

CERTIFICATION CANDIDATE MANAGEMENT SYSTEM (CCMS) CANDIDATE USER GUIDE

THE IIA'S GLOBAL CERTIFICATIONS DEPARTMENT
OCTOBER 2014



CCSA®

CFSA®

CGAP®

CRMA®



The Institute of
Internal Auditors

Global

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Certification Candidate Handbook

The Certification Candidate Management System (CCMS) User Guide is a companion piece to the Certification Candidate Handbook, the cornerstone of the Certification program. . It details the process from beginning to end, program requirements, what to expect at the testing center, how scores are calculated, and everything in between. It is strongly recommended that all candidates download the latest version of the handbook, go to <https://global.theiia.org/certification/Pages/Certification-Candidate-Handbook.aspx>.

Certification Website

The IIA's certification programs are clearly and completely detailed on the website under the Certifications and Qualifications tab. The website is arranged based on where a candidate is within a certification program:

- New to Certification.
- Currently Enrolled.
- Already Certified.

The website features links to required forms, policies, and administrative directives governing certification and qualification programs; quick access to the Certification Candidate Management System; the Document Upload Portal; and everything there is to know about IIA certifications. To access the Certifications and Qualifications area of the website, go to <https://global.theiia.org/certification/Pages/Certification.aspx>.

Certification Candidate Management System (CCMS)

CCMS is the system of record for The IIA's global certification and qualification programs.

Candidates and certified individuals administer their own requirements for computer-based examinations through this system, which also allows candidates to:

- Apply to individual global certification and qualification programs.
- Register for exams.
- Review certification status.
- View official exam results.
- Monitor progress in your chosen certification program.



- Report Continuing Professional Education (CPE), and Continuing Professional Development (CPD) credit.
- Interact directly with The IIA's Global Certifications staff for inquiries and assistance.

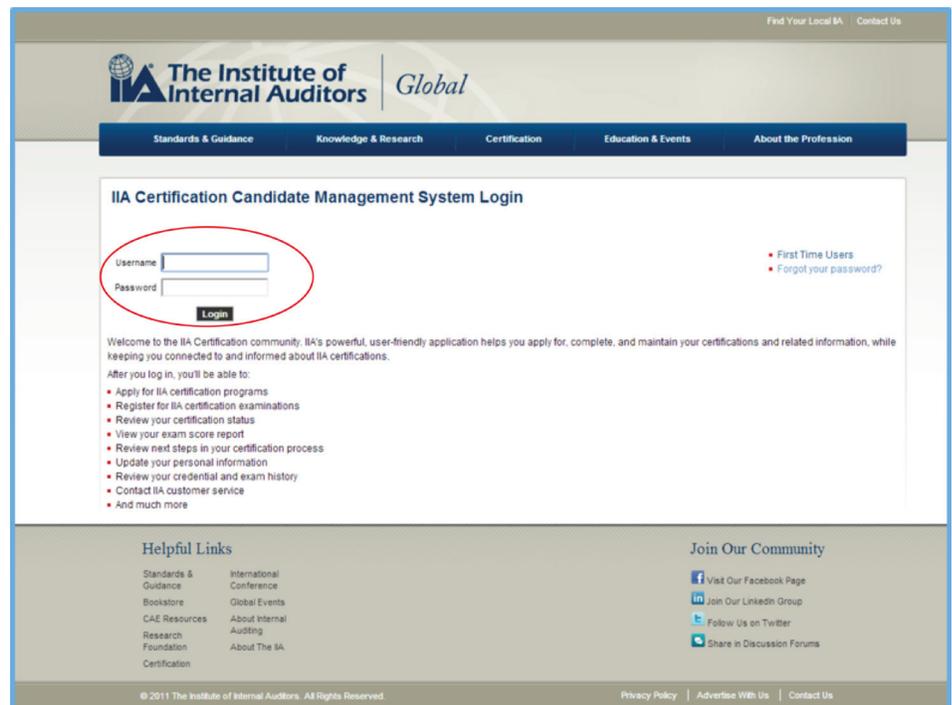
CCMS works to a limited degree with The IIA's membership system/association management system, meaning both systems hold demographic and contact information on IIA members and certification candidates. The key difference is that if you update your information in one system, it will not automatically update your information in the other system.

- For example, if you update your email address in CCMS, you must also log into your membership profile within The IIA's main website to update your information in that system.
- A project is underway to streamline this process, but until that occurs, you must make updates to both systems individually.

Logging In to CCMS

CCMS is a web-based application. To access the system, open your web browser and navigate to the following page: <https://i7lp.integral7.com/durango/do/login?ownername=iia&channel=iia&basechannel=integral7>

This is the login screen you will see when you access CCMS. Enter your username and password and click on the Login button.



Forgotten Credentials

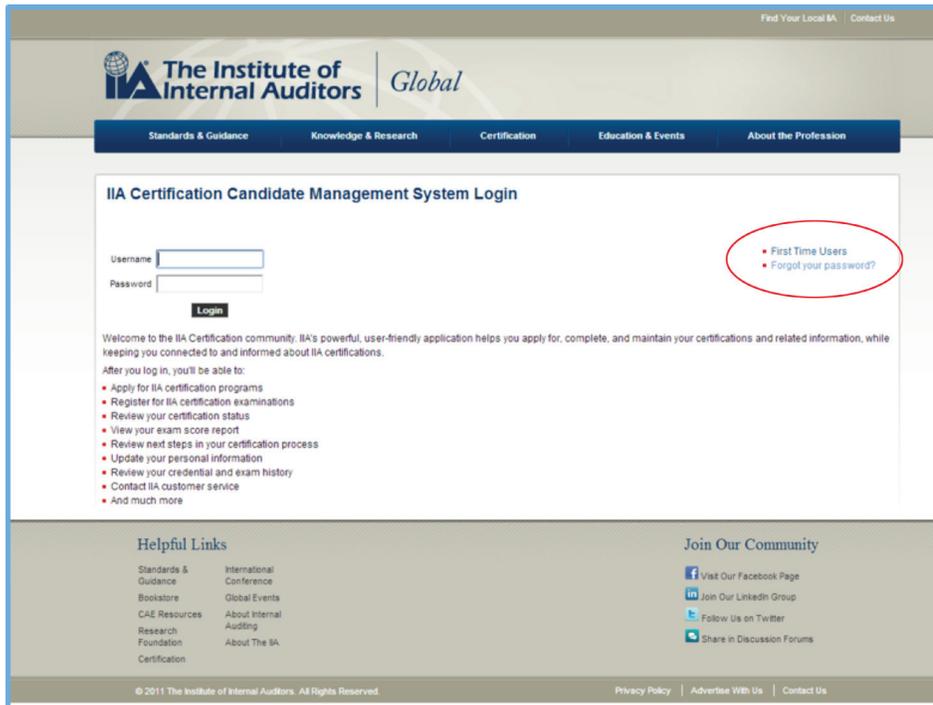
There is an account recovery process within CCMS. This process should be used by:

- Individuals who have NEVER accessed their CCMS record, but HAVE PREVIOUSLY sat for a certification examination must use this method to gain access to a CCMS record
- Those who have a username and password but cannot remember what they are.

Individuals must not create duplicate records. If in doubt or experiencing issues, please contact our Customer Relations team for assistance:

- Email: customerrelations@theiia.org
- Telephone: +1-407-937-1111

NOTE: Generally speaking, your username should be your IIA Global membership ID number, or IIA Customer ID number.



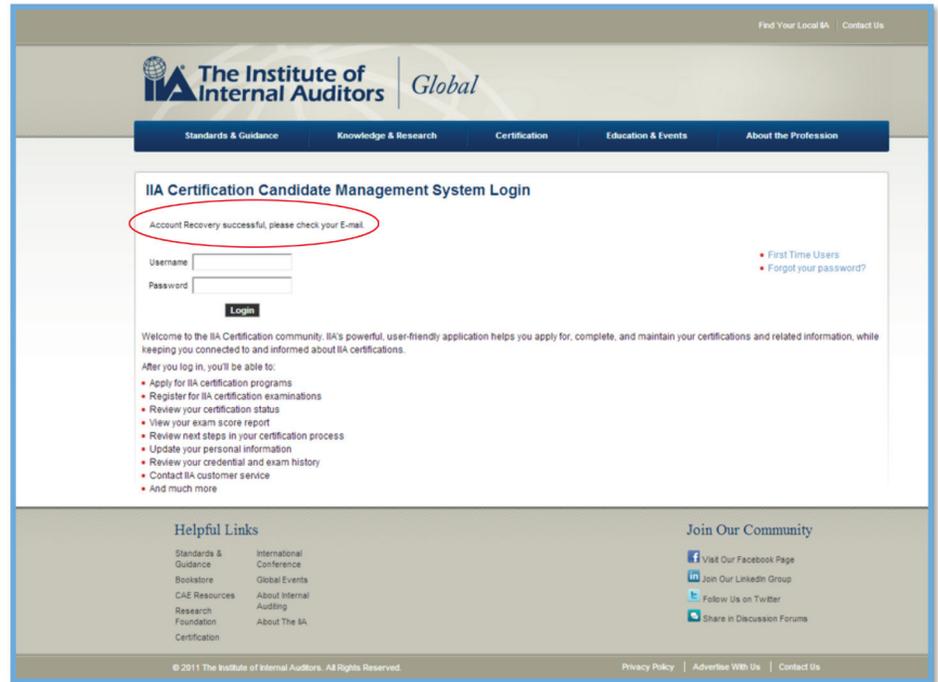
If you have forgotten your password, click the appropriate link, the next screen will prompt you to enter your Last Name/Surname and email address on file in your CCMS record.



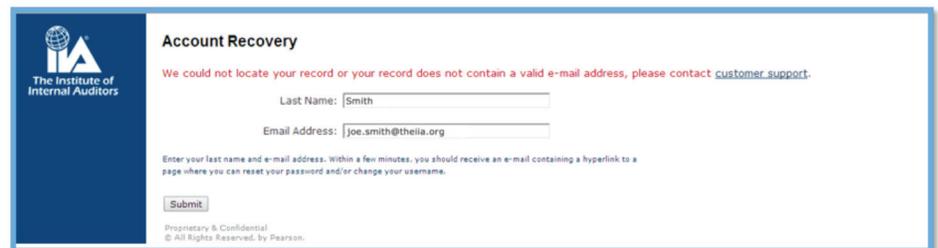


Once you enter your last name, email address, and click Submit, one of two things will occur:

1. If successful, you will be returned to the main CCMS login screen which reads “Account Recovery successful, please check your email.”



2. If the process was unsuccessful, you will see an error message indicating “We could not locate your record or your record does not contain a valid email address.” Please contact customer support.

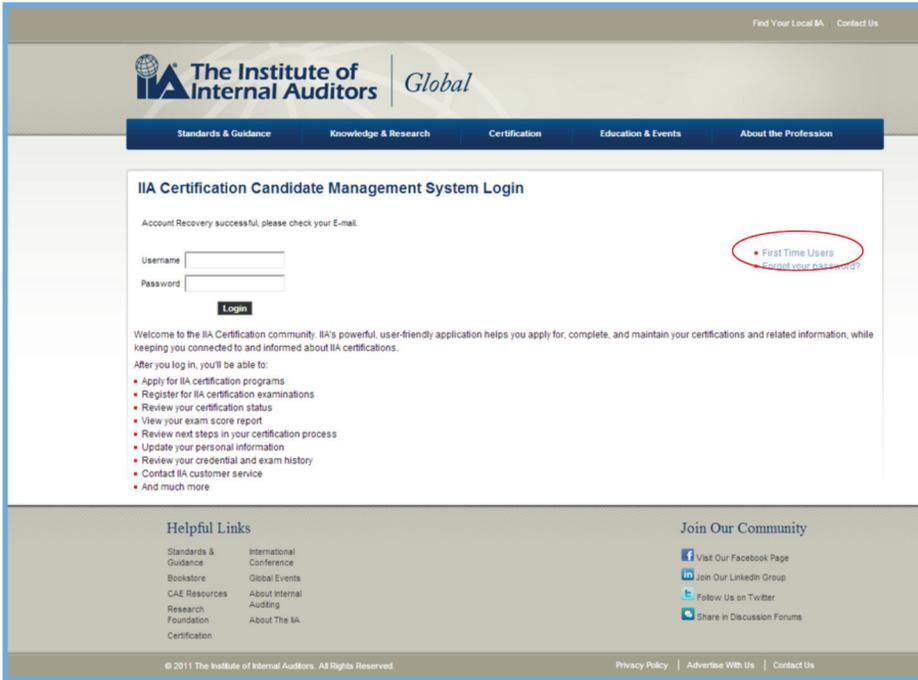


- a. This message would be received because the last name/surname in the record and the email address entered did not match an existing record in CCMS.
- b. If you have multiple email addresses, click the back button on your browser and you can retry the Account Recovery process using a different email address.
- c. If you are not successful, contact Customer Relations for further assistance.

- Email: customerrelations@theiia.org
- Telephone: +1-407-937-1111

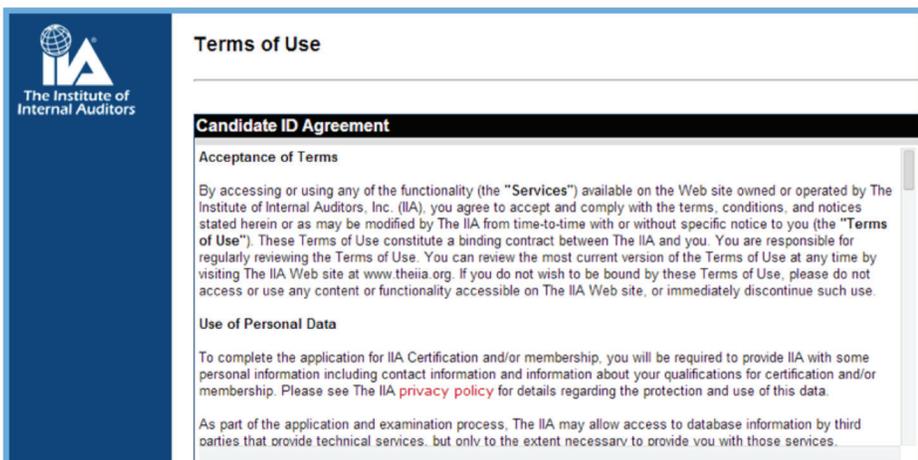
If you are new to Certifications and have never taken an IIA certification exam before, you must create a new record in CCMS:

Step 1: From the main CCMS login screen, click on First Time Users.



Step 2: You must read and agree to the Terms of Use. This is also the screen where you can access The IIA's privacy policy. It is recommended that you review the page fully (including additional links) prior to agreeing to the terms and conditions.

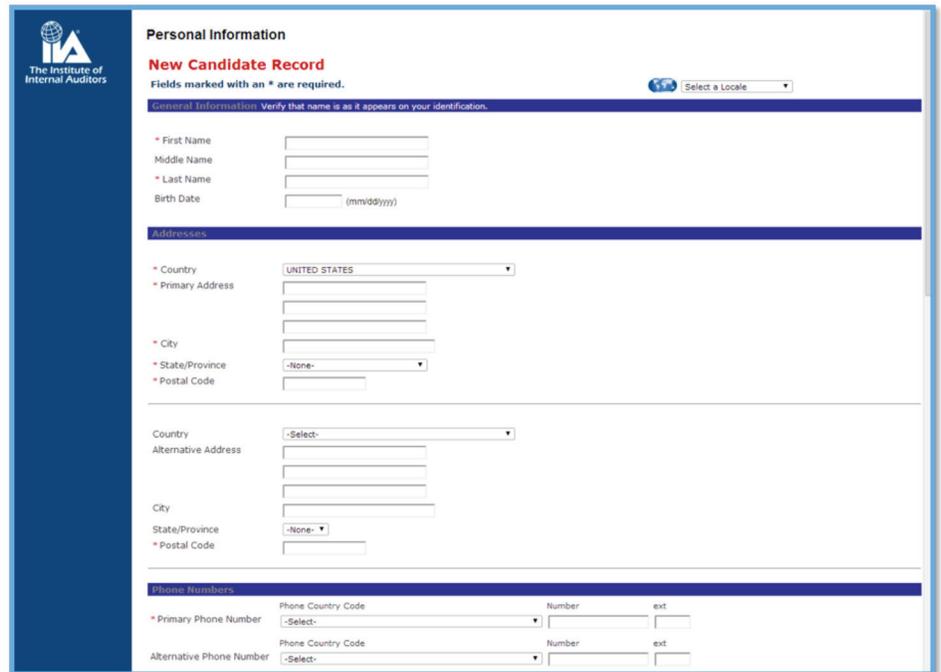
NOTE: If you do not accept the terms and conditions, you will be unable to create a record in CCMS and you will not be able to participate in The IIA's global certification programs.



Step 3: Once you have agreed to the terms and conditions, you will be prompted to create your user profile in CCMS, entering information as appropriate.

Items marked with a * are required fields. This information is used for a variety of purposes including keeping you informed of your certification process through the various stages of becoming and remaining certified.

The IIA does not allow third parties to create records or administer certification activities on behalf of a candidate. Candidates must administer their own account in CCMS.



Personal Information
New Candidate Record
 Fields marked with an * are required.

General Information: Verify that name is as it appears on your identification.

* First Name
 Middle Name
 * Last Name
 Birth Date (mm/dd/yyyy)

Addresses

* Country: UNITED STATES
 * Primary Address
 * City
 * State/Province: -None-
 * Postal Code

Country: -Select-
 Alternative Address
 City
 State/Province: -None-
 * Postal Code

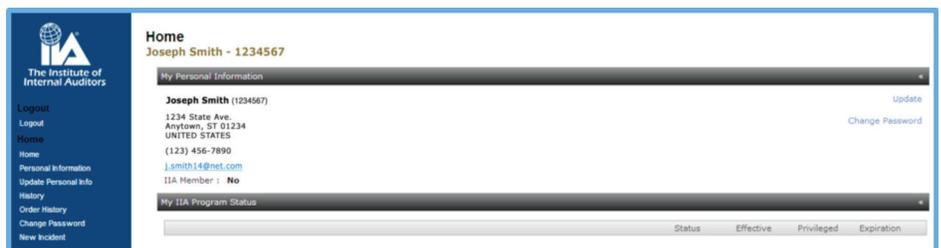
Phone Numbers

* Primary Phone Number: Phone Country Code: -Select- Number: ext:
 Alternative Phone Number: Phone Country Code: -Select- Number: ext:

After creating your account, you must re-authenticate your demographic information before moving on.

Landing Page

Once you have logged in, you will be directed to the “home” screen also known as the Landing Page, which serves as your home page with a snapshot of your demographics and certification program status information. The IIA will occasionally place important messages or alerts at the page’s bottom.



Home
 Joseph Smith - 1234567

My Personal Information

Joseph Smith (1234567)
 1234 State Ave.
 Anytown, ST 01234
 UNITED STATES
 (123) 456-7890
 j.smith14@net.com
 IIA Member: No

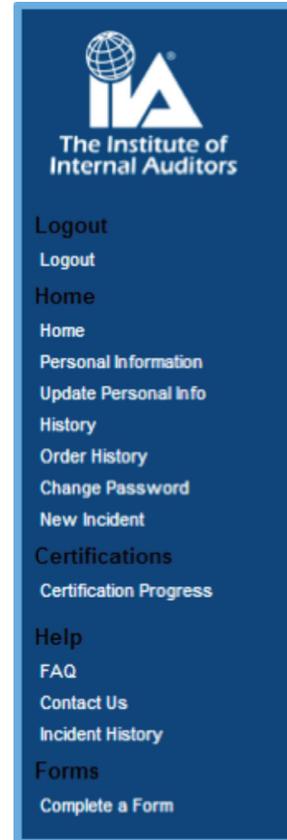
My IIA Program Status

Status	Effective	Privileged	Expiration

Left Navigation Menu

The left navigation menu is used to access various areas of your record:

- Logout – Signs you out of the CCMS application.
- Home – Brings you to the landing page.
- Personal Information – Displays current demographic information.
- Update Personal Info – Allows you to edit demographic information.
- History – Allows you to see various actions on record over time.
- Order History – Shows the history of items purchased through CCMS.
- Change Password – Allows candidates to change and update password.
- New Incident – Allows candidates to create support tickets.
- Certification Progress – Provides access to a “requirements tree” indicating progress toward earning a designation.
- Contact Us – Different ways to contact The IIA.
- Incident History – Allows you to review the incidents you have logged over time.
- Complete a Form – Used to access forms, such as application, exam registrations, and Continuing Professional Education to name a few.



Updating Candidate Demographic Information

Candidates should use CCMS to update demographic information, such as email, mailing address, and phone number. Once you have updated your information, scroll to the bottom of the page to click Submit to save the new information. If a field is not editable, click New Incident in your CCMS record and submit a description of the issue for assistance.

You can access the Update Personal Information screen two ways:

1. From the left navigation menu, select Update Personal Info.
2. From the Update link on the top right of the Landing Page.



Update Personal Info
Joseph Smith - 1234567

Candidate Record
Fields marked with an * are required.

General Information Verify that name is as it appears on your identification.

First Name: Joseph
Middle Name: [Blank]
Last Name: Smith
Birth Date: [Blank] (mm/dd/yyyy)
Company Name: [Blank]

Addresses

Preferred Mailing Address: Primary Address

* Country: UNITED STATES
* Primary Address: [Blank]
* City: [Blank]
* State/Province: [Blank]
* Postal Code: [Blank]

Country: -Select-
Alternative Address: [Blank]
City: [Blank]
State/Province: -None-
* Postal Code: [Blank]

History

The history link allows you to see various actions on the record over time. There is an option to filter history so you can easily find what you are looking for. The Details link on the right side of each event will display the date and time stamp of when the action was completed, and what was changed/updated.

There are two date columns on this page: Event Date denotes when an action was completed; Effective Date shows when the action became effective.

History
Joseph Smith - 1234567

View: All Events
for the last 30 days OR
Date Range: [Blank] to [Blank]
AND Description contains [Blank] Filter

* Date Range must be in MM/DD/YYYY format or it will be ignored.

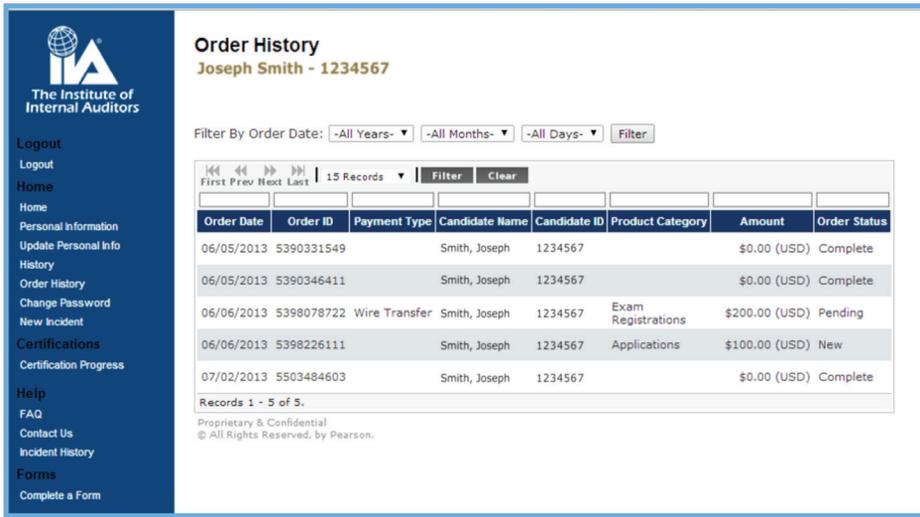
EVENT DATE	EFFECTIVE DATE	EVENT TYPE	DESCRIPTION	
Feb 14, 2014	Feb 14, 2014	Demographic Change	Update from Avectra failed.	Details
Feb 14, 2014	Feb 14, 2014	Demographic Change	Update from Avectra failed.	Details
Feb 14, 2014	Feb 14, 2014	Demographic Change	Changed Email Address.	Details
Feb 14, 2014	Feb 14, 2014	Demographic Change	Update from Avectra failed.	Details
Dec 31, 2013	Dec 31, 2013	Demographic Change	Update from Avectra failed.	Details
Dec 3, 2013	Dec 2, 2013	Status Events	Registered expired; Registration Expired issued in CIA Part 1 Exam Eligibility	Details
Nov 3, 2013	Nov 3, 2013	Expiration Notification	Expiration Notification	Details
Oct 4, 2013	Oct 4, 2013	Expiration Notification	Expiration Notification	Details
Sep 4, 2013	Sep 4, 2013	Expiration Notification	Expiration Notification	Details
Aug 13, 2013	Aug 13, 2013	Demographic Change	Changed Primary Address.	Details
Aug 13, 2013	Aug 12, 2013	Status Events	Remove CRMA Registration issued in CRMA Exam Eligibility	Details
Jul 2, 2013	Jul 2, 2013	Status Events	Registered issued in CRMA Exam Eligibility	Details
Jul 2, 2013	Jul 2, 2013	Form	CRMA - Exam Registration was Submitted.	Details
Jul 2, 2013	Jul 2, 2013	Status Events	Eligible issued in CRMA Exam Eligibility	Details
Jul 2, 2013	Jul 2, 2013	Status Events	Approved issued in Certification in Risk Management Assurance (CRMA)	Details
Jul 2, 2013	Jul 2, 2013	Form	CRMA Application was Submitted.	Details
Jul 1, 2013	Jul 1, 2013	Incident	#5431050736	Details
			Closed	
			test	
Jun 12, 2013	Jun 12, 2013	Incident	#5431050736	Details
			Closed	
			test	
Jun 6, 2013	Jun 6, 2013	Form	CIA - Part 2 Registration was Submitted.	Details
Jun 5, 2013	Jun 5, 2013	Form	CIA 2012 Continued Professional Education (CPE) Reporting Form was Submitted.	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Registered issued in CIA Part 1 Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Form	CIA - Part 1 Registration - Fee Waived was Submitted.	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 2 Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 4 Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 2 (3 Part) Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 1 Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 3 Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 3 (3 Part) Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Eligible issued in CIA Part 1 (3 Part) Exam Eligibility	Details
Jun 5, 2013	Jun 5, 2013	Status Events	Approved issued in Certified Internal Auditor (CIA)	Details
Jun 5, 2013	Jun 5, 2013	Form	CIA Application was Submitted.	Details
Jun 4, 2013	Jun 4, 2013	Demographic Change	Changed Email Address, Alternative Email Address.	Details
Jun 4, 2013	Jun 4, 2013	Demographic Change	Changed IIA Member .	Details
Jun 4, 2013	Jun 4, 2013	Demographic Change	Demographic record created.	Details

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Order History

Candidates can see their order history and reprint receipts for items that have been purchased through CCMS.

To print a receipt, select the transaction you would like to print. You will see the Order Detail screen from which you can select Show Receipt and print a document.



Order History
Joseph Smith - 1234567

Filter By Order Date:

Order Date	Order ID	Payment Type	Candidate Name	Candidate ID	Product Category	Amount	Order Status
06/05/2013	5390331549		Smith, Joseph	1234567		\$0.00 (USD)	Complete
06/05/2013	5390346411		Smith, Joseph	1234567		\$0.00 (USD)	Complete
06/06/2013	5398078722	Wire Transfer	Smith, Joseph	1234567	Exam Registrations	\$200.00 (USD)	Pending
06/06/2013	5398226111		Smith, Joseph	1234567	Applications	\$100.00 (USD)	New
07/02/2013	5503484603		Smith, Joseph	1234567		\$0.00 (USD)	Complete

Records 1 - 5 of 5.
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New Incident

Candidates can log a support ticket or incident using the New Incident link from the left side menu.

Incidents can be used for:

- Name Changes
- Technical/System Issues
- Questions or Concerns

Clicking New Incident will bring you to this screen:



New Incident
Joseph Smith - 1234567

General Information

Opened: **Fri Feb 14 11:20:37 CST 2014**

Summary:

Description:

Status: **Opened** Category:

Source: **Web**

Response:

- **Summary:** Provide a brief description of the issue.
- **Description:** Describe the issue in full detail. (Please include any error messages you may have received [if any] and all supporting information.)
- **Category:** It is very important to select the correct category because this is how we track issues and identify trends to resolve common issues.

Incidents are processed on a first come-first served basis.

Certification Progress

Candidates can see their progress displayed in their record by accessing the certification progress link. The “Status” column indicates where a candidate is within an individual program.

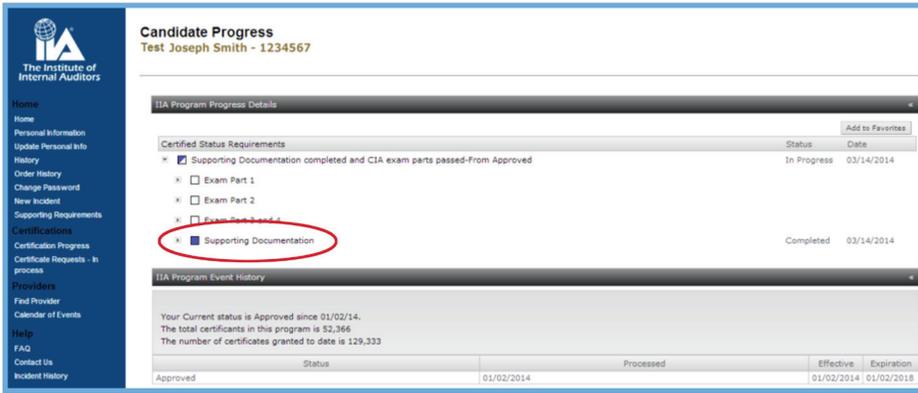


IIA Program Progress			
	Status	Effective	Expiration
<ul style="list-style-type: none"> ✖ Flagship Certification <ul style="list-style-type: none"> Certified Internal Auditor (CIA) ✖ Specialty Certifications <ul style="list-style-type: none"> Certification in Control Self-Assessment (CCSA) Certified Financial Services Auditor (CFSA) Certification in Risk Management Assurance (CRMA) Certified Government Auditing Professional (CGAP) ✖ Exam Eligibility <ul style="list-style-type: none"> CCSA Exam Eligibility CFSA Exam Eligibility CGAP Exam Eligibility CIA Part 1 Exam Eligibility CIA Part 2 Exam Eligibility CIA Part 3 Exam Eligibility CIA Part 4 Exam Eligibility CIA Part 4 Recognition Credit CRMA Exam Eligibility CIA Part 1 (3 Part) Exam Eligibility CIA Part 2 (3 Part) Exam Eligibility CIA Part 3 (3 Part) Exam Eligibility 	Approved	06/05/2013	06/05/2017
	Approved	07/02/2013	07/02/2017
	Registration Expired	12/02/2013	
	Eligible	06/05/2013	
	Eligible	06/05/2013	
	Eligible	06/05/2013	
	Remove CRMA Registration	08/12/2013	
	Eligible	06/05/2013	
	Eligible	06/05/2013	
	Eligible	06/05/2013	

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To see your certification progress:

- Click on the certification name.
- Select “History.”
 - This displays progress over time.
- Select “Requirements.”
 - This displays what requirements have been completed in a blue box. Requirements still needed are displayed in a box with both blue and white indicators.



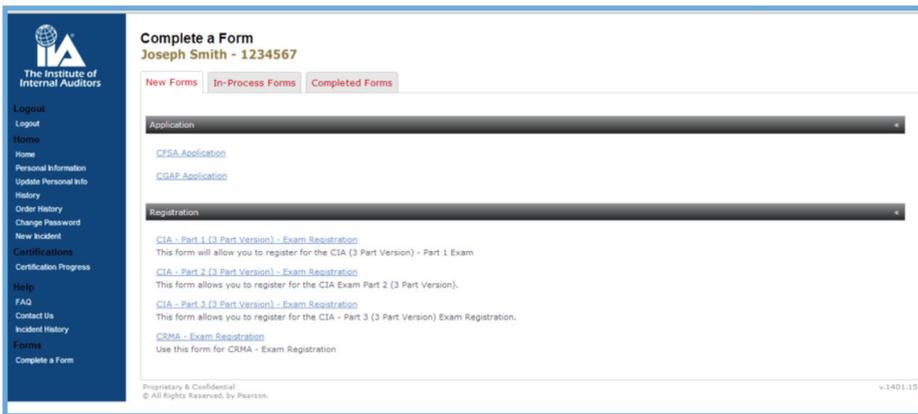
This illustration indicates the supporting documentation requirement has been completed as the box is filled in blue. The exams not yet completed are indicated by empty white checkboxes. If you click on the drop down arrow next to Supporting Documents, it will show exactly what documents are missing.

Complete a Form

This area allows candidates to take specific action within their certification programs. Form examples include, but are not limited to:

- Applications, exam registrations, Continuing Professional Education (CPE) reporting, and requesting a certificate.

(You only have access to forms for which you are authorized based on your certification status. For example, you will not see the Certificate Order Form until you hold a certified status.)



NOTE:

- Each certification program offers a four-year eligibility window. This means you have four years to complete all requirements from the time your application is approved.
- There is a 180-day registration window for exam parts.
 - Each registration allows you to sit for that exam one time. You will need to schedule and sit for the exam part during that 180-day period.
- There is a 90-day waiting period for retaking a failed exam part.
- There is a three-year waiting period for retaking a previously passed exam parts.



There are three tabs in this menu.

■ **New Forms:**

- Forms are grouped by headers, such as Application, to group similar forms together.
- You can click on the header to show or hide forms within that section.
- If you open a form and are not able to complete it at that time, you can select “Save for Later.” The form will automatically move to the In-Process Form tab until you complete and submit that form.
- If you are unable to see a particular form, you may not have authorized access to it.
- Several factors determine which forms you can see. For example, if you are not required to report Continuing Professional Education (CPE) due to having only recently been certified, you will not be able to see this form.

■ **In-Process Forms:**

- Forms opened but not completed or submitted will reside here until you submit them.
- If you need to access a form under the In-Process tab, click on the form name. Then select the blue Edit button on the top left of the form. This will allow you to edit and make changes to the form. Make sure you save your changes.

■ **Completed Forms:**

- Keeps track of your history of completed forms.
- Once a form is submitted and your payment has processed, you will receive an event-based email (EBE) providing you with next steps (if any) and payment confirmation.

Event-based Emails or EBEs

Candidates will receive an event-based email (EBE) when a status change occurs on their record, a milestone is reached, or to remind you of an upcoming required action.

Here is an example of an EBE.

Dear Test Candidate:

Congratulations! We are pleased to inform you that you have completed all of the requirements for the Certification in Control Self-Assessment (CCSA) program and have therefore earned the Certification in Control Self-Assessment (CCSA) designation. This e-mail serves as your official notice of certification.

Please be sure to read this entire email for the important information that follows.

Obtaining Your Certificate

Now that you've achieved your certification, you must initiate the order to receive your personalized certificate, which is suitable for framing. Completing the Certificate Order Form is the only way to request your certificate, and failure to submit the form will result in a certificate not being sent to you. [Click Here](#) to access the Certificate Order Form.

Before you complete the order, please be sure to go to the "update personal info" link in [CCMS](#) and ensure your personal contact information is accurate and up to date. Please be certain to confirm or update how your name will appear on your certificate and the proper mailing address.

Please note: The IIA is not responsible for misprinted or misrouted certificates if you have not validated/verified your information. Failure to validate this information could result in a US \$50 fee if you need to have your certificate reprinted due to error.

Continuing Professional Education (CPE)

To keep your designation up-to-date and active, you have an obligation to earn and report acceptable Continuing Professional Education (CPE) credits on an annual basis to The IIA.

For earning your CCSA, you have been awarded 40 CPEs, 20 of which are applicable this year and 20 of which are applicable to next year. After that, to maintain your status as a CCSA, you must earn and report an additional 20 CPEs per calendar year. Details on reporting requirements and additional information can be found on our [website](#).

Again, congratulations on earning your Certification in Control Self-Assessment designation. We look forward to a productive, ongoing relationship with you as you continue to expand and add to your expertise. If you have questions or need assistance regarding your certification or CPE reporting requirements, please [click here](#) to log in to your CCMS record and submit a New Incident.

On behalf of The Institute of Internal Auditors, best wishes for your continued success.

Sincerely,

The IIA Global Certifications Team

IIA Candidate ID: 1234567

PLEASE DO NOT REPLY TO THIS EMAIL This is a system generated response. If you require further assistance, please log in to your CCMS

NOTE: EBEs are sent from an unmonitored email box; do not REPLY to an EBE. If you have questions or need further assistance, please log a New Incident through CCMS for further assistance.

NOTE: If you live in one of the following countries, contact your local Institute for assistance:

- | | | |
|-----------|----------------|----------------|
| Argentina | Australia | Austria |
| Belgium | Brazil | Bulgaria |
| China | Chinese Taiwan | Czech Republic |
| France | Germany | Greece |
| Indonesia | Italy | Japan |
| Korea | Malaysia | Mexico |
| Morocco | Netherlands | New Zealand |
| Norway | Singapore | South Africa |
| Spain | Sweden | Switzerland |
| Thailand | Turkey | |

Pricing

Pricing for applications, registrations, CPE reporting, and other items in CCMS is based on your membership status.

If you believe you are seeing the incorrect price listed when submitting a form:

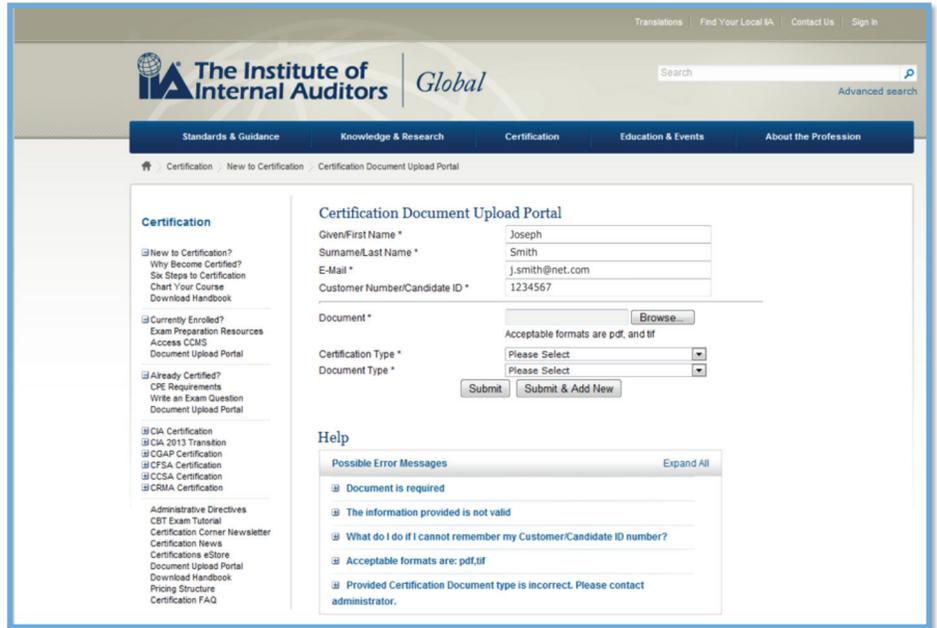
- **STOP!** Do not submit the form.
- Contact Customer Relations for assistance in resolving your membership status.
- Email: customerrelations@theiia.org
- Telephone: +1-407-937-1111



Document Upload Portal

The Document Upload Portal was developed to enhance the experience of certification program participants by streamlining the document submission process, creating a secure transmission method, and reducing response and processing times.

NOTE: You must log into The IIA's website before accessing the Document Upload Portal. This ensures that your login data matches and will automatically populate the required fields. If you are unsure or unable to sign into The IIA's website, please refer to the assistance link below for help. This login could be different than your CCMS login.



Certified individuals and certification candidates must use the Document Upload Portal to transfer forms and other necessary information to The IIA's Global Certifications Department.

This may include, but is not limited to:

- Proof of education forms and other supporting documentation (diplomas, transcripts, etc.).
- Character reference forms.
- Experience Verification Forms and other supporting documentation.
- You can access the Document Upload Portal go to: <https://global.theiia.org/certification/new/Pages/Certification-Document-Upload-Portal.aspx>.
- If you need assistance to access The IIA's website, go to: <https://global.theiia.org/certification/Public%20Documents/IIA%20Website%20Activation%20and%20Password%20Reset%20Instructions.pdf>.



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