CIA® Certified Internal Auditor®

CCSA® | CFSA® | CGAP® | CRMA®

# CERTIFICATION CANDIDATE HANDBOOK

DECEMBER 2014

The Institute of Internal Auditors | Global

# IIA CERTIFICATIONS

## IMPORTANT NOTE:

The information in this handbook describes the application, registration, and certification processes for those IIA certification candidates who register through IIA Global Headquarters and use the Certification Candidate Management System, or CCMS. It is not applicable to members of an Institute in a country that administers The IIA's certifications directly through a local certification agreement.

**CANDIDATES FROM THE FOLLOWING COUNTRIES MUST CONTACT THEIR LOCAL IIA INSTITUTE REPRESENTATIVE FOR MORE INFORMATION ABOUT LOCAL CERTIFICATION PROCESSES:**

| | | |
|---|---|---|
| ARGENTINA | AUSTRALIA | AUSTRIA |
| BELGIUM | BRAZIL | BULGARIA |
| CHINA | CHINESE TAIWAN | CZECH REPUBLIC |
| FRANCE | GERMANY | GREECE |
| INDONESIA | ITALY | JAPAN |
| KOREA | MALAYSIA | MEXICO |
| MOROCCO | THE NETHERLANDS | NEW ZEALAND |
| NORWAY | PHILIPPINES | SINGAPORE |
| SOUTH AFRICA | SPAIN | SWEDEN |
| SWITZERLAND | THAILAND | TURKEY |

For the most current and specific information visit the Global website at www.globaliia.org/certification.

**THIS HANDBOOK CONTAINS IMPORTANT INFORMATION. ALL APPLICATION MATERIALS PRINTED PRIOR TO OCTOBER ARE NO LONGER VALID AND SHOULD BE DISCARDED.**

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There are many reasons to obtain an IIA global certification. Whether it's the hallmark designation of internal auditing — the Certified Internal Auditor® (CIA®) designation — or one of our four specialty industry certifications, obtaining an IIA global certification is professionalism defined.

**The Certified Internal Auditor® (CIA®)** designation is the only globally accepted certification for internal auditors and remains the standard by which individuals demonstrate their professionalism in the internal audit field. Candidates leave the program enriched with educational experience, information, and business tools that can be applied immediately in any organization or business environment.

**The Certification in Control Self-Assessment® (CCSA®)** designation is an esteemed certification for control self-assessment practitioners. It measures a candidate's knowledge of important CSA fundamentals, processes, and related topics such as risk, controls, and business objectives. It is the standard by which individuals demonstrate their comprehensive professionalism in the field.

**The Certified Financial Services Auditor® (CFSA®)** measures an individual's knowledge of audit principles and practices within the banking, insurance, and financial services industries. Candidates may choose any one of these disciplines when taking the exam, regardless of their current occupational field. The CFSA is a respected certification for practitioners of financial services auditing.

**The Certified Government Auditing Professional® (CGAP®)** certification program was designed especially for auditors working in the public sector at all levels — federal/national, state/provincial, local, quasi-governmental, or crown authority. It is an excellent professional credential that prepares and qualifies practitioners for the many challenges they face in this demanding arena.

**The Certification in Risk Management Assurance™ (CRMA®)** program has been designed to allow audit practitioners and others interested in risk management assurance to demonstrate their ability to provide advice and assurance to audit committees and executive management on whether key risk management and governance processes in their organizations are in place and effective.

No matter which certification program you choose, earning an IIA global certification demonstrates your commitment to your career and the internal audit profession.

## THE IIA'S STREAMLINED CERTIFICATION PROCESS

Taking an IIA global certification exam is more convenient than ever, as IIA exams are offered through computer-based testing (CBT). This means that you will be able to take your exam in any one of more than 500 available testing centers around the world, in any of the exam languages offered at a time that is convenient for you!

The IIA has chosen Pearson VUE as its computer-based test administration vendor. Pearson VUE administers The IIA's exams in a computer-based format at Pearson VUE's approved testing centers throughout the world. Pearson VUE is a leader in global computer-based test administration, and its technology investments ensure leading-edge security and provide improved service to IIA candidates. And the Pearson VUE online scheduling system makes scheduling your test quick and easy.

The IIA has also made it even easier for you to complete the certification process. Our Certification Candidate Management System (CCMS) allows you to submit application and exam registration forms online. You can also monitor your certification progress, access your CBT exam scores, report your continuing professional education (CPE) credits, and print receipts for your exam fees at any time.

This handbook walks you through the certification process from start to finish and should provide all the information you need to complete the process. Please visit www.globaliia.org/certification for the most up-to-date information or any important changes to the exam process.

# DETAILED APPLICATION AND REGISTRATION INSTRUCTIONS

## STEP 1: CONSIDER JOINING THE INSTITUTE OF INTERNAL AUDITORS

If you are not yet an IIA member, you should consider joining The IIA before you apply to an IIA global certification program to take advantage of member exclusive pricing. There are immediate and long-term IIA member benefits and special offers that a candidate may wish to consider, such as:

- Preferred pricing on certification application and exam registration fees.
- Special pricing on review materials available through The IIA Research Foundation's Bookstore.
- Members-only access to The IIA's online auditing standards, ethics, and guidance information.
- Access to local IIA Institutes and chapters for professional development opportunities.
  For information on becoming an IIA member, go to www.theiia.org/membership.

Outside North America contact your local institute for more information on becoming a member.

Members of The IIA in North America* also receive the following member exclusive benefits:

- Free CPE reporting.
- Complimentary monthly Members-only webinars to earn CPE at no additional cost.
- Reduced registration fees for IIA headquarters seminars and conferences.
- Members-only pricing on hundreds of IIA educational products.
- Subscriptions to the award-winning *Internal Auditor* (Ia) magazine and *IIA Today*, a comprehensive membership newsletter.
- Members-only access to the Audit Career Center job postings.
- Professional networking opportunities.
- Participation on local or international volunteer committees.

For information on becoming an IIA member in North America, go to www.theiia.org/membership.

*Note: Your membership must be processed before you can receive exclusive member pricing on your certification application and exam registration fees. These special members-only rates on certification fees cannot be applied retroactively.*

*\*North America is defined as the United States, Canada, the Caribbean, Bermuda and Guyana. Benefits of membership vary by Institute. Visit www.globaliia.org to identify your local Institute and explore the benefits of membership in your region.*

## STEP 2: APPLY TO THE CERTIFICATION PROGRAM OF YOUR CHOICE (NEW CANDIDATES ONLY)

The following steps explain how to apply to an IIA global certification program. These instructions concentrate on the process for applying and registering online through CCMS, which is the fastest and most efficient way to apply and register for IIA global certification programs.

Before you complete an application, be sure to read all the requirements for that certification in this handbook to make sure that you qualify and that you can agree to the rules of the program.

### CREATE A PROFILE
**IMPORTANT: If you are already an IIA member and CCMS provides you with an IIA candidate ID number that is different from your IIA global membership ID number, please notify us immediately and do not submit any application or registration forms until you are notified that your records have been merged.** (*Your global membership ID*

*number is the number that you use to access member information on The IIA's website: www.globaliia.org.) Once you have followed the instructions for activating your account in CCMS, click on the "New Incident" link in CCMS and submit an incident report requesting that we merge the information on your ID numbers. We will attempt to resolve this incident within 72 business hours. If you submit an application or registration form under a candidate ID number that is not your membership ID number, you will not receive member pricing. Once you accept the non-member price and submit your order, no refunds or credits will be issued, in whole or in part.*

If you have not previously applied to an IIA global certification program, you must first create a unique profile in CCMS. To do so, go to www.globaliia.org/certification and click on the link to CCMS where you will be directed to the CCMS login page.

Click on the "First Time Users" link on the right, read and agree to the terms of use, and complete the "New Profile" page as follows:

## REQUIRED FIELDS
Throughout the profile, fields marked with an asterisk (*) are required.

## GENERAL INFORMATION
Enter your first and last name **exactly** as it appears on your government-issued identification. This information will be verified when you present your identification at the test center, and it must match exactly.

## ADDRESSES
For the "Primary Address" field, enter a unique mailing address of the location where you currently reside or work for most of the year. Do not input addresses for temporary assignments or your declared permanent residence address if it is not where you are located for most of the year. This address is required and must be accurate.

For the "Alternative Address" field, enter any address where you may want The IIA to communicate with you if you do not have an email address. This address is optional.

Indicate which address you would prefer The IIA to use if it becomes necessary to mail information to you.

## PHONE NUMBERS
At least one valid unique phone number is required (in the "Primary Number" field). **Please Note:** This is a numeric field only; complete the extension field and select the country code if applicable. The country code selected must match the country listed in your primary address.

## EMAIL ADDRESSES
At least one valid unique email address is required (in the "Primary Email Address" field). CCMS and Pearson VUE will communicate with you directly through email, so be sure to provide the email address that you use on a regular basis. If you enter an email address that already exists, you will be prompted to enter a different email address.

## CUSTOM QUESTIONS
Respond to each custom question presented. Further information about completing some of the custom questions is provided below:

- **Prefix** – If your government issued identification includes a prefix, provide it here so that your identification will match our records when verified at the test site.
- **Suffix** – If your government issued identification includes a suffix, provide it here so that your identification will match our records when verified at the test site.
- **Job Code** – Select the job code that most closely describes your current position. If you need additional information, please refer to www.theiia.org/goto/Job-and-Industry-Codes.
- **Industry Code** – Select the industry code that most closely describes the industry in which you primarily work. Please refer to www.theiia.org/goto/Job-and-Industry-Codes.
- **Practicing** – Indicate whether you are currently practicing as in internal auditor or not.
- **Name as it should appear on your certificate** – Indicate exactly how you would like your name to appear on your printed certificate once you become certified. This may be slightly different from the way that you name appears on your identification (for example: "John W. Smith" instead of "John William Smith"), but it cannot include any certifications, degrees, or other designations.
- **Chapter/Institute** – Please indicate which Chapter/Institute best describes your geographic location. If you are an IIA member and choose not to affiliate with a Chapter or Institute, please select "Member at Large." If you are not a member of The IIA and choose not to affiliate with a Chapter or Institute, please select "Non-Member."

*Note: If any of the information in your profile changes, you should return to the profile page and update this information. You will be able to change any information (except for your name) at any time.*

Click on the "Submit" button, and CCMS will create your account, provide you with your IIA candidate ID number, and send you an email with instructions and a link for activating your account. Follow the instructions to activate your account and create a username and password. Keep your password confidential, because it will provide access to all of your candidate information.

## STEP 3: COMPLETE THE APPROPRIATE APPLICATION FORM

Log in to CCMS and click on the "Complete a Form" link to complete an application form. Select the application form for the certification of your choice and complete the required information.

Be careful to complete the application accurately. You will need to submit documentation to verify certain information that you report (such as education). If your documentation does not support the information on the application, you can face review and censure by The IIA's Global Ethics Committee, including, but not limited to, removal from the certification program and revocation of exam parts or certification. Once approved your application will be valid for four years.

Read and agree to the "Program Provisions and Conditions" on the form. It is important that you read this entire handbook before agreeing to the conditions of the program.

Read and agree to the "Pricing Provisions and Conditions" before you submit your form. The system will calculate the appropriate price for your application and present you with a payment page that allows for payment by credit card, check, or wire transfer.

If you do not believe that the price provided is correct do not submit the order. Please log an incident and a certification administrator will contact you. Once you accept the price provided and submit your order, no refunds or credits will be issued, in whole or in part. Instead, please follow these instructions:

- Click on the "Back to Edit Order" button at the bottom of the payment page, and then click on the "Save for Later" button at the bottom of the application page.
- If the price displayed is incorrect due to an incorrect country code in your primary address, please update your candidate profile with the correct information. Locate your saved application by clicking on the "Complete a Form" link and choosing the "In-Process Forms" tab. Open your application and submit it again. Follow the instructions above for verifying the pricing, etc.
- If the price displayed is incorrect due to your membership status not being updated, please wait until your membership request has been processed at The IIA prior to submitting this form.

You can check your membership status in CCMS by clicking on the "Personal Information" link and viewing the "IIA Member" question under the "Custom Questions" section.

To follow up on the status of your membership, please contact the local Institute through which you applied for membership. If your organization is an IIA audit group member, contact your organization's audit group coordinator.

The amount of time that it takes to process a new membership application varies throughout the world, and the process may take several days or several weeks. Please allow appropriate time for processing.

If your record in CCMS does not indicate that you are a member, and you have been issued an IIA global membership ID number that is different from the candidate ID number in CCMS, please notify us immediately by clicking on the "New Incident" link in CCMS and submitting an incident report requesting that we merge the information on your ID numbers. We will attempt to resolve this incident within 72 business hours. Please do not complete any application or registration forms until you are notified that your records have been merged.

You are strongly encouraged to pay your application fees with a credit card as this payment method significantly shortens the processing time required. Applications submitted through CCMS with payment by credit card are generally reviewed and processed within 72 business hours of submission. Applications submitted by mail or submitted through CCMS with the payment option of check or wire transfer may take several weeks to review and process.

Candidates who opt to pay with a check or a wire transfer must: (1) include information on their form of payment during the application process and (2) follow the on-screen instructions regarding submission of payment. This will serve as your invoice. Wire transfer payment questions should be sent to wirepayments@theiia.org. Please be aware that if you choose check or wire transfer as your payment method and submit your form online, you will not be able to change to another payment method for that form.

## WIRE TRANSFER INSTRUCTIONS

| | IF YOU ARE IN NORTH AMERICA: | IF YOU ARE OUTSIDE OF NORTH AMERICA: |
|---|---|---|

**STEP 1: YOUR BANK WILL SEND THE FUNDS TO:**

| | | |
|---|---|---|
| BANK'S NAME: | Skip Step 1 | SunTrust Bank, Inc. |
| BANK ADDRESS: | | 303 East Peachtree Street Atlanta, GA 30308 |
| RECEIVING BANK: | | SWIFT: SNTRUS3A |
| ABA ROUTING NUMBER: | | 061000104 |

**STEP 2: CREDIT**

| | | |
|---|---|---|
| FOR CREDIT TO: | The Institute of Internal Auditors, Inc. | The Institute of Internal Auditors, Inc. |
| ADDRESS: | SunTrust Bank, Inc. 303 East Peachtree Street Atlanta, GA 30308 | SunTrust Bank, Inc. 303 East Peachtree Street Atlanta, GA 30308 |
| SWIFT: | SNTRUS3A | SNTRUS3A |
| ACCOUNT NUMBER: | 1000145155502 | 1000145155502 |
| ABA ROUTING NUMBER: | 061000104 | 061000104 |

**STEP 3: E-MAIL**

| | | |
|---|---|---|
| WIREPAYMENTS@THEIIA.ORG | Provide your candidate number, order number, date of wire, and transfer amount. Also be sure to indicate that this is for your certification program. | Provide your candidate number, order number, date of wire, and transfer amount. Also be sure to indicate that this is for your certification program. |

*Notes: On the Transfer Notice - Provide your candidate number and order number. Add US$15 for wire processing fee.*

Applications will not be reviewed until payment has been received in full and processed to your record. For wire transfers, payment cannot be processed until you submit the appropriate information regarding your wire transfer. If applications need further documentation to be submitted or part of it is outstanding for approval, the application will remain open for 90 days, after which time it will be denied and fees forfeited.

Once your application and payment are received and your payment is processed, a member of The IIA's Global Certifications Department will review your application to determine your eligibility for the certification for which you have applied. Please allow approximately 72 business hours for application review after receipt of application and processing of payment.

Once the application review is complete, an e-mail will be sent to you to advise you of your status and the next steps in the process. Approved candidates can begin the exam registration process upon receipt of their application approval message.

**Note:** *Approval for any of the certification programs is contingent on meeting the eligibility requirements.*

## STEP 4: SUBMIT APPROPRIATE DOCUMENTATION

Refer to page 19 for specific requirements for each certification program, as well as required documentation. Additional documentation may be requested from candidates as necessary to confirm eligibility.

## STEP 5: REGISTER FOR THE APPROPRIATE EXAM(S)

Upon approval of your application, you are eligible to register for the exam(s) in the program to which you applied. Your application will only be subject to approval after you have provided all the required documentation as set forth in the exam eligibility section of this handbook.

Log in to CCMS and click on the "Complete a Form" link to complete an exam registration form. Select the appropriate form for the exam of your choice.

The CIA exam is offered in many languages, and you do not need to select your language at the time of registration. When you schedule your exam with Pearson VUE, you will be able to select the language of your choice. Most exam languages are available in all Pearson VUE test centers around the world. If you accidentally select an incorrect language, you will need to contact Pearson VUE at www.pearsonvue.com/iia. When a language other than English is chosen, a feature within the exam allows the examinee to toggle between English and the chosen language. Please refer to www.globaliia.org/certification for more information about the availability of languages.

*Note: Your registration for an exam (part) will be valid for 180 days from the date that the registration is processed at The IIA. Each registration allows you to sit for that exam one time. It is your responsibility to schedule an appointment for that exam during the 180-day period and to sit for the exam during that time.*

Read and agree to the "Pricing Provisions and Conditions" and submit your form. The system will calculate the appropriate price for your registration and present you with a payment page that allows for payment by credit card, check, or wire transfer.

Verify that the price quoted is correct for your situation. If you do not believe that the price provided is correct (based on your membership status), do not submit the order. Once you accept the price provided and submit your order, no refunds or credits will be issued, in whole or in part. Instead, please follow the instructions provided in the application section in Step 3 regarding incorrect pricing, or refer to the instructions provided on-screen or in the "Frequently Asked Questions (FAQs)" section of CCMS.

You are strongly encouraged to pay your registration fees with a credit card as this payment method significantly shortens the processing time. Registrations submitted through CCMS with payment by credit card are processed immediately. Registrations submitted by mail or submitted through CCMS with the payment option of check or wire transfer may take several weeks to review and process.

Candidates who opt to pay with a check or a wire transfer must: (1) include information on their form of payment during the registration process and (2) follow the on-screen instructions regarding submission of payment. Please be aware that if you choose check or wire transfer as your payment method and submit your form online, you will not be able to change to another payment method for that form.

Registrations will not be processed until payment has been received in full and processed to your record. For wire transfers, payment cannot be processed until you submit the appropriate information regarding your wire transfer. A registration without payment will only remain open for 90 days, at which time it will be denied, and a new registration fee must be submitted.

Once your payment is received and processed, your registration will be processed, and you will receive an e-mail advising you that you are eligible to schedule your exam with Pearson VUE and providing further directions. If you pay through CCMS by credit card, this e-mail will typically arrive within minutes. Please allow 48 hours prior to contacting Pearson VUE to schedule your exam.

If you wish to register for more than one CIA exam (part), you may do so by repeating the steps above. You must complete a separate registration form for each exam (part).

### ACCOMMODATIONS FOR INDIVIDUALS WITH DISABILITIES

If you have a physical or medical condition that requires modification to the test administration conditions, as soon as possible (preferably before you schedule with Pearson VUE), please contact The IIA's Global Certifications Department at +1-407-937-1325 or Joelle.Nash@theiia.org. The Department will assist you to submit an incident report on your CCMS record. Requests may take 30 days or more to implement, depending on the nature of the accommodation needed.

## STEP 6: RECEIVE AUTHORIZATION TO TEST

Once your exam registration has been processed, you will receive an "Authorization to Test" notification via email advising you to contact Pearson VUE (The IIA's CBT administration vendor) to schedule your exam at one of their computer-based testing centers. You will be asked to wait 48 hours before contacting Pearson VUE in order to allow time for your registration data to be uploaded to their scheduling system. You cannot schedule an IIA exam with Pearson VUE without first registering and receiving authorization from The IIA.

Scheduling is the process through which you reserve a testing station at the location and time that you wish to take your examination. You may schedule your exam at any IIA-authorized Pearson VUE test center at any time that the center has an available testing station for you. Once you have waited 48 hours for your registration data to be uploaded to Pearson VUE's scheduling system, you should schedule your exam as soon as possible so that you have the greatest opportunity to sit at your preferred date, time, and location.

**Note:** You must schedule and take your exam within 180 days from the day that your exam registration is processed at The IIA. After 180 days, your registration will expire, you will forfeit your exam registration fee, and you will be required to register and pay for that exam again in order to sit for it.

## SCHEDULING YOUR EXAM

The IIA makes it possible for you to sit for your IIA global certification exam throughout the world, at a date and time that is convenient to you, in any exam language offered. In order for you to take full advantage of these conveniences, you need to schedule early.

There are numerous other examinees from a wide variety of certification programs who are also taking their exams at Pearson VUE testing centers. Appointments are made on a first-come, first-served basis, according to availability of testing stations. Centers can and will fill up. If you do not schedule early, you will either have to delay your exam or select a different testing center. The IIA is not responsible for unavailability of test centers and will not extend the 180-day eligibility because of it. However, a candidate may extend their eligibility one time only and for an additional fee.

You must schedule your exam appointment in advance of the desired exam date. To increase the likelihood that you will receive your first choice of date, time, and location, it is recommended that you schedule at least 45 days before your desired exam date. However, please remember that you should wait 48 hours after receiving your "Authorization to Test" notification before contacting Pearson VUE to schedule your exam, in order to allow time for your registration data to be uploaded to their scheduling system.

You can schedule your exam for any available appointment time within 180 days from the date that the registration is processed at The IIA. If you do not schedule your exam in that time period, your "Authorization to Test" will expire (unless you have applied and paid for a one-time extension), and you will be required to register and pay for that exam again in order to schedule or sit for it. Neither The IIA nor Pearson VUE is responsible if you do not schedule an appointment before your registration/authorization expires.

Once you make an appointment, you will be permitted to make changes for a fee per reschedule or cancellation. Changes must be made no later than two days prior to your current appointment. After that time, if you do not appear for your exam at your scheduled location on your scheduled date and time, you will be considered a "no-show," your registration will be voided, you will forfeit your exam registration fee, and you will be required to register and pay for that exam again in order to sit for it in the future.

## TEST CENTER LOCATIONS

You may take your exam at any IIA-authorized Pearson VUE testing center worldwide, regardless of whether the testing center is located in your hometown or country. To locate the testing centers nearest you, visit the Pearson VUE website at www.pearsonvue.com/iia and click on "Locate a test center."

## TEST CENTER SCHEDULES

Test Center schedules vary and may change often; however, most Pearson VUE test centers are open five or six days per week during normal business hours, based on local conditions, throughout the year. You can schedule your exam at any time that the Pearson VUE site is open and has testing stations available.

## ONLINE SCHEDULING

The easiest way to schedule an exam appointment (as well as reschedule an appointment, if necessary) is on the Internet. Using the Internet provides you with 24-hour scheduling access, giving you the quickest and most direct access to preferred dates and test center locations. You will also instantly receive a detailed confirmation of your appointment (on-screen and via email). Please be sure to use a valid email address.

To schedule online, follow these steps:

1. Go to www.pearsonvue.com/iia.
2. Click on "My Account."
3. Log in using your first name, last name, and candidate ID (membership ID) as it appears on your Authorization to Test letter. If you are a first-time user of the Pearson VUE website, you will need to click "Create a New Web Account" and will be asked for additional information.
4. You will be asked to set up a username and password. (Make note of them.)
5. You will be asked to choose two security questions. (Make note of them.)
6. Complete the requested information. Use the same information that you provided in your IIA CCMS "Primary Address" and "Primary Email" fields in order for the Pearson VUE system to locate your authorization from The IIA.
7. Click "Finish." You may immediately schedule your exam.
8. Click on "Schedule Your Exam Now." You will see all the exams you have been authorized to take and are able to schedule.
9. Select the exam you wish to schedule and follow the instructions to select the location of the testing center where you wish to take the exam. A calendar indicating available test dates will appear. Click on an available date to see the time slots that are available for this test and select the time for your appointment. Follow the instructions to complete the scheduling of your appointment. You will receive an email confirmation of your appointment.

*Note: You will see two confirmation screens on the Pearson VUE website. The first will be listed as "Confirm Order," and you must click on the "Confirm Order" button in the bottom right-side of the screen. You will then see a "Receipt" screen, which will indicate that you are confirmed for the specified exam test date and location.*

## SCHEDULING BY PHONE

You may also schedule your exam over the phone. Visit www.pearsonvue.com/iia to see a listing of available phone numbers for Pearson VUE call centers. 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 led through the scheduling process. Please have your first, second, and third choice of dates and times planned before you call the call center. You may not schedule an exam directly with a Pearson VUE testing center, and no walk-in appointments are allowed.

## APPOINTMENT CONFIRMATION LETTER

Upon completion of the scheduling process, Pearson VUE will email an exam appointment confirmation to you, which will confirm your appointment and provide information about the location of the test center. Be sure to review the email confirmation for accuracy. **Print this confirmation notice and take it to the test center with you when you go to take your exam**. If you do not receive an email from Pearson VUE stating that you are scheduled for an exam, please contact Pearson VUE immediately at www.pearsonvue.com/iia, as it may mean that your appointment was not recorded.

## CHANGES TO YOUR APPOINTMENT

Changing an appointment can be accomplished online at www.pearsonvue.com/iia or by calling a Pearson VUE call center. Once you make an appointment, you will be permitted to make changes for a fee per reschedule or cancellation. Changes must be made no later than 48 hours prior to your current appointment. After that time, if you do not appear for your exam at your scheduled location on your scheduled date and time, you will be considered a "no-show," your registration will be voided, you will forfeit your exam registration fee, and you will be required to register and pay for that exam again in order to sit for it in the future. Additionally if you cancel your exam appointment and do not reschedule within the 180 day scheduling period, you will forfeit your registration fee.

If you change your appointment time and do not receive an email confirmation of the cancellation, please contact the Pearson VUE call center immediately.

You may reschedule your exam appointment as needed during your 180 day eligibility period. There will be an additional fee to reschedule or cancel. Please visit www.globaliia.org/certifications and select the pricing structure menu item for the most current fees.

To cancel an appointment you must personally contact Pearson VUE customer service. Go to www.pearsonvue.com/IIA to find your local phone number to call.

## TEST CENTER CLOSINGS DUE TO WEATHER OR OTHER EMERGENCY

If severe weather or other local emergency requires a test center to be closed, Pearson VUE will make every attempt to contact you. However, if you are unsure whether your test center is open on the day of your exam, call the local test center directly. If the center is open, it is your responsibility to keep the appointment. If the center is closed, you will be given the opportunity to reschedule without penalty. If you are unable to contact the local test center, go to the Pearson VUE website at www.pearsonvue.com/iia or call the Pearson VUE call center nearest you.

If there are technical issues at the test center, you will be asked to wait 30 minutes, and if the issues are not resolved, you may be offered to reschedule the test for another day. If you decide to reschedule due to technical issues, there will not be a rescheduling fee. If you decide to wait for the issues to be resolved, you are accepting any length of time it may take to correct the issues.

## PREPARING FOR THE EXAM

The CIA and the four specialty exams are self-study exams and do not require a prescribed curriculum. Candidates may choose their own method of preparing for the exam. Information on preparation resources is available at www.globaliia.org/certification.

Abbreviated versions of exam content outlines can be located on pages 22, 23 and 24 of this handbook. See www.globaliia.org/certification for detailed exam content outlines.

## CHECKING IN FOR YOUR EXAM AT A PEARSON VUE TEST CENTER

### STEP 1:  ARRIVE AT THE TEST CENTER EARLY

The Pearson VUE exam appointment confirmation letter will provide you with the location of your testing center. Plan your travel carefully so that you will arrive at the test center at least 30 minutes before the scheduled appointment time. If you arrive at the test center less than 30 minutes before your scheduled appointment, you may be denied access to the test center and be considered a "no-show." In no case will you be admitted to the test if you arrive after your scheduled starting time. If you are considered a "no-show," your registration will be voided, you will forfeit your exam registration fee, and you will be required to register and pay for that exam again in order to sit for it in the future.

### STEP 2: BRING YOUR PEARSON VUE EXAM APPOINTMENT CONFIRMATION LETTER WITH YOU

You should bring the exam appointment confirmation letter that you received via email from Pearson VUE with you to the testing center. This letter 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 your "Authorization to Test" notification you received via email from The IIA.

### STEP 3: PRESENT ACCEPTABLE PERSONAL IDENTIFICATION

The IIA and Pearson VUE employ very strict security measures. One level of security involves your identification. You must bring at least one form of identification (ID) that meets 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.)
- Has a permanently affixed photo of your face.
- Is current — expired IDs will not be accepted.
- Is an original document — no photocopies will be accepted.

**ACCEPTABLE FORMS OF IDENTIFICATION ARE:**

- Government-issued driver's license
- Passport
- Military ID (except those with chips)
- Permanent resident visa
- Credit card with photo (meeting requirements)
- Other government-issued ID

**UNACCEPTABLE FORMS OF IDENTIFICATION INCLUDE:**

- Employee identification or work badge
- University/college identification

If you do not present acceptable identification at the time you are scheduled to take your exam, you will not be allowed to take your exam, and you will be considered a "no-show" even though you appeared at the exam site.

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

## STEP 4: CHECK IN FOR YOUR TEST

The staff at each Pearson VUE test center has been trained in the procedures specific to IIA exams. Exam center personnel will guide you through the steps that have been developed by The IIA. Here is what to expect when you arrive at the test center:

- The test center administrator will show you where to store your personal items. You must place all personal belongings (purses, wallets, watches, jewelry, cell phone, etc.) in the storage lockers or other secured location provided by the test center. You will be given the key to your locker, which must be returned to the test center staff when you leave. The lockers are very small and are not intended to hold large items. Do not bring anything to the test center unless it is absolutely necessary. Neither test center personnel, Pearson VUE, nor The IIA will be responsible for lost or stolen items.
- 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 testing center.
- You must provide one form of acceptable identification. The administrator will verify that the name on the identification matches the name on the exam registration. You must keep this identification with you at all times during the exam. If you leave the testing room for any reason, you will be required to show your identification to be re-admitted.
- The administrator will capture your signature (digital or pen) and verify that it matches the signature on your identification (if any).
- Your fingerprint and/or palm vein image will be captured, and a digital photograph of your face will be made. You have the option of opting out of the fingerprinting process for identification.
- The only item that a candidate may bring to the test that is allowed in the testing room is a non-electronic language translation dictionary. This dictionary may not contain definitions of terms; only direct translations of words. It cannot have anything written or highlighted in the book, nor can it contain any added 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 an erasable note board and pen on which you can take notes during the exam. You must return this to the administrator prior to leaving the test center. You cannot take any notes from the test center.
- An onscreen calculator will be available during the exam. If you prefer a hand-held calculator and the test center has one available, you may request to be provided with one. You will not be allowed to bring a personal calculator or any similar such device with you into the testing room.
- You will be required to sign the test center log prior to being admitted to the test. Your test will start within 30 minutes of the scheduled start time. If circumstances other than candidate error arise and delay your session more than 30 minutes, you will be given the choice of continuing to wait or rescheduling your appointment without penalty.
- If you leave the testing room for any reason, you will be required to sign the test center log and show your identification. You may also be required to provide a fingerprint or palm vein image when leaving or re-entering the testing room.
- You will not be allowed to bring any food or drink into the testing room.
- You will be escorted to a workstation by the exam proctor. You must remain in your seat during the exam, except when authorized to leave the testing room.
- After you are logged into your test station, proceed through the welcome screen and non-disclosure agreement. There is a time limit on these initial screens and, if that time limit is exceeded, the exam session will automatically begin.
- If you encounter ANY computer problem, report it immediately to the exam proctor, and ask the proctor to log an incident.

*Note: The tutorial is no longer included with the exam. Prior to taking your scheduled exam, you may complete the tutorial at www.globaliia.org/certification by selecting "CBT Exam Tutorial" on the left-hand menu.*

# TAKING YOUR IIA EXAM

Once you have been seated at a testing 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 that you are scheduled to take, and then you will begin the testing session. All IIA certification exams follow the same exam flow pattern.

## NON-DISCLOSURE AGREEMENT AND GENERAL TERMS OF USE FOR IIA EXAMS

Before you begin your exam, you will be required to accept the terms of The IIA's non-disclosure and confidentiality statement.

This exam is confidential and is protected by law. It is made available to you, the examinee, solely for the purpose of becoming certified. You are expressly prohibited from disclosing, publishing, reproducing, or transmitting this exam, in whole or in part, in any form or by any means, verbal or written, electronic or mechanical, for any purpose, without the prior written permission of The IIA.

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

If you do not accept the exam non-disclosure agreement, your exam will be terminated. If this occurs, your registration will be voided, you will forfeit your exam registration fee, and you will be required to register and pay for that exam again should you wish to sit for it in the future.

## TESTING TIME ALLOTTED

When you are ready to begin the exam, the system will advise you of the time that you have to complete the exam. The time allotted for each actual exam is as follows:

| EXAM | NUMBER OF QUESTIONS | TEST TIME |
|---|---|---|
| CERTIFIED INTERNAL AUDITOR (CIA) | | |
| PART 1 | 125 multiple choice questions | 2 hours and 30 minutes |
| PART 2 | 100 multiple choice questions | 2 hours |
| PART 3 | 100 multiple choice questions | 2 hours |

| EXAM | NUMBER OF QUESTIONS | TEST TIME |
|---|---|---|
| IIA SPECIALTY EXAMS | | |
| CERTIFICATION IN CONTROL SELF-ASSESSMENT (CCSA) | 115 multiple choice questions | 2 hours and 55 minutes |
| CERTIFIED GOVERNMENT AUDITING PROFESSIONAL (CGAP) | 115 multiple choice questions | 2 hours and 55 minutes |
| CERTIFIED FINANCIAL SERVICES AUDITOR (CFSA) | 115 multiple choice questions | 2 hours and 55 minutes |
| CERTIFICATION IN RISK MANAGEMENT ASSURANCE (CRMA)* | 100 multiple choice questions | 2 hours |

The computer screen has a built-in timer to let you know the time remaining as you work through the exam. Plan your time wisely so that you do not use your time up early in the exam and do not have enough time to complete the exam.

The testing system allows you to flag questions for review and allows you to return to these items after you have viewed the last question in the exam. If you have completed the last question in the exam before the time is up, you will be able to review your flagged questions and any other questions until your testing time expires.

There are no scheduled breaks during the exam. You are allowed to take a break, if necessary, but any time taken for breaks counts toward the overall time allotment for that exam. You will need to check out/in with the exam proctor if you leave the testing room.

*CRMA additional requirement is the successful completion of the CIA Part 1 exam.

## SCORING AND UNDERSTANDING YOUR RESULTS

Each question contributes to your final test score and is pretested to ensure statistical validity. There is no penalty for incorrect responses or guessing, so it is to your advantage to attempt to respond to every question in the exam. Your raw score is calculated based on the number of questions that you answer correctly and then converted to a reporting scale that ranges from 250 to 750 points. A score of 600 or higher on this scale is required to pass an IIA exam.

If you achieve a passing score, your score report will only indicate that you passed. No numeric score will be reported. If you do not pass the test, the score report will indicate the numeric score that you received. This will let you know how close you were to achieving the required 600 points. Failing candidates also receive an indication of their performance on each major exam topic area or domain. This will let you know the topics areas on which you performed well and those on which you need improvement.

## EXAM MISCONDUCT NOTICE

Pearson VUE staff are trained to watch for unusual behavior and incidents during the exam. Exam sessions are audio/videotaped to document the occurrence of any unusual activity, and candidate misconduct will be reported to The IIA for investigation.

If you violate any of the testing rules, attempt to remove test items from the center, or are disruptive to other candidates, your exam may be terminated and/or your test scores invalidated.

The IIA and its Professional Certifications Board consider candidate misconduct related to the certification process a serious offense. Incidents of candidate misconduct will be referred to The IIA's Global Ethics Committee for action. Actions by The IIA's Global Ethics Committee may include invalidation of exam results, disqualification from participation in all IIA certification programs (current and future), and publication of the results of their due process in an IIA publication. If evidence of misconduct is discovered after a candidate has been awarded an IIA certification, the certification may be revoked. The IIA may also take other actions to the extent permitted by law.

## RECEIVING YOUR RESULTS

When you have completed your exam, raise your hand and the test administrator will quietly escort you from the testing room. Turn in your note board and sign the test center log. The test center staff will provide you with a printed "unofficial" score report and dismiss you after completing all necessary procedures.

Please do not ask the proctors any questions concerning the exam content or exam scores as they will not be able to assist you.

In order to preserve security and to maintain the integrity of the global certifications process, exam results are continually monitored. Occasionally, exam results will be withheld for a period of time. This may occur as a result of our ongoing global audit procedures surrounding the exam process.

*Note: Your score will become official once The IIA publishes the score to CCMS. This normally takes a few days, and you will be notified by a system-generated email once it is available. Exam scores may be suspended, voided, or otherwise invalidated after becoming official if The IIA discovers errors or evidence of cheating or other improper activity.*

*If you have questions about your exam results, log into your CCMS record to log an incident. A member of The IIA's Global Certifications Department will follow up with you.*

## REPORTING EXAM CONCERNS

If you have questions, comments, or concerns regarding the testing experience or with exam questions, please submit an incident report in your CCMS record. Please note that although The IIA will review all comments provided regarding exam questions, all scored exam questions have been validated before administration of the exam. The IIA will not re-grade or otherwise change a candidate's grade after the test administration based on these comments.

IIA Global Certifications cannot discuss specifics related to individual exam questions or individual scores. All exam content is non-disclosed.

## RETAKING FAILED EXAMS

If you fail any one of the CIA exam parts or one of the specialty exams, you must wait at least 90 days before you are able to retake that exam (part).

You can re-register for the exam and schedule your new test appointment once your exam results are published to CCMS; however, the earliest appointment date that will be available to you will be 90 days from the date that you last took that exam. Please keep in mind that when you register for an exam, you must sit for that exam within 180 days of the day that your registration is processed by The IIA. If you register immediately after failing an exam, your 180-day registration/authorization period will begin immediately but you will still have to wait 90 days before your first opportunity to sit for the exam.

There is no limit to the number of times a candidate can retake a failed exam. To re-register for a failed exam and schedule a new test appointment, follow the same steps indicated prior to initial registration and scheduling.

## RETAKING PASSED EXAMS

Once you pass an exam part, you are not allowed to retake that exam part again. The only exception is if you fail to achieve your certification within the defined eligibility period. In this instance, you are required to wait for a period of 3 years to retake previously passed exam parts.

## BECOMING CERTIFIED AND RECEIVING YOUR CERTIFICATE

You must pass all required exams and complete all other program requirements in order to become certified. Once you meet all requirements for certification, you will receive notification that you are certified. This official notification is sent to your preferred email address in CCMS and serves as proof that you are now certified. You can also log in to your account on CCMS and view/print information from the "Certification Progress" screen, which shows your certificate number (called "Certificate Serial Number") and date certified. Your date certified is the date that your last program requirement was completed and uploaded into CCMS.

Once you pass an exam and meet all other program requirements, you will be eligible to receive your certificate.\*  To order your certificate, you must log into your candidate record in CCMS and complete the Certificate Order Form. Scroll down to the section labelled "certificates" and select the appropriate certificate for your designation. The certificate will be shipped directly to you using a standard postal service method at no charge. Expedited shipping is available at an additional cost.

Certificate reprints are also available through CCMS for a USD $50 fee. Standard postal service shipping is included in the fee at no additional charge; expedited shipping is available at an additional cost.

To change your name on a certificate that has already been issued, you must log into your CCMS candidate record and update your demographic data and your name as you would like it to appear on your new certificate. Then complete the certificate order reprint form which is located under the section labeled "certificates" and select the certificate reprint order form for your certification. There is a USD $50 charge to reprint a certificate to change your name. Standard postal service shipping is included at no additional charge; charges will apply if you elect expedited shipping.

*\* In some instances, candidates outside North America will not be able to order their certificates directly. These certificates are sent directly to the appropriate Institutes which will contact candidates to arrange delivery.*

Now that you have achieved your certification you can proudly display proof of your accomplishment with a variety of functional, high quality items hand selected to provide value and usefulness to your busy professional lifestyle.  These items are exclusively available to only IIA-Certified professionals through our Certifications e-Store.  You can access the e-Store through the Global Certifications web page.

# MAINTAINING YOUR CERTIFICATION

| ITEM | EFFECTIVE 1/1/2012 |
|---|---|
| REPORTING PERIOD | Reporting is annual for all certified individuals.<br>All candidates will be required to report every year. |
| REPORTING DATE | The reporting date is December 31. |
| NUMBER OF HOURS REQUIRED FOR CIA | 40 hours per year – if practicing<br>20 hours per year – if non-practicing<br>0 hours per year – if retired |
| NUMBER OF CPE HOURS REQUIRED FOR CCSA, CFSA, CGAP, CRMA | 20 hours per year – if practicing<br>10 hours per year – if non-practicing<br>0 hours per year – if retired |
| SPECIALITY CERTIFICATION CPE REQUIREMENTS | 25% of CPE hours earned (or 5 hours) must be in the specialty area of expertise. |
| REQUIRED ATTESTATIONS AT TIME OF CPE REPORTING SUBMISSION | Performs internal audit services in accordance with the *Standards*.<br>To abide by The IIA Code of Ethics.<br>To not bring The IIA into disrepute.<br>Confirming no criminal convictions since last reporting period. |
| FAILURE TO REPORT CPE | Will result in an individual's certification status being moved to inactive grace period.<br>The designation can no longer be used until the individual's certified status in reinstated. |
| REINSTATEMENT INACTIVE (GRACE PERIOD) | If INACTIVE less than 12 months, to reinstate, candidate must complete prior years' CPE reporting form and report the appropriate number of CPE hours. |
| REINSTATEMENT POLICY INACTIVE | If INACTIVE greater than 12 months, to reinstate, candidate must report the necessary hours of CPE (amount varies according to certification program), and pay reinstatement fee of USD $100 for member or USD $250 for non-member. |
| CPE REPORTING FEES | CPE reporting fees vary according to membership status and location.<br>For the most current information visit:<br>• North America – www.theiia.org/Certification<br>• Outside North America – www.globaliia.org/Certification |

# CPE REPORTING

CPE reporting is required for all certified individuals to maintain active status and must be self-reported through CCMS.* Fees for CPE reporting vary by membership status and country of residence. IIA-certified professionals who fail to meet their CPE requirements by the reporting deadline will automatically be placed in inactive status and may not use their designation.

New CIAs are awarded 80 CPE hours; 40 CPE hours are awarded to new CCSA, CFSA, CGAP, or CRMA** individuals. For new CIA holders, half of these 80 hours are for the year in which you become certified, and the other half may be used for the subsequent year. Similarly, CCSAs, CFSAs, CGAPs, and CRMAs** receive 20 hours for the year in which they passed the exam and 20 CPE hours for the subsequent year.

As an IIA-certified professional, you are responsible for ensuring that the CPE information in your report is accurate. You will record your CPE credits directly into CCMS. Please ensure that your contact information is correct and up-to-date so you will receive CPE reporting reminders.

Log in to CCMS to complete the CPE reporting form. Once you log in, you will find the form in the left navigation bar under "Complete a Form."

For assistance please log into your CCMS record and log an incident.

*For certified members of an affiliated Institute, you may need to report your CPE hours earned directly to that Institute. Check with your local Institute for direction.*

*** CRMAs who received their designations through the PER are not awarded CPE hours. CRMAs who take and pass the CRMA exam will receive 40 hours of CPE.*

## AUDIT

The IIA will randomly sample a percentage of all candidates reporting CPE each year to confirm candidates are abiding by the CPE program rules. Failure to participate in the audit once notified will result in your status being moved to an INACTIVE status.

## ELIGIBILITY PERIOD

The certification program's eligibility period requires candidates to complete the program certification process within four years of application approval. If a candidate has not completed the certification process within four years, all fees and exam parts already successfully completed will be forfeited.

The eligibility period may be extended only after presentation and acceptance of an exception request detailing extenuating circumstances. A request must be made through CCMS by submitting an incident requesting consideration and further detailed instruction will follow.

If a candidate's eligibility period expires and they wish to reapply, the candidate may not retake any previously passed exam parts within 3 years of passing that part.

## DELAYED SCORE EXAMS

Based on its need, The IIA may offer a limited number of candidates, in selected countries, the opportunity to sit for Delayed Score Exams during a limited period at a reduced fee.

These exams typically include additional unscored questions and an increased seat time, but are offered at a discount. By taking the exam in its delayed score format, candidates provide The IIA with useful information to evaluate the technical accuracy, relevance, and psychometric characteristics of the questions. These additional questions have no impact on the candidate's overall score.

Delayed Score Exam questions are subject to a rigorous development and evaluation process before being used in subsequent exams. Data gathered during the testing phase are used to select the best questions for the exam, and to eliminate questions that are ambiguous, too easy or too difficult, or unhelpful in evaluating a participant's knowledge.

Only candidates who have been approved into the specified certification program are eligible to participate in the Delayed Score Exam process.

The IIA may end these offers with no advance notice.

| | | |
|---|---|---|
| **EDUCATION REQUIREMENTS / EQUIVALENTS / EXCEPTIONS** | CIA | 4-year post-secondary degree or higher from an accredited college or university.<br><br>Full-Time Students: Students who are in their senior (final) year may enter the CIA program and sit for CIA exam parts before completing their education requirement; however, before they are certified, they must meet all supporting requirements.<br><br>CIA education requirement exception:<br>Candidates may become eligible for the CIA, subject to approval, who possess:<br>• 2 years post-secondary education AND 5 years verified work experience in internal auditing or its equivalent;<br>  **OR**<br>• 7 years verified work experience in internal auditing or its equivalent.<br>*The complete process and forms will be available at www.globaliia.org/certification.* |
| | SPECIALTY PROGRAMS (CCSA, CFSA, CGAP, CRMA) | 4-year post-secondary degree or higher from an accredited college or university.<br>**OR**<br>A minimum of two years of post-secondary education with an accredited organization, plus three years of general business experience, may be substituted for a post-secondary degree. |
| **REQUIRED DOCUMENTATION** | | Documentation is required for all certification programs.<br>These documents **must be** received and approved before a candidate may register for any exam.<br>• Proof of Identification in the form of a copy of the candidate's official passport or national identity card. All documents must indicate current status; expired documents will not be accepted. All documents must be scanned and uploaded in a manner that ensures the photo is clearly legible.<br>• Applicants must indicate their highest level of education on the exam application. Proof of education in the form of a copy of the degree(s) or transcripts is required. These documents should be transmitted to The IIA via the Certification Document Upload Portal.<br>• Note: Full-time university students who are in their senior (final) year may enter the Certification Program and sit for exams before completing their education requirement. To be accepted into the certification program and ultimately achieve certification, they must:<br>    • Complete the Special Student/Professor application in CCMS.<br>    • Submit a University Student/Professor Registration Form (see page 28)<br>    • Complete the education requirement.<br><br>• A character reference supplied on the Character Reference Form must be completed and signed by an active IIA-certified individual, a current or prior supervisor or the candidate's current professor, and transmitted to The IIA via the document upload portal. |

| | | |
|---|---|---|
| **PROFESSIONAL CONDUCT** | | Candidates must exhibit the highest moral and professional character and must abide by The IIA's Code of Ethics. An agreement to abide by the Code of Ethics is a required element of the certification application process through an attestation. The IIA's Code of Ethics is available on page 24 and online at www.globaliia.org/standards-guidance.<br><br>• Applicants must provide accurate information on their application. If a candidate's submitted documentation does not support the information provided on the application, the candidate may face review and censure by The IIA's Global Ethics Committee, including but not limited to removal from the certification program and revocation of an exam or certification.<br>• Candidates must sign a statement asserting that they will not divulge any answers after completing the exam. Unauthorized disclosure of any exam questions will be considered a breach of The IIA's Code Ethics and could result in disqualification of the candidate or other appropriate censure. |
| **PROFESSIONAL EXPERIENCE** | CIA | Minimum of 2 years internal audit experience or its equivalent. A statement of the candidate's work history must be attested to by the candidate's former or current manager, or someone holding an active IIA Global Certification.<br><br>Equivalent experience means experience in audit/assessment disciplines including: external auditing, quality assurance, compliance, and internal control.<br><br>Either a master's degree or work experience in related business professions (such as accounting, law, or finance) can be substituted for 12 months of experience. |
| | CCSA | 1 year of control-related business experience, such as CSA, auditing, quality assurance, risk management, or environmental auditing. |
| | CFSA | 2 years auditing experience in a financial services environment. |
| | CGAP | 2 years auditing experience in a government environment (federal, state/provincial, local, quasi-governmental areas, authority/crown corporation). |
| | CRMA | 2 years auditing experience or controls-related business experience such as risk management, quality assurance, or CSA. |
| | | For all certifications, a statement of the candidate's work history must be attested to by the candidate's former or current manager, or someone holding an active IIA Global Certification on the Experience Verification Form. Candidates may apply to a program and sit for an exam prior to satisfying the professional experience requirement, but will not be certified until all program requirements have been met.<br><br>• A completed and signed Experience Verification Form is required. This document should be submitted upon full completion of the experience requirement.<br>• Candidates may apply to a program and sit for an exam prior to satisfying the professional experience requirement, but will not be certified until all program requirements have been met.<br>• Complete the Experience Verification Form included in this handbook.(pg 30) |

| | |
|---|---|
| **FACILITATION FOR CCSA PROGRAM ONLY** | 7 hours of acceptable facilitation experience or 14 hours of acceptable facilitation training. To be considered acceptable, facilitation experience or training must meet the following guidelines:<br><br>• Facilitation Experience. The candidate must have:<br>   1. Facilitated or co-facilitated at least one CSA workshop, acquiring at least seven total hours of direct facilitation or co-facilitation experience. A CSA workshop is one that assesses and evaluates risks, controls, or processes supporting the achievement of objectives.<br>   2. Demonstrated, through facilitation or co-facilitation, the ability to encourage group participation, resolve conflict (if applicable), and build consensus.<br>   3. Been involved in the planning of at least one CSA workshop.<br>   4. Received assessment or feedback on performance as a facilitator or co-facilitator.<br><br>• Facilitation Training. Appropriate courses must include all of the following:<br>   1. Facilitation techniques, including methods to encourage participation, probe for information, and keep discussions on topic.<br>   2. Conflict resolution techniques, including techniques for handling difficult participant types.<br>   3. Consensus building techniques.<br>   4. Group dynamics and/or group decision-making.<br>   5. Workshop planning.<br>   6. Facilitation exercise including group assessment or feedback to participant.<br><br>Facilitation Experience or Training should be documented properly on the CCSA Facilitation Validation form, available on page 29. |
| **EXAMINATION** | Candidates must successfully complete the appropriate exam for their chosen certification program.<br><br>• CIA candidates must successfully pass all parts of the 3-part or 4-part exam.<br>• For CGAP candidates, an international version of the exam is available, as well as a version that is specific to the United States.<br>• CFSA candidates must choose one of three disciplines for their exam: Banking, Insurance, or Securities.<br>• CRMA candidates must successfully complete Part I of the CIA exam in addition to the CRMA core exam to achieve the CRMA certification.<br><br>Candidates must register for exams once all the required documentation has been submitted and their application has been approved.  Registration occurs online through CCMS at www.globaliia.org/certification. |

## SUBMITTING AND CONFIRMING REQUIRED DOCUMENTATION

Required documentation should be submitted through the document upload portal which can be accessed at www.globaliia.org/certification. Please be sure to indicate your candidate ID on your correspondence with us. Submitted documents will typically be reviewed within five business days of receipt. You may confirm that the document has been approved by going to www.globaliia.org/certification, logging in to your record in CCMS, and clicking on the appropriate certification program on the "Certification Progress" screen. If the document is not approved, you will be contacted by a member of The IIA's Global Certifications Department via email.

## CIA EXAM CONTENT

The CIA exam is offered in 3 parts. Part 1 consists of 125 multiple choice questions, and candidates are given 2.5 hours to complete this exam part. Parts 2 and 3 each consist of 100 multiple choice questions, and candidates are given 2 hours to complete each exam part. The following is a brief outline of the material covered within each exam part.

## PART 1 – INTERNAL AUDIT BASICS

- Mandatory Guidance
- Internal Control / Risk
- Conducting Internal Audit Engagements – Audit Tools and Techniques

## PART 2 – INTERNAL AUDIT PRACTICE

- Managing the Internal Audit Function
- Managing Individual Engagements
- Fraud Risks and Controls

## PART 3 – INTERNAL AUDIT KNOWLEDGE ELEMENTS

- Governance / Business Ethics
- Risk Management
- Organizational Structure / Business Processes and Risks
- Communication
- Management / Leadership Principles
- IT/Business Continuity
- Financial Management
- Global Business Environment

For more detailed outlines, visit www.globaliia.org/certification. Exam topics and/or formats are subject to change without notice and as approved by The IIA's Global Board of Directors.

# CCSA EXAM CONTENT

The CCSA exam tests a candidate's understanding of important CSA fundamentals, processes, and related topics such as risk, controls, and business objectives. The one-part exam includes 115 multiple-choice questions covering six domains:

- CSA fundamentals
- CSA program integration
- Elements of the CSA process
- Business objectives/organizational performance
- Risk identification and assessment
- Control theory and application

Candidates are given 2 hours and 55 minutes to complete the exam. For detailed topic outlines, visit www.globaliia.org/certification. Exam topics and/or formats are subject to change as approved by the Global Board of Directors.

# CFSA EXAM CONTENT

The CFSA exam tests a candidate's knowledge of current audit practices and understanding of internal audit issues, risks, and remedies in the financial services industry. The one-part exam includes 115 multiple-choice questions. The first 90 questions cover four domains at an awareness level:

- Financial services auditing
- Auditing financial services products
- Auditing financial services processes
- The regulatory environment

For the final 25 questions, CFSA candidates are tested at the proficiency level in their chosen discipline of banking, insurance, or securities.

Candidates are given 2 hours and 55 minutes to complete the exam. For detailed topic outlines, visit www.globaliia.org/certification. Exam topics and/or formats are subject to change as approved by the Global Board of Directors.

# CGAP EXAM CONTENT

The CGAP exam tests a candidate's knowledge of audit practices specific to the government sector, and measures understanding of government audit standards, including The IIA's *International Standards for the Professional Practice of Internal Auditing* and the International Organization of Supreme Audit Institutions (INTOSAI) government audit standards. Candidates who take the exam in the United States are also tested on Generally Accepted Government Auditing Standards (GAGAS/Yellow Book).

The one-part CGAP exam includes 115 multiple-choice questions covering four domains:

- Standards, governance, and risk/control frameworks
- Government auditing practice
- Government auditing skills and techniques
- Government auditing environment

Candidates are given 2 hours and 55 minutes to complete the exam.

For detailed topic outlines, visit www.globaliia.org/certification. Exam topics and/or formats are subject to change as approved by the Global Board of Directors.

## CRMA EXAM CONTENT

The CRMA exam tests a candidate's knowledge of governance aspects and risk management assurance in addition to the appropriate assurance and consulting roles for internal audit professionals.

In order to achieve the CRMA designation, candidates must successfully pass both Part 1 of the CIA exam and the CRMA core exam (see page 22 for CIA exam content).

The CRMA core exam will consist of 100 multiple choice questions covering four domains:

- Organizational governance related to risk management
- Principles of risk management processes
- Assurance role of the internal auditor
- Consulting role of the internal auditor

Candidates will be given 2 hours to complete the CRMA core exam.

For detailed topic outlines, visit www.globaliia.org/certification. Exam topics and/or formats are subject to change as approved by the Global Board of Directors.

## IIA CERTIFICATION APPLICATION AND EXAM REGISTRATION PRICING

See The IIA's website for the most current pricing information: www.globaliia.org/certification. All fees are non-refundable and non-transferable.

Pricing on the website is applicable in the United States, Canada, and many other countries. However, these prices may be different in countries where the exams are administered through agreements with local IIA Institutes.

## RESCHEDULING EXAMS

Once you make an appointment, you will be permitted to make changes for a fee per reschedule or cancellation. Changes must be made no later than two days prior to your current appointment. After that time, if you do not appear for your exam at your scheduled location on your scheduled date and time, you will be considered a "no-show," your registration will be voided, you will forfeit your exam registration fee, and you will be required to register and pay for that exam again in order to sit for it in the future.

## THE IIA'S CODE OF ETHICS

The purpose of The IIA's Code of Ethics is to promote an ethical culture in the profession of internal auditing.

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

A code of ethics is necessary and appropriate for the profession of internal auditing, founded as it is on the trust placed in its objective assurance about governance, risk management, and control.

The IIA's Code of Ethics extends beyond the Definition of Internal Auditing to include 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 into practical applications and are intended to guide the ethical conduct of internal auditors.

"Internal auditors" refers to IIA members, recipients of or candidates for IIA professional certifications, and those who perform internal audit services within the Definition of Internal Auditing.

### APPLICABILITY AND ENFORCEMENT OF THE CODE OF ETHICS

This Code of Ethics applies to both entities and individuals that perform internal audit services.

For IIA members and recipients of or candidates for IIA professional certifications, breaches of the Code of Ethics will be evaluated and administered according to The IIA's Bylaws and Administrative Directives. Visit www.globaliia.com/certification for all administration directives. The fact that a particular conduct is not mentioned in the Rules of Conduct does not prevent it from being unacceptable or discreditable, and therefore the member, certification holder, or candidate can be liable for disciplinary action.

## PRINCIPLES

Internal auditors are expected to apply and uphold the following principles:

- **Integrity.** The integrity of internal auditors establishes trust and thus provides the basis for reliance on their judgment.
- **Objectivity.** Internal auditors exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgments.
- **Confidentiality.** Internal auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so.
- **Competency.** Internal auditors apply the knowledge, skills, and experience needed in the performance of internal audit services.

## RULES OF CONDUCT

### 1. INTEGRITY

Internal auditors:

- Shall perform their work with honesty, diligence, and responsibility.
- Shall observe the law and make disclosures expected by the law and the profession.
- Shall not knowingly be a party to any illegal activity, or engage in acts that are discreditable to the profession of internal auditing or to the organization.
- Shall respect and contribute to the legitimate and ethical objectives of the organization.

### 2. OBJECTIVITY

Internal auditors:

- Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the organization.
- Shall not accept anything that may impair or be presumed to impair their professional judgment.
- Shall disclose all material facts known to them that, if not disclosed, may distort the reporting of activities under review.

### 3. CONFIDENTIALITY

Internal auditors:

- Shall be prudent in the use and protection of information acquired in the course of their duties.
- Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organization.

### 4. COMPETENCY

Internal auditors:

- Shall engage only in those services for which they have the necessary knowledge, skills, and experience.
- Shall perform internal audit services in accordance with the *International Standards for the Professional Practice of Internal Auditing*.
- Shall continually improve their proficiency and the effectiveness and quality of their services.

## CHARACTER REFERENCE FORM

### NOTE TO RECOMMENDER

The individual named below has applied to one of the certification programs administered by The Institute of Internal Auditors. In considering the candidate's qualifications for any of our certifications, we require a character reference evaluation by an individual with an IIA certification, the candidate's supervisor, or the candidate's professor. The basis for this evaluation is the Code of Ethics established by The IIA. Please read the Code of Ethics and then complete and sign this form. The Code of Ethics is available at www.globaliia.org/standards-guidance.

### INFORMATION ABOUT CANDIDATE

Candidate's ID Number: _____

Candidate's Name (please print):

_____
      (Last Name)             (First Name)             (Middle Initial)

Candidate's Organization: _____

### INFORMATION ABOUT RECOMMENDER

I am (check all that apply):

☐ A CIA (Certified Internal Auditor)

☐ A CCSA (Certification in Control Self-Assessment)

☐ A CFSA (Certified Financial Services Auditor)

☐ A CGAP (Certified Government Auditing Professional)

☐ A CRMA (Certification in Risk Management Assurance)

☐ The candidate's professor

☐ The candidate's supervisor (current or prior)

Name (please print): _____

Title/Position: _____

Organization: _____

Address: _____

Phone: _____ Fax: _____

E-mail: _____

### STATEMENT OF CHARACTER REFERENCE

In my opinion, the candidate named on this form exhibits high moral and professional character and meets the qualifications set forth by the Code of Ethics established by The Institute of Internal Auditors.

Recommender's Signature: _____

Date: _____

Please upload the completed form through the document upload portal. Access the document upload portal by going to www.globaliia.org/certification and clicking the link for the document upload portal.

This document will be reviewed within approximately five business days of receipt at The IIA. You may confirm that the document has been approved by going to www.globaliia.org/certification, logging in to your record on the Certification Candidate Management System (CCMS), and clicking on the appropriate certification program on the Certification Progress screen. If the document cannot be approved, you will be contacted.

# UNIVERSITY STUDENT/PROFESSOR REGISTRATION FORM

## NOTE TO UNIVERSITY OFFICIAL

The Institute of Internal Auditors (IIA) offers reduced application and exam registration fees for the Certified Internal Auditor® (CIA®) program to candidates who are full-time students or professors/educators (full-time or part-time) at accredited universities, as outlined below. In order for a candidate to be eligible for these reduced fees, the candidate's school must confirm that certain requirements are met using the form below. Please complete and sign this form, and return it to the student/professor for submission.

## INFORMATION ABOUT CANDIDATE

IIA Candidate ID Number: _____

Candidate's Name (please print): _____

                           (Last Name)                     (First Name)                 (Middle Initial)

## NOTE TO CANDIDATE (FULL-TIME STUDENT/PROFESSOR)

In order to receive reduced fees for the CIA program, you must complete the following steps (steps 1, 2, 6, and 8 not applicable if you are already a candidate in the CIA program):

1. Follow directions in the Candidate Handbook to log in to The IIA's Certification Candidate Management System (CCMS), set up a profile, and receive a candidate ID number.
2. Have an official from your university complete and sign this form and return it to you. You must include your candidate ID number on the form.
3. Professors: You must also submit a letter from your local IIA chapter or Institute supporting your request for professor status for pricing. You must include your candidate ID number on the letter and submit it along with this form.
4. Submit the completed form (and letter, for professors) through the document upload portal. To verify approval, log in to CCMS and click on Supporting Requirements — approved student/professor forms will have an Effective Date and an Expiration Date.
5. Once this form is approved, complete the "CIA Application – Student/Professor" in CCMS and pay the reduced student/professor application fee. If you do not have Internet access, you can use the paper application form, but your processing times will be significantly longer. Your application will be held as pending until your Full-Time Student/Professor Status Form is received and approved.
6. The University Student/Professor Discounts Registration Form and associated fees are valid for 180 days from the date that the form is processed/approved at The IIA. You will automatically receive the reduced pricing for registrations completed within the 180-day period. A new form is required after 180 days if you are still eligible for discounted pricing.

## CONFIRMATION OF FULL-TIME STUDENT/PROFESSOR STATUS (MUST BE COMPLETED BY UNIVERSITY)

I confirm that the candidate named on this form is a:

___ Full-time undergraduate* student (enrolled in at least 12 semester hours or equivalent) in his/her senior (final) year, as defined by our institution.

___ Full-time graduate student (enrolled in at least 9 semester hours or equivalent), as defined by our institution.

___ Full-time or part-time professor at our institution, as defined by our institution. Please specify the courses being taught during this semester/quarter:

_____

_____

\* Full-time university students in their senior (final) year may enter the CIA program and sit for CIA exam parts before completing their education requirement; however, they must complete the education requirement before they can be certified.

## INFORMATION ABOUT UNIVERSITY OR COLLEGE OFFICIAL

Name of College/University Official (please print): _____

Title: _____

Phone: _____ Email: _____

Name of College or University: _____

Signature of College or University Official: _____Date**:_____

\*\*Note: Form must be submitted within 30 days of this date.

Please upload the completed form through the document upload portal. Access the document upload portal by going to www.globaliia.org/certification and clicking the link for the document upload portal.

This document will be reviewed within approximately five business days of receipt at The IIA. You may confirm that the document has been approved by going to www.globaliia.org/certification, logging in to your record on the Certification Candidate Management System (CCMS), and clicking on the appropriate certification program on the Certification Progress screen. If the document cannot be approved, you will be contacted.

# CCSA FACILITATION EXPERIENCE AND/OR TRAINING FORM

CCSA candidates must present proof of either facilitation experience OR training. This facilitation requirement does not need to be met before taking the CCSA exam but must be met before becoming certified as a CCSA. This form is not required for the CIA, CFSA, CGAP, or CRMA programs.

## VALIDATION OF FACILITATION EXPERIENCE AND/OR FACILITATION TRAINING FOR CCSA CANDIDATE

This form or a photocopy of this form should be used to verify attainment of appropriate CSA facilitation experience by a CCSA candidate. The following information should be completed and verified by an individual with an IIA certification or the candidate's supervisor.

## INFORMATION ABOUT CANDIDATE

Candidate's ID Number: _____

Last Name: _____

First Name: _____ Middle Initial:_____

Candidate's Organization: _____

☐ EXPERIENCE VALIDATION TRAINING

    **AND/OR**

☐ FACILITATION VALIDATION TRAINING

## INFORMATION ABOUT VERIFIER

I am (check all that apply):

☐ A CIA (Certified Internal Auditor)

☐ A CCSA (Certification in Control Self-Assessment)

☐ A CFSA (Certified Financial Services Auditor)

☐ A CGAP (Certified Government Auditing Professional)

☐ A CRMA (Certified Risk Management Assurance)

☐ The candidate's supervisor (current or prior)

Other* (explain): _____

Name (please print):_____

Title/Position: _____

Organization:_____

Address: _____

Phone:_____

Fax: _____

E-mail:_____

*Other qualified verifiers will be considered for approval. (An example of other qualified verifiers would be the candidate's contractual clients if CSA is performed by a candidate who is an external consultant.)*

## STATEMENT OF VERIFICATION

I verify that the candidate named on this form has satisfied all of the following requirements:

- Facilitated or co-facilitated at least one (1) control self-assessment (CSA) workshop, acquiring at least seven (7) total hours of direct facilitation or co-facilitation experience. A CSA workshop is one that assesses and evaluates risks, controls, or processes supporting the achievement of objectives.
- Demonstrated, through facilitation or co-facilitation, the ability to encourage group participation, resolve conflict (if applicable), and build consensus.
- Been involved in the planning of at least one (1) CSA workshop.
- Received assessment/feedback on performance as a facilitator or co-facilitator.

Verifier's Signature: _____

Date: _____

## TRAINING CRITERIA

Appropriate courses must include all of the following:

- Facilitation techniques, including methods to encourage participation, probe for information, and keep discussions on topic.
- Conflict-resolution techniques, including techniques for handling difficult participant types.
- Consensus-building techniques.
- Group dynamics and/or group decision-making.
- Workshop planning.
- Facilitation exercise, including group assessment/feedback to participant.

## TRAINING ATTENDED

Name of Course: _____

Basic Course Description: _____

_____

_____

_____

Course Provider:_____

Name of Instructor(s): _____

_____

Course Date(s):_____

Total Time (Hours) in Course (Minimum 14 hours):

## STATEMENT OF VERIFICATION

I verify that the information provided above is correct and that the submitted course meets the criteria listed above for appropriate courses.

Candidate's Signature: _____

Date: _____

## REQUIRED INFORMATION

Please attach proof of course completion. If the course is not one of the courses pre-approved by The IIA, please attach a course description and/or agenda along with contact information for the course provider. (See www.theiia.org and select training and events for a list of pre-approved courses.)

Please upload the completed form through the document upload portal. Access the document upload portal by going to www.globaliia.org/certification and clicking the link for the document upload portal.

This document will be reviewed within approximately five business days of receipt at The IIA. You may confirm that the document has been approved by going to www.globaliia.org/certification, logging in to your record on the Certification Candidate Management System (CCMS), and clicking on the CCSA certification program on the Certification Progress screen. If the document cannot be approved, you will be contacted.

# EXPERIENCE VERIFICATION FORM

## INFORMATION ABOUT CANDIDATE

Candidate's Name (Please Print): _____
　　　　　　　　　　　　　　　　　　　(Last Name)　　　　　　　　　　　　(First Name)　　　　　　　　　(Middle Initial)

Candidate's ID Number:_____

The individual named above has applied to the following certification program (check one) and must submit a completed, verified copy of this form in order to complete the experience requirement, as outlined below:

☐ CIA (Certified Internal Auditor) – 24 months of internal audit experience or its equivalent (defined as experience in audit/assessment disciplines, including external auditing, quality assurance, compliance, and internal control).

　☐ Please check here if you have submitted a Master's degree.

☐ CCSA (Certification in Control Self-Assessment) – 12 months of control-related business experience, such as CSA, auditing, quality assurance, risk management, or environmental auditing.

☐ CFSA (Certified Financial Services Auditor) – 24 months of audit experience in a financial services environment.

☐ CGAP (Certified Government Auditing Professional) – 24 months of auditing experience in a government environment (federal, state/provincial, local, quasi-governmental areas, authority/crown corporation).

☐ CRMA (Certification Risk Management Assurance) – 24 months of auditing experience or controls related business experience such as risk management and quality assurance.

**Professors:** Two years of teaching experience in a related topic will be accepted as the equivalent of one year of work experience.
If teaching experience is being verified, list course titles, dates, and description of courses.

## PLEASE COMPLETE THE FOLLOWING SECTION WITH EXPERIENCE INFORMATION. PLEASE USE ADDITIONAL FORMS IF NEEDED.

Name of Organization: _____ Title: _____

Type of Industry: ___ Government ___ Financial Services ___ Other

Dates (Month/Day/Year) From: ____/____/____ To: ____/____/____ ☐ currently in this position

Check job duties:　☐ internal audit　☐ quality assurance　☐ risk management　☐ audit/assessment disciplines
　　　　　　　　　☐ compliance　　☐ external auditing　☐ internal control

Other: _____

Name of Organization: _____ Title: _____

Type of Industry: ___ Government ___ Financial Services ___ Other

Dates (Month/Day/Year) From: ____/____/____ To: ____/____/____ ☐ currently in this position

Check job duties:　☐ internal audit　☐ quality assurance　☐ risk management　☐ audit/assessment disciplines
　　　　　　　　　☐ compliance　　☐ external auditing　☐ internal control

Other: _____

## INFORMATION ABOUT VERIFIER

I am (check all that apply):　☐ A CIA　☐ A CCSA　☐ A CGAP　☐ A CFSA　☐ A CRMA　☐ The candidate's supervisor (current or prior)

Name (please print): _____

Title/Position: _____

Organization: _____

Address: _____

Phone: _____ Fax: _____

E-mail: _____

## STATEMENT OF VERIFICATION

I verify that the candidate named on this form has completed the experience as listed above, and I attest that this experience meets the experience requirement of the program to which the candidate is applying, as outlined above.

Verifier's Signature: _____ Date: _____

Please upload the completed form through the document upload portal. Access the document upload portal by going to www.globaliia.org/certification and clicking the link for the document upload portal.

This document will be reviewed within approximately five business days of receipt at The IIA. You may confirm that the document has been approved by going to www.globaliia.org/certification, logging in to your record on the Certification Candidate Management System (CCMS), and clicking on the appropriate certification program on the Certification Progress screen. If the document cannot be approved, you will be contacted.

## CANDIDATE AGREEMENT AND TERMS OF USE FOR THE CERTIFICATION CANDIDATE MANAGEMENT SYSTEM (CCMS)

### ACCEPTANCE OF TERMS

By accessing or using any of the functionality (the "**Services**") available on the website owned or operated by The Institute of Internal Auditors, Inc. (IIA), you agree to accept and comply with the terms, conditions, and notices stated herein or as may be modified by The IIA from time-to-time with or without specific notice to you (the "**Terms of Use**"). These Terms of Use constitute a binding contract between The IIA and you. You are responsible for regularly reviewing the Terms of Use. You can review the most current version of the Terms of Use at any time by visiting The IIA Web site at www.globaliia.org. If you do not wish to be bound by these Terms of Use, please do not access or use any content or functionality accessible on The IIA website, or immediately discontinue such use.

### USE OF PERSONAL DATA

To complete the application for IIA Certification and/or membership, you will be required to provide The IIA with some personal information including contact information and information about your qualifications for certification and/or membership. Please see The IIA privacy policy on The IIA's Global website for details regarding the protection and use of this data.

It is your responsibility to ensure that you maintain the most current data in your record within CCMS. Please maintain up-to-date contact information as changes occur so you stay informed about important announcements regarding your certification(s).

As part of the application and examination process, The IIA may allow access to database information by third parties that provide technical services, but only to the extent necessary to provide you with those services.

### CONTENT OF THE IIA WEB SITE/LICENSE GRANT

The IIA website and all of its contents including but not limited to all information, text, and images located on The IIA website (collectively, "Content") is owned by The IIA and all rights are reserved to The IIA unless otherwise noted. The IIA grants you a limited license to access and use the Services and Content accessible at The IIA website solely for informational, personal, and non-commercial purposes. All Content provided through The IIA website is provided to you AS IS, and you agree that your use of and reliance on any Services or Content is at your own risk, and that under no circumstances shall The IIA be liable for any losses of any kind suffered by you that may be proximately caused by your use of the Services or Content accessible at The IIA website.

### USE OF THE IIA WEB SITE

Unless specified otherwise, The IIA offers you access to The IIA website solely for your personal and non-commercial uses. You agree to only access or use The IIA website for legal purposes that are permitted by these Terms of Use.

### REGISTRATION AND SECURITY

When you register, you must select a password and a user name. You are responsible for maintaining the confidentiality of your password and user name. You should notify The IIA as soon as possible by contacting customer relations by phone at +1-407-937-1111 or email customerrelations@theiia.org about any known or suspected use of your account or of any known or suspected breach of security. The IIA is not liable for the unauthorized use of your account or for any loss or damage arising in particular from the non-compliance with the security measures mentioned in this section.

You agree that The IIA may in its sole discretion and at any time terminate your access to and use of The IIA website, or any part thereof, with or without notice to you. You further agree that use of The IIA website and any of its Services shall be immediately terminated if you violate these Terms of Use. In addition, The IIA reserves the right, in its sole discretion, to modify or discontinue the Services or access to Content, or any portion thereof, with or without notice, and without liability to you.

# GENERAL TERMS

## APPLICABLE LAW

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You agree that no joint venture, partnership, employment, or agency relationship exists between you and The IIA as a result of the Terms of Use or as a result of your accessing or using The IIA Web site, Services, or Content. The IIA's performance under the Terms of Use is subject to existing laws and legal process, and nothing contained in the Terms of Use is in derogation of The IIA's right to comply with governmental, court, and law enforcement requests or requirements relating to your access or use of The IIA website or information provided to or gathered by The IIA with respect to such use.

## SEVERABILITY/ENTIRE AGREEMENT

If any part of the Terms of Use, including but not limited to the warranty disclaimers and liability limitations contained herein, is determined to be invalid or unenforceable pursuant to applicable law, then the invalid or unenforceable provision will be deemed superseded by a valid, enforceable provision that most closely matches the intent of the original provision and the remainder of the Terms of Use shall continue in effect. Unless otherwise specified herein (or in any other definitive written agreement between you and The IIA), the Terms of Use constitutes the entire agreement between you and The IIA with respect to your access to and use of the Services and Content available on The IIA website and it supersedes all prior or contemporaneous communications and proposals, whether electronic, oral, or written, between you and The IIA with respect to the IIA website.

## NON DISCLOSURE AGREEMENT AND GENERAL TERMS OF USE

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

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YOU AGREE TO INDEMNIFY AND HOLD THE IIA, IIA AFFILIATES, DIRECTORS, OFFICERS, EMPLOYEES, MEMBERS, AND AGENTS HARMLESS FROM ANY AND ALL CLAIMS AND DEMANDS, INCLUDING BUT NOT LIMITED TO REASONABLE ATTORNEYS' FEES AND LITIGATION EXPENSES, MADE BY ANY THIRD PARTY DUE TO OR ARISING OUT OF ANY CONTENT, SUBMITTED, POSTED, OR OTHERWISE PROVIDED BY YOU TO THE IIA WEBSITE AND/OR IIA, OR ANY BREACH BY YOU OR YOUR AFFILIATES, EMPLOYEES, AGENTS, AND REPRESENTATIVES OF THESE TERMS OF USE.

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IF YOU ARE DISSATISFIED WITH ANY PORTION OF THE IIA WEBSITE, OR WITH ANY OF THESE TERMS OF USE, YOUR SOLE AND EXCLUSIVE REMEDY IS TO DISCONTINUE USING THE IIA WEBSITE.

### Copyright

## TO CONTACT THE IIA

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