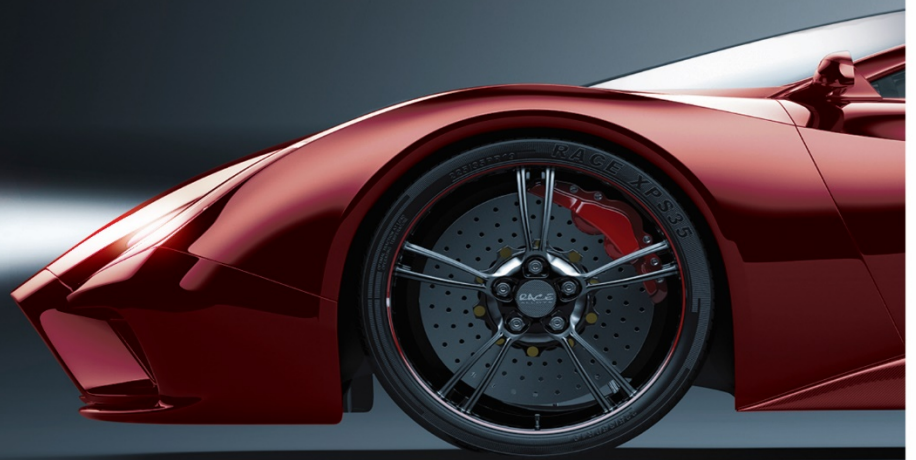


 The Institute of  
Internal Auditors

*Global*



CRMA



# **CERTIFICATION**

Candidate Handbook

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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](#).

ENTRY REQUIREMENTS			EXIT REQUIREMENTS	
Education	Government-issued ID	Character Reference	3 Exams	Experience
Master’s Degree (or equivalent)	X	X	X	12 months relevant experience
Bachelor’s Degree (or equivalent)	X	X	X	24 months relevant experience
Associate’s Degree, (or equivalent)	X	X	X	60 months relevant experience

*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](mailto: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:

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

# 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.

#### ***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.*

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 24 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/ia/contact](http://www.pearsonvue.com/ia/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.
- 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 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 its [Ethics Case Procedures](#).

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	
The IIA	<a href="https://global.theiia.org/Pages/globaliiaHome.aspx">https://global.theiia.org/Pages/globaliiaHome.aspx</a>
IIA Membership	<a href="https://join.theiia.org/Pages/default.aspx">https://join.theiia.org/Pages/default.aspx</a>
IIA Certifications	<a href="https://global.theiia.org/certification/Pages/Certification.aspx">https://global.theiia.org/certification/Pages/Certification.aspx</a>
CCMS	<a href="https://www.theiia.org/ccms">https://www.theiia.org/ccms</a>
DURING THE APPLICATION PROCESS	
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>
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 Tutorials	<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-iiia/Pages/Payment-Options.aspx">https://global.theiia.org/about/about-the-iiia/Pages/Payment-Options.aspx</a>
Pearson VUE	<a href="http://www.pearsonvue.com/iiia">www.pearsonvue.com/iiia</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>
CIA Practice Tests (practice tests are available in select languages)	<a href="https://global.theiia.org/certification/CIA-Certification/Pages/Certified-Internal-Auditor-CIA-Practice-Exams.aspx">https://global.theiia.org/certification/CIA-Certification/Pages/Certified-Internal-Auditor-CIA-Practice-Exams.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. To prepare you for exam day, the terms are as follows:

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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.

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, 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*. For exams offered via online proctoring, it 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 online proctoring. However, there are some differences to the test processes outlined on pages 8 through 12 in this handbook. These differences are outlined below.

### Test Processes

#### Schedule an Exam

To schedule an online proctored exam during your registration process, simply select the option “**At my home or office**” on the “Select Exam Delivery Option” page. Exams can be scheduled around the clock on the quarter hour (e.g., 9 a.m., 9:15 a.m., 9:30 a.m., 9:45 a.m., etc.). You may be able to schedule your exam on the same day, depending on availability.

**ALERT:** The IIA highly recommends that you ensure your computer is compatible with the online proctored software prior to registering for an online proctored exam. Please check the list of minimum system requirements at <https://home.pearsonvue.com/iaa/onvue> and perform a system test in advance to ensure that your system will work with the OnVUE online proctoring software.

#### Failure to Appear for Your Scheduled Exam

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.

#### 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. 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.

During the check-in process, you will be asked to take photos or video of your work area, which will be inspected by a proctor prior to starting the exam. 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. You are required to have a quiet space without any noise or other distractions.

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. If a “No-Show” status is issued, you will need to complete a new exam registration with payment to schedule another test date.

### Taking the Exam

Please note that you will be required to communicate with the proctor in English and breaks are not permitted during the exam session.

You are not permitted to use exam-specific materials or scratch paper, erasable whiteboards, or any other physical writing object, such as a pen, marker, or pencil. Additionally, 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.

**ALERT:** If you attempt to access any prohibited items, engage in misconduct, or if a third party enters the room during your exam, your exam session will be terminated. Exams ended by a proctor due to violations are considered forfeitures and will not be refunded.

### Receiving Your Score

At the conclusion of the exam, you will receive an unofficial “pass” or “fail” result on your screen. If you did not pass, you will also receive a numeric score. You will have the option to print out the exam result or save the report as a PDF. You will be notified by email when your official exam result is available.

### 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. Candidates are required to provide real-time photographs 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 a test taker appears to be in violation of any test taker policies, the proctor may shut down the test taker's exam. Exams shut down by a proctor due to violations are considered forfeitures and will not be refunded. To review the full description of policies and procedures, visit <https://home.pearsonvue.com/jia/onvue>.

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. In addition, the following requirements apply to online proctored exams:

- 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.
- No third party may enter the room during your exam. If this occurs, your exam session will be terminated.



- 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.
- As the exam candidate, you are ultimately responsible for ensuring that your work area meets all of the requirements.

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

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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