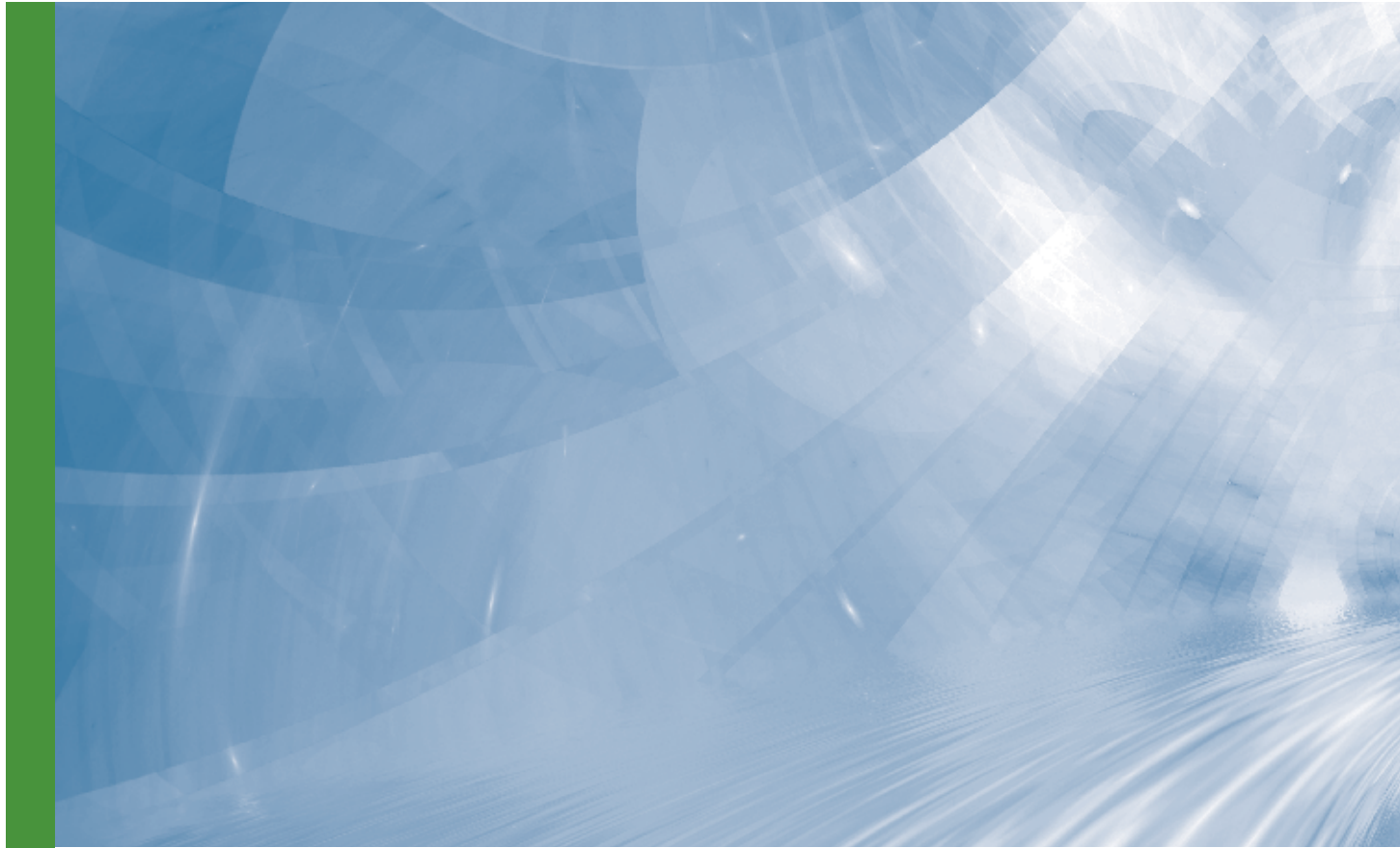


Certified Information Systems Auditor

An ISACA Certification



Continuing Professional Education (CPE) Policy

The Certified Information Systems Auditor Continuing Professional Education Policy

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The Certified Information Systems Auditor Continuing Professional Education Policy

Overview

The goal of this continuing professional (CPE) education policy is to ensure that all CISAs maintain an adequate level of current knowledge and proficiency in the field of information systems audit, control and security. CISAs who successfully comply with the CPE policy will be better trained to assess information systems and technology and provide leadership and value to their organizations.

The responsibility for setting the CPE requirements rests with the CISA Certification Committee. The Committee oversees the continuing professional education process and requirements to ensure their applicability.

Certification Requirements

General Requirements

The CISA CPE policy requires the attainment of CPE hours over an annual and three-year certification period. CISAs must comply with the following requirements to retain certification:

- Attain and report an annual minimum of twenty (20) CPE hours. These hours must be appropriate to the currency or advancement of the CISA's knowledge or ability to perform CISA-related tasks. The use of these hours towards meeting the CPE requirements for multiple ISACA certifications is permissible when the professional activity is applicable to satisfying the job-related knowledge of each certification.
- Submit annual CPE maintenance fees to ISACA international headquarters in full.
- Attain and report a minimum of one hundred and twenty (120) CPE hours for a three-year reporting period.
- Respond and submit required documentation of CPE activities if selected for the annual audit.
- Comply with ISACA's Code of Professional Ethics.

Failure to comply with these certification requirements will result in the revocation of an individual's CISA designation.

Annual and Three-Year Certification Period

The annual reporting period begins on 1 January of each year. The three-year certification period varies and is indicated on each annual invoice and on the letter confirming annual compliance.

For newly certified CISAs, the annual and three-year certification period begins on 1 January of the year succeeding certification. Reporting CPE hours attained during the year of certification is not required. However, hours attained between the date of certification and 31 December of that year can be used and reported as hours earned in the initial reporting period.

Payment of CISA Maintenance Fee and Reporting of CPE Hours

Payment of the maintenance fee and reporting of CPE hours is required annually during the renewal period. Invoice notification is sent both via e-mail and hard copy invoice in the third quarter of each calendar year by ISACA to all CISAs. Payment and reporting of CPE hours is due by 15 January to retain certification.

Payment of the annual maintenance fee and reporting of CPE can be done online at www.isaca.org/renew or by submitting the information on the annual renewal invoice.

Notification of Annual Compliance

CISAs who report the required number of CPE hours and submit maintenance fees, in full, in a timely manner will receive a confirmation from ISACA international headquarters. This confirmation will include the number of CPE hours accepted for the annual reporting period, hours reported for past years within the three-year certification period and the number of hours required to qualify for the fixed three-year certification period. It is the responsibility of each CISA to notify ISACA international headquarters promptly of any errors or omissions in this confirmation.

Use of CISA Logo

Individual use of the CISA logo (on items such as business cards, web sites, marketing or promotional materials) is not permitted because it can imply endorsement or affiliation on ISACA's behalf of that person's products or services. Individuals can use the CISA acronym after their name (e.g., John Q. Customer, CISA in lieu of the logo).

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Audits Of CPE Hours

A random sample of CISAs is selected each year for audit. Those CISAs chosen must provide written evidence of previously reported activities that meet the criteria described in the Qualifying Professional Education Activities. Please send copies of supporting documentation since documents will not be returned. The CISA Certification Committee will determine the acceptance of hours for specific professional educational activities. Those individuals who do not comply with the audit will have their CISA certification revoked.

Recordkeeping

A CISA must obtain and maintain documentation supporting reported CPE activities. Documentation should be retained for twelve months following the end of each three-year reporting cycle. Documentation should be in the form of a letter, certificate of completion, attendance roster, Verification of Attendance form (located in this policy) or other independent attestation of completion. At a minimum, each record should include the name of the attendee, name of the sponsoring organization, activity title, activity description, activity date, and the number of CPE hours awarded or claimed.

Revocation

CISAs who fail to comply with the CISA CPE Policy will have their CISA credential revoked and will no longer be allowed to present themselves as a CISA. Individuals who have their CISA certification revoked will be required to take and pass the CISA exam and submit a completed application for CISA certification.

Reconsideration And Appeal

CISAs who have had their certification revoked due to non-compliance with certification requirements may appeal such revocation by submitting a written request to ISACA headquarters. This request must be received no later than sixty (60) days after notice of revocation and include a detailed explanation for the appeal.

Retired And Nonpracticing CISA Status

Retired CISA Status

CISAs are entitled to apply for retired CISA status if over 55 years of age and permanently retired from the CISA profession, or unable to perform the duties of an IS audit, control or security professional by reason of permanent disability. CISAs granted this status are no longer required to obtain CPE hours, but are required to pay a reduced annual maintenance fee.

Nonpracticing CISA Status

CISAs who are no longer working in the IS audit, control or security profession are entitled to apply for nonpracticing CISA status.

Requests for the nonpracticing status must be received by ISACA no later than 15 January and accompanied with your annual invoice. CISAs granted this status are not required to obtain CPE hours, but are required to pay the annual maintenance fee. Once the individual has returned to the profession, they are required to return to active status. Although previously permitted, CISAs in nonpracticing or retired status cannot use “CISA” or “CISA-nonpracticing” on business cards.

CISAs interested in filing for a retired or nonpracticing CISA status can do so by contacting the certification department via telephone at +1.847.660.5660, via fax at +1.847.253.1755 or via e-mail at certification@isaca.org.

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Qualifying Professional Education Activities

Activities that qualify for CPE include technical and managerial training. This training must be directly applicable to the assessment of information systems or the improvement of audit, control, security or managerial skills (www.isaca.org/cisajobpractice) to ensure a proper balance of professional development is attained. CPE hours related to management skills must be relevant to management of audits and/or audit resources. CPE hours are not accepted for on-the-job activities unless they fall into a specific qualifying professional education activity. Training in basic office productivity software, such as Microsoft Word or Excel, does not qualify as CPE. Specific activities have annual CPE hour limits. The following categories of qualifying activities and limits have been approved by the CISA Certification Committee and are acceptable for CPE.

Personal Professional Development

- **ISACA professional education activities and meetings (no limit):** These activities include ISACA conferences, seminars, workshops, chapter programs and meetings and related activities. CISAs earn CPE hours according to the number of hours of active participation. (See Calculating CPE Hours section). Participation in ISACA chapter meetings will earn a minimum of one credit hour regardless of actual duration. Please note that chapter programs and meetings are not automatically reported to the ISACA database. Please retain proof of attendance.
- **Non-ISACA professional education activities and meetings (no limit):** These activities include in-house corporate training, university courses, conferences, seminars, workshops, and professional meetings and related activities not sponsored by ISACA. In addition, CPE hours can be earned from certification review courses if such courses advance the CISA's IS audit, control and security or audit-related managerial knowledge or skills. CISAs earn CPE hours according to the number of hours of active participation. (See Calculating CPE Hours section). However, successfully completed university courses in related fields, including university online courses, earn 15 CPE hours per semester credit hour and 10 CPE hours per quarter credit hour (semester = 15 weeks of class; quarter = 10 weeks of class).
- **Self-study courses (no limit):** These activities include structured courses designed for self-study that offer CPE hours. These courses will only be accepted if the course provider issues a certificate of completion and the certificate contains the number of CPE hours earned for the course. One CPE hour can also be earned when a passing score is achieved on an *ISACA® Journal* quiz. Up to three CPE hours can be earned by CISA ISACA members when a passing score is achieved on an ISACA e-symposium quiz. Please note that the *ISACA® Journal* quiz and ISACA e-symposiums activities can be counted (more than once) toward each ISACA designation that is held.
- **Vendor sales/marketing presentations (10-hour annual limitation):** These activities include vendor product or system specific sales presentations related to the assessment of information systems.

Contributions to the Profession

- **Teaching/lecturing/presenting (no limit):** These activities include the development and delivery of professional educational presentations and the development of self-study/distance education courses related to the assessment of information systems. For presentations and courses (all types), CPE hours are earned at five times the presentation time or time estimated to take the course for the first delivery (e.g.: two hour presentation earns ten CPE hours) and at the actual presentation time for the second delivery. CPE hours cannot be earned for subsequent presentations of the same material unless the content is substantially modified. For self-study/distance education courses, one CPE hour is earned for each hour spent upgrading/maintaining the course limited to twice the estimated time to take the course.

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- **Publication of articles, monographs and books (no limit):** These activities include the publication and/or review of material directly related to the information systems audit and control profession. Submissions must appear in a formal publication or website and a copy of the article or the website address must be available, if requested. For books and monographs, the table of contents and title page must be available. CPE hours are earned for the actual number of hours taken to complete or review the material.
- **Exam question development and review (no limit):** This activity pertains to the development or review of items for the CISA exam or review materials. Two CPE hours are earned for each question accepted by an ISACA CISA item review committee. Such hours can be multi-counted for all ISACA certifications. Actual hours will be given for the formal item review process.
- **Passing related professional examinations (no limit):** This activity pertains to the pursuit of other related professional examinations. One CPE hour is earned for each examination hour when a passing score is achieved.
- **Working on ISACA Boards/Committees (10-hour annual limitation per ISACA certification):** These activities include active participation on an ISACA Board, committee, sub-committee, task force or active participation as an officer of an ISACA chapter. One CPE hour is earned for each hour of active participation. Active participation includes, but is not limited to, the development, implementation, and/or maintenance of a chapter website. Such activities can be counted more than once toward each ISACA designation that is held.
- **Contributions to the IS audit and control profession (10-hour annual limitation in total for all related activities for CISA reported hours):** These activities include work performed for ISACA and other bodies that contribute to the IS audit and control profession (i.e. research development, certification review manual development, K-Net development, performing peer reviews).
- **Mentoring (10-hour annual limitation):** Certified are able to receive up to 10 CPEs annually for mentoring. Activities include mentoring efforts directly related to coaching, reviewing or assisting with CISA exam preparation or providing career guidance through the credentialing process either at the organizational, chapter or individual level. The mentoring activity must be an activity supporting a specific person in preparation for their ISACA exam or certification career decisions. One CPE hour is earned for each hour of assistance.

Calculating CPE Hours

One CPE hour is earned for each fifty (50) minutes of active participation (excluding lunches and breaks) in a professional educational activity. **CPE hours are only earned in full-hour increments and rounding must be down.** For example, a CISA who attends an eight-hour presentation (480 minutes) with 90 minutes of breaks will earn seven (7) continuing professional education hours.

Sample Calculation

Educational Activity Schedule	Actual Hours	Minutes
9:00 a.m. – 5:00 p.m.	8.0	480
Less: Two 15-minutes breaks	<.5>	<30>
Less: Lunch — 1 hour	<1.0>	<60>
Total hours of professional education activity	6.5	390

Calculation of CE Hours

390 minutes divided by 50 minutes = 7.8 or 7 CPE hours (rounded down)

Contact Information

Certification Department	Telephone:	+1.847.660.5660
ISACA	Fax:	+1.847.253.1755
3701 Algonquin Road, Suite 1010	E-mail:	<i>certification@isaca.org</i>
Rolling Meadows, Illinois 60008-3124 USA		

Additional Information

www.isaca.org/cisacpepolicy

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ISACA Code of Professional Ethics

ISACA sets forth this Code of Professional Ethics to guide the professional and personal conduct of members of the association and/or its certification holders.

Members and ISACA certification holders shall:

1. Support the implementation of, and encourage compliance with, appropriate standards, procedures and controls for information systems.
2. Perform their duties with objectivity, due diligence and professional care, in accordance with professional standards and best practices.
3. Serve in the interest of stakeholders in a lawful and honest manner, while maintaining high standards of conduct and character, and not engage in acts discreditable to the profession.
4. Maintain the privacy and confidentiality of information obtained in the course of their duties unless disclosure is required by legal authority. Such information shall not be used for personal benefit or released to inappropriate parties.
5. Maintain competency in their respective fields and agree to undertake only those activities, which they can reasonably expect to complete with professional competence.
6. Inform appropriate parties of the results of work performed; revealing all significant facts known to them.
7. Support the professional education of stakeholders in enhancing their understanding of information systems security and control.

Failure to comply with this Code of Professional Ethics can result in an investigation into a member's, and/or certification holder's conduct and, ultimately, in disciplinary measures.

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VERIFICATION OF ATTENDANCE FORM CISA Continuing Professional Education

CISA Certification Number: _____

_____ attended the following professional educational activity.
(Name)

Title: _____
(Title or name of program/course)

Date(s): _____ CPE Hours Earned: _____

Sponsor: _____

Description: _____

Location: _____

*Name of Presenter: _____

Signature: _____
(Presenter or Authorized Person)

**Note: If you are the presenter of the professional activity, please have the course sponsor sign.*



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