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

This handbook provides certification information for The IIA’s Certified Internal Auditor® (CIA®) and Certification in Risk Management Assurance® (CRMA®) programs. For information on the Qualification in Internal Audit Leadership® (QIAL®) and Internal Audit Practitioner programs, visit the QIAL and Internal Audit Practitioner web pages.

Please read this guide carefully. 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®), and the Qualification in Internal Audit Leadership® (QIAL®), as well as the Internal Audit Practitioner program.

CERTIFIED INTERNAL AUDITOR® (CIA®)

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

The CIA is a three-part exam that covers the knowledge, skills, and abilities that today’s internal auditors must demonstrate to achieve success. For details regarding the topic areas covered on the three parts of the CIA exam, please refer to the exam syllabi. The CIA is offered in multiple languages. Click here for a current list.

CERTIFICATION IN RISK MANAGEMENT ASSURANCE® (CRMA®)

The CRMA program includes two exams: Part 1 of the CIA exam and a separate CRMA exam, which covers governance, principles of risk management assurance, and assurance and consulting roles for internal auditors. For details regarding the topic areas covered on the CRMA exam, please refer to the exam syllabus. The CRMA exam is currently offered in English only.

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. Click here for more information.

THE INTERNAL AUDIT PRACTITIONER PROGRAM

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. Click here for more information.

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, 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 Institute website or contact their local representative for more information about local certification processes:

Brazil  Indonesia  Korea  Thailand  Czech Republic  Japan

Pricing information can be found here.

ALERT: If you believe the price provided to you via the Certification Candidate Management System (CCMS) is incorrect, do not submit your application form. 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 affiliate (or your audit group coordinator if your employer is an IIA audit group member) to verify the status of your membership.

There are three primary steps to become certified: apply, take and pass all exam parts, and verify experience. The IIA’s CCMS will guide you through the journey.

**STEP 1**

**Apply**

**Eligibility Requirements for CIA**

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

Familiarize yourself with the following eligibility requirements to ensure you qualify and agree to the program’s terms and conditions. More information is located here.

<table>
<thead>
<tr>
<th>ENTRY REQUIREMENTS</th>
<th>EXIT REQUIREMENTS</th>
</tr>
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<tbody>
<tr>
<td>Education</td>
<td>Government-issued ID</td>
</tr>
<tr>
<td>Master’s Degree (or equivalent)</td>
<td>X</td>
</tr>
<tr>
<td>Bachelor’s Degree (or equivalent)</td>
<td>X</td>
</tr>
<tr>
<td>Associate’s Degree, (or equivalent)</td>
<td>X</td>
</tr>
</tbody>
</table>

Completion of three A-level courses with grade C or higher is considered an associate’s degree equivalent. CRMA eligibility requirements vary; more information is located here.

**Program Eligibility Extensions**

Once approved into the certification program of your choice, you have three years to meet all eligibility requirements and complete the program, unless you request an extension. If your program eligibility expires before you have completed all the necessary exams to receive your certification, you may reapply for your program; however, you will have to retake any exams you passed in your previous eligibility window.
Hardship Extensions

A one-time extension of the certification program or exam eligibility window may be permitted for candidates who may have extenuating circumstances (for example, illness, maternity and paternity, death in the family, civil unrest, natural disaster, or military service). In this situation, 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 requests require supporting documentation.

Non-hardship Program Extensions

If you require a program extension for reasons other than hardship, you may be granted a one-time, one-year extension after completing a Program Extension through CCMS and paying the applicable fee. The 12-month extension will be granted from the original program expiration date.

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

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

Click here to access CCMS and create your profile. If you experience any difficulties, please contact Customer Relations at CustomerRelations@theiia.org or +1-407-937-1111.

Payment Options

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

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 following documentation:

- Proof of identity.
- Proof of education.

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 performing the translation.
# Proof of Identity

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

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

# Proof of Education

The 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.

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

Note that The IIA offers an alternate path to eligibility for candidates who do not possess the minimum education requirements. Candidates may now become eligible for the CIA, subject to approval, who possess seven years of verified experience in internal audit or its equivalent. More information can be found [here](#).

# Complete the Character Reference Process

The basis for your proof of character is [The IIA’s Code of Ethics](#). The 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 require testing accommodations, please download The IIA’s official Accommodations Application. During the application process, you will be instructed to upload your completed form and any other relevant supporting documentation.

** ALERT:** Once you have registered, you will have 180 days to schedule and sit for your exam.
STEP 2
Test

You must complete all entrance requirements and be approved into a certification program before you are eligible to register and schedule your exam(s).

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 your registration; registration cannot be undone once payment has been submitted.
- Fees paid through CCMS cannot be transferred from one registration to another.
- Registrations paid through CCMS with wire transfer may take several weeks to process; paying with a credit card or ACH shortens processing time.

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

Schedule an Exam

Pearson VUE test center schedules vary and may change often; however, most are open five or six days per week during normal business hours (based on local conditions) throughout the year. You are encouraged to schedule your exam 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.
Alternatively, you may schedule your exam by calling Pearson VUE customer service.

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

**ALERT:** Do not call a specific test center to schedule or cancel an exam. Only Pearson VUE customer service representatives can assist you. Test centers should not charge any additional fees; do not pay any fees directly to test centers. If you are asked to do so, please contact Pearson VUE customer service.

**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 and paying the applicable fee. 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 you 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 for Your Scheduled Exam**

**Once your exam appointment** is confirmed, 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 at your scheduled location on your scheduled date and time, your registration will be voided, a “No-Show” status will be marked in your record, and you will forfeit your exam registration fee and 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.
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 immediately to ensure that your appointment was properly recorded.

Note: The process and fee are different in China. All changes must be completed no later than 48 hours prior to the opening of the test window in which their appointment is confirmed.

Sit for the Exam

The IIA highly recommends that you familiarize yourself with the basics of computer-based testing (CBT) before your exam day arrives. Visit The IIA’s website for a tutorial on CBT. This tutorial is not available at the 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 during the program application process. Depending on the test center, you also may be required to provide a fingerprint or palm vein image.

**ALERT:** If you do not present acceptable ID at the time you are scheduled to take your exam, you will not be permitted to take your exam and you will be considered a “No-Show,” even though you appeared at the test center. No refund will be provided. Your ID must contain your name exactly as you provided it during the exam registration process (as it appears on your Pearson VUE exam appointment confirmation letter).

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

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, the exam administrator will escort you to your workstation, where you must remain for the duration of your time at Pearson VUE, unless you are authorized to leave the room. Once you have been seated at your exam station, the administrator will log you into your exam. You will be asked to confirm that the exam shown on the screen is the exam you are scheduled to take.
The session begins with a welcome screen, and you will be asked to agree to The IIA’s Nondisclosure Agreement (NDA) and General Terms of Use before the exam starts. (See Appendix 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 session 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.

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, log a case in your CCMS profile.

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

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 otherwise is 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 reported.

You will receive an unofficial score report (including a numeric score only if you do not pass the exam) at the test center. Your score becomes official once The IIA publishes it to CCMS, and you will be notified by email when your official score is available. This is typically within 48 hours after you complete your exam.

If The IIA determines that your exam results require further analysis, there may be a delay in receiving your official score, and you will be notified. The analysis may take up to 45 days to complete. Additionally, an official published result may be invalidated for misconduct, score anomalies, or breaches of The IIA’s Code of Ethics.

You will not receive a numeric score at any time if you pass the exam. Your score report in CCMS will include only whether you passed.

Retaking the Exam

The IIA does not limit the number of attempts to successfully complete an exam part during your program eligibility window.

The earliest appointment date that you will be able to schedule will be 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 three-year program eligibility window, you will forfeit all fees paid and exam parts passed.

You are not permitted to retake an exam 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 an exit requirement of the certification program. 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. The CCMS will guide you through the automated proof of experience process. There is no fee associated with the experience-verification process.

Receive Notification of Certification

When you have met all program requirements for a particular certification, 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.

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.

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 maintaining active status (any printed certificates, if desired, 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 continuing professional education (CPE) to keep their credential(s) active. The Certification Registry also is an opportunity for employers and recruiters to verify certification. All IIA active certification holders who choose to voluntarily opt-in will be included in the registry. Individuals will need to opt-in to the registry for certification verification. An individual whose certification is not active will not be included in the 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.

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.

Ethics Violations and Misconduct

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

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

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

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 to confidentially provide information.
Consequences of Violations

If The IIA discovers any violation or irregularity, on or after the exam day, The IIA may withhold or invalidate your exam score(s). Irregularities occur when a case or pattern causes The IIA to question the validity of exam scores, including:

- Suspected exposure (purposeful or accidental) to exam content;
- Unusual answer patterns;
- Unusual score changes; or
- 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 according to the Process for Disposition on Certification Violation for The IIA’s Certification Candidates and Certification/Qualification Holders.

The IIA’s exams are confidential and secure, protected by civil and criminal laws of the United States and elsewhere. The IIA may take action to the extent permitted by law.
## APPENDIX B
### Helpful Links

### BEFORE APPLICATION

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<th>URL</th>
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<td>The IIA</td>
<td><a href="https://global.theiia.org/Pages/globaliiaHome.aspx">https://global.theiia.org/Pages/globaliiaHome.aspx</a></td>
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### DURING THE APPLICATION PROCESS

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APPENDIX C

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