



# CERTIFICATION

## Candidate Handbook

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This handbook provides certification information for The IIA's Certified Internal Auditor® (CIA®), Certification in Risk Management Assurance® (CRMA®), Qualification in Internal Audit Leadership® (QIAL®), and Internal Audit Practitioner® programs.

Please read this handbook carefully, as it contains conditions of The IIA's certification programs. It will take you through the certification process from start to finish and provide you with helpful tips for each step along the way.

***Steps to Certification:***

***Step 1 – Apply***

***Step 2 – Test***

***Step 3 – Verify***

***Step 4 – Maintain***

# INTRODUCTION

**The IIA** offers several core global designations: the Certified Internal Auditor® (CIA®), the Certification in Risk Management Assurance® (CRMA®), the Qualification in Internal Audit Leadership® (QIAL®), and the Internal Audit Practitioner®. IIA exams are offered in multiple languages. Visit [The IIA's website](#) to learn more about exam language offerings.



## CERTIFIED INTERNAL AUDITOR® (CIA®)

CIA is the only globally recognized internal audit certification. Becoming a CIA is the optimum way to communicate knowledge, skills, and competencies needed to effectively carry out professional responsibilities for any internal audit, anywhere in the world.



## CERTIFICATION IN RISK MANAGEMENT ASSURANCE® (CRMA®)

The CRMA is the only risk management assurance certification for internal auditors. The CRMA demonstrates their ability to focus on strategic risks, ensure and enhance value to their organization through risk assurance on core business processes, and educate management and the audit committee on risk and risk management concepts.



## QUALIFICATION IN INTERNAL AUDIT LEADERSHIP® (QIAL®)

The QIAL program focuses on leadership capabilities, as applied specifically to chief audit executives (CAEs) or audit company leaders in the key areas of leading the audit function, influencing strategy and organizational performance, providing opinion and insight, advocating innovation and change, and championing ethics and social responsibility.



## INTERNAL AUDIT PRACTITIONER®

The Internal Audit Practitioner program is a way for new and rotational auditors to quickly demonstrate internal audit aptitude as they endeavor to take the first step on their journey into internal auditing.

Certification processes, pricing, and taxes may vary in countries where exams are administered through agreements with IIA affiliates. For example, if you reside in South Africa, you must be a member of IIA–South Africa to participate in the global certification programs. Likewise, if you reside in the United Kingdom or Ireland, you must be a member of IIA–United Kingdom/Ireland to participate in the global certification programs. Candidates from the following countries must refer to their local IIA affiliate website or contact their local representative for more information about local certification processes:

Belgium

Brazil

Czech Republic

Korea

Japan

Indonesia

Pricing information can be found [here](#).

**ALERT:** All sales are final and nonrefundable. If you believe the price provided to you via the [Certification Candidate Management System \(CCMS\)](#) is incorrect, do not complete the transaction. Instead, log a case through CCMS, and a certification administrator will contact you.



To receive the IIA member discount on your certification application and registration fees, your membership must be fully processed before you submit your application form. You may check with your local IIA affiliate (or your audit group coordinator if your employer is an IIA audit group member) to verify the status of your membership.

There are four primary steps to become certified and maintain your certification: apply, take and pass all exam parts, verify experience, and report continuing professional education. The IIA's [CCMS](#) will guide you through the journey.

# STEP 1

## Apply

### Eligibility Requirements

**To obtain certification** you must complete all program entry and exit requirements, maintain exam confidentiality, and adhere to The IIA's Code of Ethics.

Familiarize yourself with the eligibility requirements to ensure you qualify and agree to the program's terms and conditions. When you apply to a program, you will be required to certify that you will abide by the provisions of The IIA's Code of Ethics and that you have reviewed all the conditions of the certification program for which you are applying (which are found in this Certification Candidate Handbook). Eligibility requirements for each program can be found in Appendix E.

### Create a Profile in the Certification Candidate Management System (CCMS)

**All certification candidates** must have an IIA Global Account to create a profile in CCMS. An IIA Global Account allows you to apply for certification programs, become an IIA member, register for events, view and post jobs, and purchase products. Creating an IIA Global Account and profile in CCMS is easy to do, and there is no cost to do so.

If you already have a profile in CCMS but some time has passed since you last logged in, you should verify your information to ensure your account is accurate and current. If you forgot your CCMS password, you are able to reset your password on the CCMS sign-in page.

Visit [CCMS](#) to access or create your IIA Global Account and profile. If you experience any difficulties, please contact Customer Relations at [CustomerRelations@theiia.org](mailto:CustomerRelations@theiia.org) or +1-407-937-1111.

### Application and Payment Options

**Select the certification program of your choice** in CCMS to begin the application process. Payment can be made by credit card (recommended for faster service) or wire transfer. Please note that wire transfers may take several weeks to process. Invoices and receipts may be obtained by selecting "My Orders."

Once payment is processed by The IIA, you have 90 days to complete the application process. Follow the on-screen instructions to complete the application.



To receive the IIA member discount on your certification application and registration fees, ensure that your membership is fully processed and visible on your CCMS account *before* you submit your application form. To verify the status of your membership, check with your local IIA affiliate. If your employer is an IIA audit group member, you may also check with your audit group coordinator.

## Upload Required Documents

**In order for The IIA** to verify that you meet the entry requirements for the certification program you selected, you must provide the required documentation. Documents submitted in languages other than English must be accompanied by an English translation. Translations may be completed by anyone fluent in the English language and must be signed and dated by the individual who performed the translation.

## Proof of Identity

**Proof of identity** is required to apply to all IIA certification programs. The identification submitted must be current and valid. The following chart lists acceptable and unacceptable forms of identification.

ACCEPTABLE FORMS OF ID	UNACCEPTABLE FORMS OF ID
Government-issued driver's license	Employee ID or work badge
Passport	University or college ID
Military ID	Insurance card
Alien registration card (green card, permanent resident visa, etc.)	Selfie or photo ID without name
Government-issued local language ID (plastic card with photo and signature, accepted only if issued from the country in which the candidate is testing)	Expired photo ID

When you are ready to sit for your exam(s), you will be required to show your identification. Please note that the identification you present on the date of your exam(s) must match the information in your CCMS profile. To correct the current name on your CCMS account, please select "Submit a Name Change Request" on the CCMS homepage, then complete the steps and document upload.



# Proof of Education

If your program requires proof of education, CCMS will guide you through providing one of the following documents as proof of education:

- A copy of your degree or official transcripts. (If your name has changed since you earned your degree, you must also include your legal name change document.)
- A letter from your college or university confirming your degree.
- A letter from an academic evaluation service confirming your degree level.

# Complete the Character Reference Process

The basis for your proof of character is [The IIA's Code of Ethics](#). CCMS will guide you through the automated character reference process.

# Special Accommodations

The IIA will make reasonable testing accommodations for certification candidates when appropriate and consistent with legal requirements, such as for candidates with a documented disability that substantially limits their ability to read or otherwise complete the examination.

If you anticipate needing any special testing accommodations, please download [The IIA's Official Accommodations Application](#) during the program application process. You will be instructed to upload your completed form and any other relevant supporting documentation. If you have any questions about certification accommodations, please email [certaccommodations@theiia.org](mailto:certaccommodations@theiia.org).

# Program Eligibility Extensions

Once approved into the certification program of your choice, you must meet all eligibility requirements and complete the program before your eligibility expiration date, unless you purchase a one-time extension. To extend your program window by one year, the program extension process must be completed in CCMS prior to your program expiration date. If your program eligibility expires before you have completed all the necessary requirements to receive your certification, you may reapply; however, you will be required to retake any exams you passed during your previous eligibility window.

# Hardship Extensions

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



# STEP 2

## Test

**You must complete** all entry requirements and be approved into a certification program before you are eligible to register and schedule your exam(s). In most cases, you will have a choice of taking your exam at a Pearson VUE test center or via online proctoring. (Online proctoring is not available for some exams and is limited to certain regions.) If you are considering scheduling an online proctored exam, please refer to [Appendix D](#) for alternative policies and testing procedures.

### Exam Registration Payment

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

- If you believe the price shown is incorrect for any reason, do not complete your registration. Instead, open a case within CCMS.
- No exam fee refunds or credits will be made once you accept the price and complete the purchase; registration fees cannot be refunded once payment has been submitted.
- Fees paid through CCMS cannot be transferred from one registration to another.
- Wire transfers may take several weeks to process; paying with a credit card shortens processing time.

Once payment is complete, your exam authorization window is 180 days or until your program expiration date, whichever comes first. (Exams cannot be taken after a program expires.) You must schedule and take your certification exam within the exam authorization window.

### Schedule an Exam

**Pearson VUE** test center schedules and online testing schedules vary and may change often. However, most test centers are open five or six days per week during normal business hours (based on local conditions) throughout the year. You are encouraged to schedule your exam through CCMS as soon as possible. The earlier you schedule, the better your chances of reserving a date, time, and location that is convenient for you. Walk-ins are not accepted; you must have a scheduled appointment to sit for an exam.

#### ***The IIA and Pearson VUE***

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

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

- Visit [Pearson VUE's customer service webpage](#) to find the appropriate phone number for your location. Many customer service centers have toll-free numbers for your convenience.
- Find a list of test center locations on the [Pearson VUE website](#), and select your preferred location before you call.
- Have your first, second, and third choices of dates and times in mind before you call.
- Provide the Pearson VUE customer service center representative with your IIA candidate ID number, and you will be guided through the scheduling process.

**ALERT:** Do not call a specific test center to schedule or cancel an exam. Only Pearson VUE customer service representatives can assist you.

## Exam Eligibility Extensions

**When you register** for an exam, your exam window is open for 180 days or until your program expiration date, whichever comes first. Failure to meet the deadline will invalidate your registration (you will forfeit any fees paid, and you will have to reregister and remit payment again).

If needed, you may purchase a one-time extension to your exam eligibility through [CCMS](#). The extension allows an additional 60 days (or until your program expiration date, whichever comes first) to sit for the exam. The exam eligibility extension will not be granted beyond your program expiration date.

## Receiving Confirmation

**After you schedule** your exam, Pearson VUE will email you an appointment confirmation that includes information about the test center location or online testing option selected. If you do not receive an email from Pearson VUE stating that you are scheduled for an exam, contact [Pearson VUE customer service](#) immediately, as this may indicate that your appointment was not properly recorded.

## Failure to Appear

**You are expected to be present** with appropriate government-issued ID on the date of the exam. If you do not appear for your exam on the scheduled date at the scheduled location and time, your registration will be voided, a “No-Show” status will be marked in your CCMS account, and you will forfeit your exam registration fee. No refund will be provided. If a “No-Show” status is issued, you will need to complete a new exam registration with payment to schedule another test date. Pearson VUE is responsible for declaring the “No-Show” status. Contact Pearson VUE directly if you wish to submit an appeal.

# Changing an Exam Appointment

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

**China Policy:** The required timing for making changes to an exam appointment and related fees are different in China. All changes must be completed no later than 48 hours prior to the opening of the test window in which your appointment is confirmed.

## Sit for the Exam

**Whether you are scheduled** to take your exam(s) via online proctoring or at a test center, The IIA highly recommends that you familiarize yourself with the basics of computer-based testing (CBT) before your exam day arrives. Visit [The IIA's website](#) for a tutorial on CBT. This tutorial is not available at the test center.

If you are scheduled to take your exam at a test center, plan to arrive at your test center location at least 30 minutes prior to your scheduled appointment time. If you arrive fewer than 30 minutes before your appointment, you may be denied access and considered a "No-Show." If you arrive after your scheduled appointment time, you will not be admitted to sit for the exam, and you will be considered a "No-Show."

You are required to present a government-issued photo ID containing your name exactly as you provided it during the program application process. Your ID must contain your name and country exactly as you provided it during the application process. The ID information must be consistent with your CCMS profile and the name that appears on your Pearson VUE exam appointment. Depending on the test center, you also may be required to provide a fingerprint or palm vein image.

**ALERT:** If you do not present a valid, current, and acceptable ID at the time you are scheduled to take your exam, you will not be permitted to take your exam, and you will be considered a "No-Show," even though you appeared at the test center. No refund will be provided.

Test centers will not require any payment from you (with the exception of countries where a local tax must be collected). If you are asked to submit any fees directly to the test center, contact [Pearson VUE customer service](#).

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



# Before Starting the Exam

**Once you have** completed the check-in procedures at the test center, the exam administrator will escort you to your workstation, where you must remain for the duration of your time at Pearson VUE, unless you are authorized to leave the room. Once you have been seated at your exam workstation, the administrator will log you into your exam. You will be asked to confirm that the exam shown on the screen is the exam you are scheduled to take.

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

These initial screens do not count toward your exam time. However, please be aware that there is a separate time limit on these initial screens, and if that time limit is exceeded, the exam will begin automatically.

## Taking the Exam

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

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

The IIA and Pearson VUE take exam security and candidate conduct seriously. Test center employees are trained to watch for unusual behavior, and their real-time monitoring is reinforced by audio and video recording of the exam sessions. See [Appendix A](#) for more information about exam security and the consequences of misconduct.

If you encounter a computer problem, report it immediately to the exam administrator and ask the proctor to log a case. Please refrain from asking test center employees questions about the exam content or exam scores. They are unable to assist you with these matters. If you have any concerns regarding your exam experience, contact [Pearson VUE customer service](#).

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

### ***Unexpected Closure of Your Test Center Location***

*If the test center location that you selected closes or is otherwise unavailable on the day of your scheduled exam, Pearson VUE will contact you. However, if you are unsure whether your test center is open on the day of your scheduled exam due to inclement weather or other unexpected local issues, call the test center directly. If it is open, it is your responsibility to keep the appointment. If it is closed, you will be given the opportunity to reschedule without penalty or fee.*

*If you are unable to contact the local test center, please contact [Pearson VUE customer service](#).*



# Receiving Your Score

**Each exam question** that contributes to your score has been pretested to ensure statistical validity. Your raw score is calculated based on the number of questions answered correctly and is converted to a reporting scale ranging from 250 to 750 points. A score of 600 or higher is required to pass an IIA exam; however, if you passed the exam, your score report will indicate just that — no numeric score will be provided. Score reports for a failed exam will include a numeric score and a list of the syllabus domain areas where improvement is needed. When you complete your exam at the test center, you will receive a printed unofficial score report.

Your exam record will be updated in CCMS, and a notification will be sent to the email address listed in your profile (typically within 48 hours after you complete your exam). Score reports are not available directly in CCMS. Your CCMS account will only show whether an exam was passed. To obtain a score report, log into CCMS, select “Access Pearson VUE,” then select “View Score Report.”

If The IIA determines that your exam results require further analysis, there may be a delay in updating your exam record in CCMS, and you will be notified via email. The analysis may take 4 to 6 weeks to complete. Additionally, The IIA reserves the right to invalidate exam results at any time for misconduct, score anomalies, or breaches of The IIA’s Code of Ethics.

# Retaking the Exam

**The IIA’s Retake Policy** does not currently limit the number of times you may attempt to successfully complete an exam part during your program eligibility window.

The earliest appointment date that you will be able to schedule and retake a failed exam is 60 days from the date you last took that exam. You must complete a new registration with payment to retake a failed exam. If you do not complete your certification program within the program eligibility window, you will forfeit all fees paid and exam(s) passed.

You are not permitted to retake an exam that you previously passed, unless your certification program window has expired. If you need to retake an exam or exam part that you previously passed (because your certification program window expired), the earliest exam appointment date that you can select will be 60 days from the date you last took that exam.



# STEP 3

## Verify

**Proof of experience** is typically an exit requirement for IIA certification programs. You may complete the experience verification any time after your application has been approved, but once you pass the required exam(s), your experience must be verified for you to become certified.

### Complete the Proof of Experience Process

**Even if you pass** your exam(s), your certification will not be granted until your submitted proof of experience has been verified by The IIA. CCMS will guide you through the automated proof of experience process.

### Receive Notification of Certification

**When you have met** all program requirements for a particular certification program, you will receive notification (at your primary email address in your CCMS profile) that you are certified, and you may begin displaying tangible evidence of your accomplishment. Additionally, if you choose to opt in, your name and certification will be included in [The IIA Certification Registry](#).

**I am a Certified Internal Auditor.**



# STEP 4

## Maintain

**To maintain** your certification, you must earn and report continuing professional education (CPE) credit hours — including two hours of ethics training — by 31 December annually, in accordance with The IIA's [CPE Policy](#).

If you fail to meet your CPE requirements by the reporting deadline, you will automatically be placed in "Grace Period" status and may not use your certification until the requirements are met. If your certification status remains in "Grace Period" for more than 12 months due to non-reporting, you will automatically be placed in an "Inactive" status and will be required to complete a reinstatement application to reactivate your certification. Fees apply. To reinstate an "Inactive" designation, you will be required to evidence CPE credit earned during the 12 months preceding the date that the reinstatement application is submitted.

Each year, The IIA randomly samples a percentage of all certified individuals who report CPE hours to confirm conformance with The IIA's CPE Policy. If you are selected for an audit, you will be required to submit your CPE certificates as evidence of the hours you reported. If you fail to comply, your certification status will become "Inactive."

## Displaying Your Certification

**On-demand** electronic certificates in PDF format are available 24/7 for individuals who maintain an "Active" status. If desired, a printed certificate may be ordered for a fee. The [IIA frame store](#) includes several options for displaying your certification certificate, which can be customized.

## Certification Registry

**In addition**, you may opt in to [The IIA Certification Registry](#). The IIA Certification Registry is an up-to-date public record of individuals who have earned an IIA certification and maintain it by reporting CPE to keep their credential(s) active. The IIA Certification Registry also is an opportunity for employers and recruiters to verify certification. All active IIA certification holders who voluntarily opt in will be included in the registry. An individual whose certification is not active will not be included in The IIA Certification Registry.

The IIA does not provide letters of verification for certification holders. Individuals seeking verification of their designation must opt in to The IIA Certification Registry.

## Social Badging

You can also tell your professional story on popular social and professional networking sites, personal websites, or in emails with web-enabled certification badges. To learn more, visit The IIA's [Social Badging webpage](#). Social Badging is not available in all regions.

Questions or concerns related to your certification should be sent to The IIA by submitting a case through your CCMS account.



# APPENDIX A

## Exam Security

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

Existing security safeguards and procedures include ongoing forensic analyses to identify irregular testing patterns that might indicate fraud and enable suspicious activity to be identified quickly and proactively.

### Ethics Violations and Misconduct

**Unauthorized possession**, reproduction, publication, or disclosure of any IIA exam materials — including storing or disclosing exam questions to any person or entity by any means before, during, or after the exam — is prohibited and can result in program disqualification or other appropriate censure. Examples of ethics violations and misconduct include:

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

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

### Reporting Violations

**Everyone** — including candidates, volunteers, members, certified individuals, and the public — has a role in ensuring that The IIA's exam information and intellectual property remains confidential. If you witness unusual or inappropriate behavior at a test center related to IIA exam content, receive or become aware of offers/advertisements for the sale of IIA certification exam questions and answers, or if you have questions, comments, or concerns regarding exam security, please contact IIA Exam Security at [examsecurity@theiia.org](mailto:examsecurity@theiia.org) to provide information confidentially.



# Consequences of Violations

**The IIA's exams** are confidential and secure, protected by civil and criminal laws of the United States and elsewhere. If The IIA discovers any violation or irregularity on or after the exam day, The IIA may withhold or invalidate your exam score(s). Irregularities that may cause The IIA to question the validity of exam scores include, but are not limited to:

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

The IIA will investigate all instances of alleged misconduct, irregularities, or breaches of The IIA's Code of Ethics. The IIA has the right to withhold or invalidate any exam score when, in The IIA's judgment, there is a good faith basis to question the validity of a score for any reason. The IIA may take additional action against a candidate in accordance with its [Ethics Case Procedures](#) and to the extent permitted by law.

# APPENDIX B

## Helpful Links

<b>BEFORE APPLICATION</b>	
The IIA	<a href="https://global.theiia.org/Pages/globaliiaHome.aspx">https://global.theiia.org/Pages/globaliiaHome.aspx</a>
IIA Privacy Policy	<a href="https://na.theiia.org/about-us/Pages/Privacy-Policy.aspx">https://na.theiia.org/about-us/Pages/Privacy-Policy.aspx</a>
IIA Membership	<a href="https://join.theiia.org">https://join.theiia.org</a>
IIA Certifications	<a href="https://global.theiia.org/certification/Pages/Certification.aspx">https://global.theiia.org/certification/Pages/Certification.aspx</a>
Internal Audit Practitioner	<a href="https://global.theiia.org/certification/cia-certification/Pages/Internal-Audit-Practitioner.aspx">https://global.theiia.org/certification/cia-certification/Pages/Internal-Audit-Practitioner.aspx</a>
CIA	<a href="https://global.theiia.org/certification/cia-certification/Pages/Eligibility-Requirements.aspx">https://global.theiia.org/certification/cia-certification/Pages/Eligibility-Requirements.aspx</a>
CRMA	<a href="https://global.theiia.org/certification/crma-certification/Pages/Eligibility-Requirements.aspx">https://global.theiia.org/certification/crma-certification/Pages/Eligibility-Requirements.aspx</a>
QIAL	<a href="https://global.theiia.org/qial/Pages/QIAL-Candidate-Handbook-Syllabus-and-Other-Documents.aspx">https://global.theiia.org/qial/Pages/QIAL-Candidate-Handbook-Syllabus-and-Other-Documents.aspx</a>
CCMS	<a href="https://www.theiia.org/ccms">https://www.theiia.org/ccms</a>
<b>DURING THE APPLICATION PROCESS</b>	
Accommodations Application	<a href="https://dl.theiia.org/Documents/IIA-Accommodations-Application.pdf">https://dl.theiia.org/Documents/IIA-Accommodations-Application.pdf</a>
Code of Ethics	<a href="https://global.theiia.org/standards-guidance/mandatory-guidance/Pages/Code-of-Ethics.aspx">https://global.theiia.org/standards-guidance/mandatory-guidance/Pages/Code-of-Ethics.aspx</a>
Computer-based Testing Tutorial	<a href="https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx">https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx</a>
Ethics Case Procedures	<a href="https://na.theiia.org/standards-guidance/Public%20Documents/Ethics-Case-Procedures.pdf">https://na.theiia.org/standards-guidance/Public%20Documents/Ethics-Case-Procedures.pdf</a>
Exam Language Offerings	<a href="https://global.theiia.org/certification/Pages/Exam-Language-Offerings.aspx">https://global.theiia.org/certification/Pages/Exam-Language-Offerings.aspx</a>
Exam Security	<a href="http://www.theiia.org/examsecurityGL">www.theiia.org/examsecurityGL</a>
Exam Tutorial	<a href="https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx">https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx</a>
Payment Options	<a href="https://global.theiia.org/about/about-the-iia/Pages/Payment-Options.aspx">https://global.theiia.org/about/about-the-iia/Pages/Payment-Options.aspx</a>
Pearson VUE	<a href="http://www.pearsonvue.com/iia">www.pearsonvue.com/iia</a>
Pearson VUE Customer Service	<a href="http://www.pearsonvue.com/iia/contact/">http://www.pearsonvue.com/iia/contact/</a>



Pearson VUE's OnVUE	<a href="https://home.pearsonvue.com/iiia/onvue">https://home.pearsonvue.com/iiia/onvue</a>
Photo ID Policy	<a href="https://www.theiia.org/exam-id">https://www.theiia.org/exam-id</a>
Pricing Structure (North America)	<a href="https://na.theiia.org/certification/Pages/Pricing-Structure.aspx">https://na.theiia.org/certification/Pages/Pricing-Structure.aspx</a>
Pricing Structure (outside North America)	<a href="https://global.theiia.org/certification/Pages/Pricing-Structure.aspx">https://global.theiia.org/certification/Pages/Pricing-Structure.aspx</a>
Study Resources	<a href="https://global.theiia.org/certification/enrolled/Pages/Exam-Preparation-Resources.aspx">https://global.theiia.org/certification/enrolled/Pages/Exam-Preparation-Resources.aspx</a>
What to Expect at a Pearson VUE Test Center	<a href="https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx">https://global.theiia.org/certification/Pages/CBT-Exam-Tutorial.aspx</a>

## AFTER CERTIFICATION

CPE Policy	<a href="http://www.theiia.org/CPE-Policy">www.theiia.org/CPE-Policy</a>
CPE Reporting	<a href="https://global.theiia.org/certification/certified/Pages/CPE-Requirements.aspx">https://global.theiia.org/certification/certified/Pages/CPE-Requirements.aspx</a>
CPE Reporting Steps	<a href="https://global.theiia.org/certification/certified/Pages/CPE-Reporting-Steps.aspx">https://global.theiia.org/certification/certified/Pages/CPE-Reporting-Steps.aspx</a>
Social Media and Badging	<a href="https://global.theiia.org/certification/Pages/Certifications-Social-Media-and-Badging.aspx">https://global.theiia.org/certification/Pages/Certifications-Social-Media-and-Badging.aspx</a>
Certification Registry	<a href="https://global.theiia.org/certification/Pages/The-IIA-Certification-Registry.aspx">https://global.theiia.org/certification/Pages/The-IIA-Certification-Registry.aspx</a>
Certification Frames	<a href="https://global.theiia.org/certification/Pages/Certifications-Merchandise.aspx">https://global.theiia.org/certification/Pages/Certifications-Merchandise.aspx</a>

# APPENDIX C

## Nondisclosure Agreement and General Terms of Use

**Prior to starting** the exam, you will be asked to read and accept the terms below. If you do not accept the terms, your exam will not be delivered and you will forfeit the exam fee. You are advised to review the following terms in advance of your exam day.

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I agree to comply with and be bound by The IIA's rules, including this nondisclosure agreement and general terms of use.

I understand that The IIA's exam is confidential and secure, protected by civil and criminal laws of the United States and elsewhere. This exam is confidential and is protected by copyright law.

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

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

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

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

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

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# APPENDIX D

## Online Proctored Exams

An **online proctored exam** is delivered online — rather than in a test center — and the exam taker is supervised by a remote proctor via the exam taker's webcam. This type of exam delivery is also known as remote proctoring, remote online proctoring, or remote invigilation. Online proctoring is a great option for those who prefer the convenience of testing from the comfort of their home or office. There is no difference in the level of difficulty between exams offered in test centers or via online proctoring. However, there are some differences to the test processes outlined in the ["Step 2: Test" section](#) of this handbook. These differences are outlined below.

### Software and Hardware Requirements

The IIA **highly recommends** that you ensure your testing computer is compatible with the online proctored software prior to scheduling an online proctored exam appointment. Please check the list of minimum system requirements at [Pearson VUE's OnVUE website](#) and perform a system test to ensure that your system is compatible with the OnVUE online proctoring software.

The two most frequent causes of technical issues with online proctored exams are:

- Using a work-issued computer.
- Having an unreliable internet connection.

Firewalls or security settings from work-issued computers may restrict the online proctoring software from operating properly. Unreliable internet connections (wireless network, VPN, mobile hotspot) may lead to spontaneous disconnection. Therefore, The IIA strongly recommends that you use a personal computer (not issued from your employer) and a wired Ethernet connection.

**ALERT:** If Pearson VUE determines that a test session failure is a result of your internet connectivity or testing device, your exam fees will be forfeited, and you will be required to reregister and pay associated fees in accordance with [The IIA's Retake Policy](#).

### Schedule an Exam

To **schedule an online proctored exam** through CCMS, simply select the option "At my home or office" on the "Select Exam Delivery Option" page. Exams can be scheduled 24 hours per day, every quarter hour (e.g., 11:30 a.m., 11:45 a.m., 12:00 p.m., 12:15 p.m., etc.). You may be able to schedule and take your exam on the same day, depending on availability. When scheduling your online proctored exam, you must read and agree to the admission policy for online testing.



# Failure to Appear

**Once your exam appointment** is confirmed, you are expected to be ready to take the exam in an appropriate test environment at the scheduled time. (Specific test environment requirements are outlined below.) Being late for your exam is not an option. To allow time for the check-in procedure, please be ready when the check-in window opens (30 minutes before the exam start time). It is important to confirm the date, time, and time zone of your appointment, as online testing is offered 24 hours per day. If you do not appear for your scheduled exam, a “No-Show” status will be marked in your record, and you will forfeit your exam registration fee. If a “No-Show” status is issued, you will need to complete a new exam registration with payment to schedule another test date.

## Before Starting the Exam

**You will be able to start checking in** for your exam 30 minutes prior to your scheduled appointment time. To allow time for the check-in procedure, please be ready when the check-in window opens. There are two ways to access your online proctored exam:

- Select the “Check-in” link on your Pearson VUE appointment confirmation email, or
- Select “Access Pearson VUE” from your CCMS account, and select the exam link.

If the “Begin exam” button is not visible, you are either too early or too late for your exam. Please check your appointment details to make sure you’re trying to start the scheduled exam at the proper time.

You will be required to communicate with the proctor in English or Japanese. During the check-in process, you will be asked to take photos and/or video of your work area, which will be inspected by a proctor prior to starting the exam. Please ensure that you are in a well-lit room for the proctor to see you and your workspace. Avoid exam locations with a light source behind you (such as a window or bright lamp). An artificial light source is recommended, as the availability of natural light may change over the course of your exam appointment.

You are required to have a quiet space without any noise or other distractions. In addition, the following requirements apply to online proctored exams:

- Your desk must be clean, and you cannot be within arm’s reach of books, notepads, sticky notes, papers, pens, pencils, or other writing instruments/objects.
- Additional monitors and computers must be unplugged and turned off, and all smart accessories and devices must be removed from the area and turned off.
- Items on the wall with writing on them, such as whiteboards, will be inspected.
- Watches must be removed and placed out of sight/reach during the exam.
- Water in a clear glass is allowed during testing; however, eating, smoking, and chewing gum are prohibited.

If your work area does not pass inspection, you will not be permitted to proceed with taking the exam.

**ALERT:** If you fail to start your exam at the appointed time or if your test environment does not meet the criteria specified within this handbook, your registration will be voided, a “No-Show” status will be marked in your record, and you will forfeit your exam registration fee.



# Taking an Exam

**Breaks are not permitted** during the test session. In addition, the following candidate conduct requirements apply for online proctored exams:

- You must be in full view of the webcam and visible to the proctor at all times.
- You may not leave the webcam view at any time after your exam has started.
- Exam questions may not be read aloud.
- You are not permitted to use exam-specific materials or scratch paper, erasable whiteboards, or any other physical writing object (e.g., pen, marker, or pencil).
- You may not access the following items: mobile phones, headphones or headsets (wired or Bluetooth), handheld computers or other electronic devices, pagers, watches, wallets, purses, hats (or other head coverings), bags, coats, books, notes, or any other materials not specifically approved.
- No third party may enter the room during your exam.

As the exam candidate, you are ultimately responsible for ensuring that you comply with expected conduct and your work area meets all of the requirements.

**ALERT:** If you engage in any misconduct, your test session will be terminated. Exams ended by a proctor due to misconduct are considered forfeitures and will not be refunded.

# Receiving Your Score

**You may obtain your score report** 24 hours after concluding your exam by selecting “Access Pearson VUE” on your CCMS homepage, then selecting “View Score Report.” If you did not pass, your score report will contain a numeric score and a list of the syllabus domain areas where improvement is needed. You will also be notified by email with your exam results.

# Exam Security Considerations

**There are several ways** online proctored exams are secured to maintain the integrity of the exam. Pearson VUE utilizes a secure browser that restricts your ability to open and use additional windows and programs during your exam session. You are required to provide real-time photographs and/or video of the testing environment. In addition, Pearson VUE's exam proctors are trained to watch for and detect any behavior that may be in violation of test taker policies. If you appear to be in violation of any test taker policies, the proctor may terminate your exam at any time. Exams terminated by a proctor due to violations are considered forfeitures and will not be refunded. To review the full description of online proctored exam policies and procedures, visit [Pearson VUE's OnVUE website](#).

You are expected to exhibit the highest ethical conduct while taking the exam, regardless of location or proctoring method. Please see [Appendix A](#) of this handbook for additional details regarding ethics violations, misconduct, and related consequences.

If you have questions, comments, or concerns regarding exam security, contact IIA Exam Security at [examsecurity@theiia.org](mailto:examsecurity@theiia.org) to provide information confidentially.



# APPENDIX E

## Program Eligibility Requirements

### Internal Audit Practitioner® Eligibility Requirements

**Candidates in the Internal Audit Practitioner** program agree to accept the conditions of the program, including fulfilling eligibility requirements, maintaining exam confidentiality, and abiding by [The IIA's Code of Ethics](#), along with other conditions enacted by The IIA's Professional Certifications Board (PCB).

The entry requirements for the Internal Audit Practitioner program are: (1) a valid government-issued ID and (2) a character reference. Before an Internal Audit Practitioner candidate application can be approved, all documentation (character reference and identification) must be received and approved by The IIA's Certification staff.

The Internal Audit Practitioner program eligibility period is two years. Candidates approved into the Internal Audit Practitioner program have two years to successfully complete the Internal Audit Practitioner exam from the date they are approved into the program.

ENTRY REQUIREMENTS		EXIT REQUIREMENT
Valid Government-issued ID	Character Reference	Internal Audit Practitioner Exam
X	X	X

Upon successful completion of the exam, candidates will be awarded the Internal Audit Practitioner designation, which will remain active for three years. The designation cannot be extended beyond three years. There are no continuing professional education (CPE) requirements for the Internal Audit Practitioner designation. Individuals with an active Internal Audit Practitioner designation can opt in to be listed on [The IIA Certification Registry](#).

Candidates with an active Internal Audit Practitioner designation may apply for the CIA program without the required education. If a candidate's Internal Audit Practitioner designation is no longer active (i.e., more than three years have passed), the candidate will need to meet the established education and/or experience requirements to apply for the CIA program. Visit the [CIA Eligibility Requirements webpage](#) for more information.

More information about the Internal Audit Practitioner program can be found on [The IIA's website](#).

# Certified Internal Auditor® (CIA®) Eligibility Requirements

**Candidates in the CIA** program agree to accept the conditions of the program, including fulfilling eligibility requirements, maintaining exam confidentiality, abiding by [The IIA's Code of Ethics](#), and earning and reporting [Continuing Professional Education \(CPE\)](#), along with other conditions enacted by The IIA's Professional Certification Board (PCB).

CIA candidates must meet the following entry and exit program requirements to obtain the CIA designation. (The required experience is based on the candidate's education level, as indicated in the following program requirements table.)

ENTRY REQUIREMENTS			EXIT REQUIREMENTS	
Education**	Valid Government-issued ID	Character Reference	CIA Exam Parts 1, 2, and 3	Experience
Master's Degree*	X	X	X	1 year internal audit experience*
Bachelor's Degree*	X	X	X	2 years internal audit experience*
Active Internal Audit Practitioner Designation	X	X	X	5 years internal audit experience*

\*Or equivalent

\*\*Candidates who do not have a university-level degree or hold an active Internal Audit Practitioner designation may be approved into the CIA program if they already have five years of internal audit experience.

Before a candidate application can be approved, all entry requirement documentation (proof of education, character reference, and identification) must be received and approved by The IIA's Certification staff. Once approved into the program, candidates will have three years to complete all exit requirements from the date they are approved into the program.

Candidates with a university-level degree or an active Internal Audit Practitioner designation may apply to the certification program and sit for exams prior to obtaining the required work experience. However, candidates will not be certified unless the experience requirement is met within the three-year program eligibility period.

## Equivalent Experience

Experience in the following areas is considered equivalent to internal audit experience:

- Quality Assurance
- Risk Management
- Audit/Assessment Disciplines
- Compliance
- External Audit
- Internal Control

More information about the CIA program can be found on [The IIA's website](#).



# Certification in Risk Management Assurance® (CRMA®) Eligibility Requirements

**Candidates in the CRMA** program agree to accept the conditions of the program, including fulfilling eligibility requirements, maintaining exam confidentiality, abiding by [The IIA's Code of Ethics](#), and earning and reporting [Continuing Professional Education \(CPE\)](#), along with other conditions enacted by The IIA's Professional Certification Board (PCB).

Candidates must meet the following entry and exit program requirements to obtain the CRMA designation.

ENTRY REQUIREMENTS			EXIT REQUIREMENTS	
Certification	Valid Government-issued ID	Character Reference	CRMA Exam	Experience
Active CIA Designation	X	X	X	5 years internal audit and/or risk management experience*

*\*Or equivalent*

Before a candidate can be approved into the CRMA program, all entry requirements must be met, and documentation (character reference and identification) must be received and approved by The IIA's Certification staff.

The CRMA program eligibility period is two years. Candidates have two years — from the date they are approved into the program — to complete the exit requirements (i.e., successfully complete the CRMA exam and obtain the requisite work experience).

More information about the CRMA program can be found on [The IIA's website](#).

## Equivalent Experience

Experience in the following areas is considered equivalent to internal audit experience:

- Quality Assurance
- Risk Management
- Audit/Assessment Disciplines
- Compliance
- External Audit
- Internal Control



# Qualification in Internal Audit Leadership® (QIAL®) Eligibility Requirements

**Candidates in the QIAL** program agree to accept the conditions of the program, including fulfilling eligibility requirements, maintaining exam confidentiality, abiding by [The IIA's Code of Ethics](#), and earning and reporting [Continuing Professional Education \(CPE\)](#), along with other conditions enacted by The IIA's Professional Certification Board (PCB).

There are a variety of pathways for candidates to obtain the QIAL designation, depending on their active certifications and experience levels. The following chart depicts the entry and exit program requirements for these pathways.

CANDIDATE DESCRIPTION			ENTRY REQUIREMENTS			EXIT REQUIREMENTS		
	Active CIA	Audit Executive Experience	Valid ID	Character Reference	Overall Experience	Case Studies (CS)	PPE**	Presentation & Interview
Aspiring Leader	Yes	None	X	X	5 years internal audit*			
New Leader	Yes	Less than 3 years	X	X	10 years general management	Yes	No	Yes
	No	Less than 3 years	X	X	15 years general management			
Experienced Leader	Yes	3 or more years (recent)	X	X	10 years general management	No	Yes	Yes
	No	3 or more years (recent)	X	X	15 years general management			

\*Or equivalent

\*\*Portfolio of Professional Experience (PPE)

Before a candidate can be approved into the QIAL program, all entry requirements must be met, and documentation must be received and approved by The IIA's Certification staff. Candidates must have a minimum of five years of internal audit or equivalent experience to apply.

The QIAL program eligibility period is seven years. Candidates have seven years — from the date they are approved into the program — to complete the exit requirements.

More information about the QIAL program can be found on [The IIA's website](#).

## Equivalent Experience

Experience in the following areas is considered equivalent to internal audit experience:

- Quality Assurance
- Risk Management
- Audit/Assessment Disciplines
- Compliance
- External Audit
- Internal Control

The Institute of Internal Auditors (IIA) is an international professional association with global headquarters in Lake Mary, Florida, USA. With more than 200,000 members, The IIA is the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator.

There are more than 200,000 IIA certified individuals worldwide. In addition to global certification programs, IIA members enjoy benefits such as access to local, national, and global professional networking; world-class training; standards and guidance; research; executive development; career opportunities; and resources such as IIA Quality Services, LLC.



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