that membership processing times may 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. It is important to ensure the price is correct because once you submit your form, no refunds or credits will be issued, in whole or in part.



Alert: 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.

5.2.2 Payment Options

Payment can be made by credit card (recommended for faster service), check, or wire transfer. Check and wire transfer 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 payment submission. This will serve as your invoice.

5.3 Step 3: Upload Required Documents

In order for The IIA to verify that you meet the eligibility requirements for the certification program you selected, you must provide the following documentation:

- Proof of identity.
- Proof of education.
- Proof of character (Character Reference Form).
- Proof of experience (Experience Verification Form).

Documents submitted in languages other than English must be accompanied by an English translation. Documents must be submitted through the [Document Upload Portal](#). Detailed instructions for uploading materials are located in the [CCMS User Guide](#).



Alert: Proof of identity, education, and character must be received within 90 days from the date of your application, or your application will be denied and you will forfeit any fees paid. Proof of experience must be submitted before your four-year program eligibility window expires.

5.3.1 Proof of Identity

The following chart lists the acceptable and unacceptable forms of identification:

Acceptable Forms of ID	Unacceptable Forms of ID
Government-issued driver's license	Employee ID or work badge
Passport	University or college ID
Military ID	Insurance card
Alien Registration Card (green card, permanent resident visa, etc.)	Photo ID without name
Government-issued local language ID (plastic card with photo and signature, accepted only if issued from the country in which the candidate is testing)	Expired photo ID

5.3.2 Proof of Education

The following documents may serve as proof of education:

- A copy of your degree or official transcripts. (Please note: if your name has changed since you earned your degree, you must also include your legal name change document.)
- A letter from your college or university confirming your degree.
- A letter from Educational Records Evaluation Service confirming your degree level.

If you are a student in your final year of college, you may be provisionally approved into the certification program of your choice if you provide evidence (e.g., transcripts) of your education status. However, your certification will not be awarded until your education requirement is completed and supporting documentation (e.g., a copy of your diploma) is submitted.

5.3.3 Proof of Character

The basis for your proof of character is [The IIA's Code of Ethics](#). Please read the Code of Ethics, then complete and sign the [Character Reference Form](#). This form must also be signed by an individual with an IIA certification, your supervisor, or your professor prior to submission.

5.3.4 Proof of Experience

The [Experience Verification Form](#) must be submitted to complete your certification program requirements. Your certification will not be granted until proof of your experience is approved by The IIA.

5.4 Step 4: Register for an Exam

You will receive an electronic notification from The IIA when you are approved to proceed with your chosen certification program. Once approved, you will be eligible to register for your exam.





Alert: The IIA highly recommends that candidates study for exams and ensure that they are adequately prepared *prior* to registering for an exam. Once you have registered, you will have 180 days to complete steps 5 and 6.

To register for an exam, log into [CCMS](#) and click the “Complete a Form” link. Then, select the appropriate registration form for the exam of your choice. Once payment is complete, your exam eligibility window is 180 days or until your program expiration date, whichever comes first. (Exams cannot be taken after a program expires.) You must schedule and take your certification exam within the eligibility window.

5.4.1 Exam Registration Payment

The IIA’s exam registration payment policies are similar to those related to certification program application in that:

- 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 or +1-407-937-1111.
- No exam fee refunds or credits will be made once you accept the price and submit your form; registration forms cannot be removed once payment has been submitted.
- Fees paid through CCMS cannot be transferred from one registration form to another.
- Paying with a credit card shortens processing time, but payment through check or wire transfer is available.
- Registrations paid through CCMS with check or wire transfer may take several weeks to process.

Once your payment is received and processed, your registration will be approved and you will receive an “authorization to test” email from The IIA with instructions on how and when to schedule your exam through Pearson VUE, a third-party vendor that provides exam services for The IIA. (See “The IIA and Pearson VUE,” right, to learn how the two organizations work together to make your certification experience as convenient as possible.)

The IIA and Pearson VUE

The IIA has contracted 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.

As you progress through this handbook, you will notice that some steps in the certification process (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.

5.4.2 Special Needs

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 The IIA's Global Certification Department at certaccommodations@theiia.org or +1-407-937-1277 to assist you in making appropriate accommodations. Requests may take 30 days or more to arrange, depending on the nature of the accommodation needed.

5.5 Step 5: Schedule an Exam

You are responsible for contacting Pearson VUE to schedule and sit for your exam during your eligibility window, and you may schedule your exam online or by phone. (Instructions for scheduling online and by phone are provided below.) Please wait 48 hours after you receive your "authorization to test" email from The IIA before contacting Pearson VUE to schedule an exam.



Alert: You cannot schedule an IIA exam with Pearson VUE without first registering for the exam through CCMS and receiving an "authorization to test" email from The IIA.

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 are encouraged to schedule your exam soon after the 48-hour waiting period. The earlier you schedule, the better your chances of reserving a date, time, and location that is convenient for you. Walk-ins are not accepted; you must have a scheduled appointment to sit for an exam.

It is important to remember that your exam eligibility window is open for 180 days, or until your program expiration date, whichever comes first. Failure to meet the deadline will invalidate your registration, requiring forfeiture of any fees paid and having to reregister and remit payment again.

5.5.1 Scheduling Online

The easiest way to schedule (or reschedule) an exam appointment is via the [Pearson VUE website](#), which provides 24-hour scheduling access. If you are a first-time user, you will need to create a Pearson VUE web account. The email address you use to register for your exam should match the email address in your CCMS profile.

5.5.2 Scheduling by Phone

Alternatively, you may schedule your exam by calling Pearson VUE customer service.

- Visit [Pearson VUE's customer service webpage](#) to find the appropriate customer service center phone number for your location. Many customer service centers have toll-free numbers for your convenience.
- Find a list of test center locations on the [Pearson VUE website](#), and select your preferred location before you call.



- Have your first, second, and third choices of dates and times in mind before you call.
- Provide the Pearson VUE customer service center representative with your IIA candidate ID number, and you will be guided through the scheduling process.



Alert: Do not call a specific test center to schedule or cancel an exam. Only Pearson VUE customer service representatives can assist with these issues.

Test centers will not require any payment from you (with the exception of countries where a local tax must be collected). If you are asked to submit any fees directly to the test center, contact Pearson VUE customer service at www.pearsonvue.com/iiia/contact or +1-952-681-3756.

5.5.3 Receiving Confirmation

After you schedule your exam, Pearson VUE will email you an appointment confirmation that includes information about the test center location you selected. Review the email immediately to confirm your information, including your first and last name and the date and time of your scheduled exam. Though not required, The IIA highly recommends that you print the confirmation notice and bring it with you to the test center on the day of your exam. The notice contains important information that will allow the test administrator to locate your record and permit you to take the exam.

If you do not receive an email from Pearson VUE stating that you are scheduled for an exam, contact [Pearson VUE customer service](#) immediately, as this may indicate that your appointment was not properly recorded.

5.5.4 Failure to Appear for Your Scheduled Exam

Once your exam appointment is confirmed, you are expected to be present with appropriate ID 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, a “No-Show” status will be earned, and you will forfeit your exam registration fee. If a “No-Show” status is issued, you will need to submit a new exam registration form with payment to schedule another test date.

Unexpected Closure of Your Test Center Location

If the test center location that you selected closes or otherwise becomes unavailable on the day of your scheduled exam, Pearson VUE will contact you. However, if you are unsure whether your test center is open on the day of your scheduled exam due to inclement weather or other unexpected local issues, 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, contact [Pearson VUE customer service](#).

5.5.5 Changing an Exam Appointment

You may cancel or reschedule your exam appointment as needed during your scheduling and exam eligibility window by contacting Pearson VUE. You may make changes up to 48 hours prior to your confirmed appointment. However, you will be charged a US \$75 fee (payable directly to Pearson VUE) each time you reschedule or cancel. You will receive an email from Pearson VUE confirming your changes. If you do not receive the email, contact Pearson VUE immediately to ensure that your appointment was properly recorded.

5.6 Step 6: Sit for the Exam

The IIA highly recommends that you familiarize yourself with the basics of computer-based testing (CBT) before your exam day arrives. Visit [The IIA's website](http://www.theiia.org) for a tutorial on CBT. This tutorial is not available at the test center.

5.6.1 Arrival

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

You are required to present a government-issued photo ID containing your name exactly as you provided during the exam registration process. Refer to the table on Page 12 of this handbook for a list of acceptable forms of ID.



Alert: 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.

5.6.2 Checking In

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.). No personal items are permitted in the testing room.
- No food or drink is allowed in the test room.
- The administrator will provide you with a copy of Pearson VUE's candidate rules agreement. The agreement includes provisions such as having your palm scanned, your glasses inspected, and other terms required by Pearson VUE to protect the integrity of the exam. You must accept the terms of this agreement in order to take an exam at a Pearson VUE test center.
- The only item that you may bring to the testing room is a nonelectronic language translation dictionary. This dictionary may not contain definitions of terms, only direct translations of words. Nothing can be written or highlighted in the book, and there

cannot be notes or documents inserted into the book. If you have brought a translation dictionary, the administrator will check it to be certain that it is acceptable and does not contain any markings or inserted material. The administrator may disallow any dictionary that does not seem to meet these criteria.

- 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.

For more information about the test center experience, visit [The IIA's website](http://www.theiia.org) and scroll down to view the "What to Expect at Pearson VUE" video.

5.6.3 Before Starting 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 your time at Pearson VUE, unless you are authorized to leave the room. Once you have been seated at your exam station, the administrator will log you into your exam. You will be asked to confirm that the exam shown on the screen is the exam you are scheduled to take.

The session begins with a welcome screen, and you will be asked to agree to The IIA's Nondisclosure Agreement (NDA) and General Terms of Use before the exam starts. (See Appendix B to read the NDA and General Terms of Use in advance.) If you do not agree to the NDA, you will not be permitted to take the exam, and you will forfeit your exam fee.

These initial 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.

5.6.4 Taking the Exam

Your computer screen has a built-in timer to let you know how much time remains as you progress through your exam. Plan your time wisely so you will have enough time to complete all questions. There is no penalty for incorrect responses.

Please be aware that 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 ID upon exiting and re-entering. You may also be required to provide a fingerprint or palm vein image.

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 with these matters. If you have any concerns regarding your exam experience, log an incident in your CCMS profile.

Candidate conduct during exams is taken 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 video recording of the exam sessions. More information about exam security and ethical conduct is provided in the following section of this handbook.

6. After the Exam

After you've completed the exam or the time limit has expired, you will be notified on your screen that the exam is over. At that point, you will turn over any materials (note board, dry erase marker, etc.) to the exam administrator and you may collect your personal items and leave the test center.

6.1 Receiving Your Score

Each exam question that contributes to your score has been pretested to ensure statistical validity. Your raw score is calculated based on the number of questions answered correctly and is converted to a reporting scale ranging from 250 to 750 points. A score of 600 or higher is required to pass an IIA exam; however, if you passed the exam, your score report will indicate just that — no numeric score will be reported.

Your score becomes official once The IIA publishes it to CCMS, and you will be notified by email when your official score is available. This is typically within 24 to 48 hours after you complete your exam. However, if The IIA determines that your exam results require further analysis, there may be a delay in receiving your official score, and you will be notified. The analysis may take up to 45 days to complete. Additionally, an officially published score may be invalidated for misconduct, score anomalies, or breaches of The IIA's Code of Ethics.

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.

6.2 Retaking the Exam

If you failed your exam or exam part, you must wait at least 90 days before you can retake the exam. You can re-register for the exam and schedule your new exam appointment as soon as your exam results are published to CCMS (provided your four-year program eligibility window is still open or you request an extension). However, the earliest appointment date that you will be able to schedule 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. If you do not complete your certification program within the four-year program eligibility window, you will forfeit all fees paid and exam parts passed.



If you need to retake an exam or exam part that you previously passed (because your certification program eligibility expired) the earliest exam appointment date that you can select will be 90 days from the date you last took that exam. You are not permitted to retake an exam you previously passed unless your certification program window has expired.

6.3 Becoming Certified

Once you pass the required exam(s), you must submit your completed [Experience Verification Form](#) (if you haven't already done so) to become certified. When you have met all program requirements for a particular certification, you will receive notification (at your preferred email address in your CCMS profile) that you are certified and you may begin displaying tangible evidence of your accomplishment.

6.4 Receiving and Displaying Your Certification

Log into [CCMS](#) to order your certificate, purchase a reprint, or address a name-change issue. Please note that prefixes (such as Mr., Dr., Miss, etc.) and designation acronyms (including Ph.D.) are not printed on certificates.

- To order your certification certificate, complete the certificate order form for your chosen certification.
- To purchase certification reprints, complete the certificate reprint order form, selecting the appropriate certification.
- If your name has changed due to marriage, divorce, or other legal means, you may request a certificate reprint at no charge by logging an incident through your CCMS record, and an IIA staff member will contact you with details.
- To otherwise 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 reprint order form and remit any applicable fees.

Certificates are shipped by standard postal service or courier (expedited shipping). Certificates shipped outside of the United States may take up to 16 weeks for delivery, if standard shipping is selected. Expedited shipping may take up to 3 weeks and is available at an additional cost. Pricing information is displayed on the certificate order form and is broken down by shipping region.

The [IIA frame store](#) includes several options for displaying your certification certificate, which can be customized.

Once certified, you can also tell your professional story on popular social and professional networking sites, personal websites, or in emails with web-enabled certification badges. To learn more, visit The IIA's [Social Badging](#) webpage.

Questions or concerns related to your certification should be sent to The IIA by submitting an incident through your CCMS account. You may also contact Customer Relations for assistance via email (CustomerRelations@theiia.org) or by calling +1-407-937-1111.



6.5 Maintaining Your Certification

To maintain your certification, you must earn and report continuing professional education (CPE) credit hours — including two (2) hours of ethics training — by Dec. 31 annually, in accordance with The IIA's [CPE Policy](#). Certified individuals in North America and many other parts of the world may submit their CPE information directly through CCMS. However, candidates who are members of certain IIA affiliates must report their CPE credit hours directly to their IIA affiliate (see page 4 for a list of those countries). There is no fee for North American IIA members to report CPE, as reporting is included as a benefit of membership; however, there is a fee for nonmembers. Additionally, some IIA affiliates may charge a fee for reporting CPE. The IIA encourages you to check with your local affiliate for clarification and information.

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 until the requirements are met. If your certification status remains inactive for more than 12 months due to nonreporting, you will incur fees to reinstate your certification.

For complete and up-to-date information on the CPE requirements for each certification, associated fees, required documentation, and how to report CPE, download The IIA's [CPE Policy](#) document.

6.6 Being Audited

Each year, The IIA randomly samples a percentage of all certified individuals who report CPE hours to confirm conformance with The IIA's CPE Policy. 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.

7. Exam Security

The IIA and Pearson VUE take exam security seriously, because the value of your certification and our credibility depends on it. IIA exam content is confidential; it is never appropriate to share, discuss, post, or upload exam content.

Importance of Continuing Professional Development

As the business environment changes and new risks emerge, the knowledge and skills internal auditors need to possess to provide professional assurance and consulting services for their organizations continually evolves. The IIA's *International Standards for the Practice of Internal Auditing* recognize this and require internal auditors to seek continuing professional development.

Moreover, those who have obtained a professional certification through The IIA are required to obtain a certain number of professional education hours in specific subject areas annually, according to The IIA's [CPE Policy](#). This requirement helps ensure that certified professionals remain competent in the growing and dynamic profession of internal auditing.



7.1 Ethics Violations and Misconduct

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 and can result in program disqualification or other appropriate censure. Examples of ethics violations and misconduct include:

- Submitting false, inconsistent, or misleading statements or omitting information requested by The IIA.
- Submitting an altered or an inauthentic transcript.
- Submitting 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.
- Stealing exam materials.
- Bringing prohibited items into the exam room.
- Failing to follow directions of test center staff.
- Violating Pearson VUE scheduling or test center rules and regulations.
- Attempting any of the above.

Visit The IIA's [Exam Security webpage](#) for more information regarding exam security, including guidance as to what is acceptable (and not acceptable) behavior.

7.2 Reporting Violations

Everyone — including candidates, volunteers, members, certified individuals, and the public — has a role in ensuring that The IIA's exam information and intellectual property remains confidential. If you become aware of an exam security violation, or if you have questions, comments, or concerns regarding exam security, misconduct, or your test center, please visit The IIA's [Exam Security Tip Line](#). The website includes a process for exam candidates and others to confidentially provide information should you notice unusual or inappropriate behavior at a test center related to IIA exam intellectual property, or if you see an advertisement for the sale of IIA certification exam questions and answers.

7.3 Consequences of Violations

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:

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



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

The IIA's exams are confidential and secure, protected by civil and criminal laws of the United States and elsewhere. The IIA may take action to the extent permitted by law.



Appendix A: 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://global.theiia.org/certification/Pages/Certification.aspx
CCMS	https://i7lp.integral7.com/durango/do/login?ownername=iia&channel=iia&basechannel=integral7
During the Certification Process	
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
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 and Practice Tests (practice tests are available in select languages for the CIA only)	https://global.theiia.org/certification/enrolled/Pages/Exam-Preparation-Resources.aspx https://global.theiia.org/certification/CIA-Certification/Pages/Certified-Internal-Auditor-CIA-Practice-Exams.aspx
What to Expect at a Pearson VUE Test Center	https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx
After Certification	
CPE Policy	www.theiia.org/CPE-Policy
Certification Frames	https://global.theiia.org/certification/Pages/Certifications-Merchandise.aspx
CPE Reporting	https://global.theiia.org/certification/certified/Pages/CPE-Requirements.aspx
Reporting Steps	https://global.theiia.org/certification/certified/Pages/CPE-Reporting-Steps.aspx
Social Media and Badging	https://global.theiia.org/certification/Pages/Certifications-Social-Media-and-Badging.aspx

Appendix B: Nondisclosure Agreement and General 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:

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 Institute of Internal Auditors (IIA) is an international professional association with global headquarters in Lake Mary, Florida, USA. With more than 190,000 members, The IIA is the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator.

There are more than 195,000 IIA certified individuals worldwide. In addition to global certification programs, IIA members enjoy benefits such as access to local, national, and global professional networking; world-class training; standards and guidance; research; executive development; career opportunities; and resources such as IIA Quality Services, LLC.



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