ISACA®

Annual CPE Audit FAQs

Use this document as a resource to find the answers to frequently asked questions about ISACA's Annual CPE Audit.

Policy

Q. What is the selection criteria of ISACA's Annual CPE Audit?

A. CISA, CISM, CRISC, and CGEIT Certification holders who have reported CPE hours for the year prior are randomly selected for the audit. Certification holders that retired their certification during the audited year or were audited in the prior 2 years for the same certification will be waived from the audit.

Q. Where can I find a copy of my CPE Policy?

A. You can download a copy of your CPE Policy here:

- [CGEIT](#)
- [CISA](#)
- [CISM](#)
- [CRISC](#)

Q. I was previously audited for my CPE. Why am I being audited again?

A. As the audit selection process is random, it does not exclude individuals who have been selected in previous years. For this reason, a person may be selected multiple times.

> *Example 1: A customer with 2 certifications may be audited on consecutive years, but only for the CPEs reported for the certification that was not audited in the prior year.*
>
> *Example 2: A customer with 2 certifications may be audited on CPEs reported for both certifications in the same year, but only if they were not audited in the prior 2 years.*

Q. I do not have documentation for the audit year, but I have documentation to support my hours in the current cycle year. Can I utilize these CPE hours now instead of the ones claimed?

A. No. You can only utilize eligible CPE hours that were completed during the audited year. For example, if we are auditing your 2016 CPE hours your documentation should clearly support compliant activities that were completed in 2016.

Communications

Q. How will I be informed if I am subject to the audit? Will this be reflected in my ISACA profile?

A. Audited individuals are informed via email (to the email address associated with your customer profile) and hardcopy letter via mail. Your online profile will not reflect the audit.

Q. When will I know if I have complied with the CPE audit?

A. Once your audit documentation has been reviewed and found in compliance with the audit, we will send you an email notification of compliance. Please note that the audit review process can take some time. To ensure you receive your notification, please validate that all contact details in your ISACA profile are current.

Documentation

Q. Where do I submit documentation for the audit?

A. Visit https://support.isaca.org to submit all documentation (select *Certification & Certificate Programs > CPE Audit*).

Q: What is the preferred file format to submit my documentation?

A. While PDF documentation is preferred, documents in other common formats are acceptable as well (e.g., word processing document with imbedded images, etc.). Copies of HTML files or similar are not recommended. For security purposes, we will not download documents via an outside source or cloud. You will be notified if we cannot open or easily view your documents. Please review your documents for clarity and completion before submission.

> A few reminders and best practices:
> - Enter the email address associated with your ISACA account.
> - Use "Response to CPE Audit" as the subject line.
> - Enter "Annual CPE Audit Documentation" (at a minimum) in the **Question** field.
> - Submit documentation in PDF format.
> - Enter your ISACA ID.

Q. What does the documentation need to include?

A. Documentation should be in the form of a letter, certificate of completion, Verification of Attendance Form (located in the CPE policy) or other independent proof of completion.

At a minimum, *each* CPE record should include:

1. Your name
2. Name of the sponsoring organization
3. Activity title
4. Activity description (where applicable)
5. Activity date
6. Number of CPE hours awarded or claimed.

Ultimately your CPE documentation needs to confirm <u>both</u> your attendance in the event and specify the CPE hours awarded.

Additional information:
- A student may submit a university/college transcript of successfully completed relevant courses.
- An author may submit evidence that his or her relevant title was published in the audited year.
- Professors/teachers typically provide letters from the establishments where they taught relevant courses

that confirm their CPE hours and activities.

- Calendar screenshots, receipts, invitations, etc. by themselves are typically not compliant documentation. PowerPoint presentations are not sufficient as CPE documentation and should not be submitted with your documentation.

Q. I am interested in submitting a copy of the Verification of Attendance Form from my CPE Policy for the audit. Who can sign this form?

A. This form may be signed by a representative of the organization that sponsored the relevant activity. This is often in the form of a presenter or similar authorized personnel.

Q. I am an author and my relevant title was published in the audited cycle year. How do I document this?

A. Typically, authors document their CPE hours in the form of a copy of the book cover, copyright page, and a screenshot of a listing from a seller of the book with relevant publishing details (date published, title, publishers name, your name, number of pages, etc.). We do not require an entire copy of the book but it should be available upon request. CPE hours are earned on a one to one ratio- one hour of work toward your relevant book equals one CPE hour.

Q. How do I submit audit documentation for mentoring?

A. Typically, documentation should be in the form of letters or emails to/from the mentored individual or a Verification of Attendance Form (located in the CPE policy) provided by the mentored individual. At a minimum the verification documentation should include the name of the mentor, dates, times, the signature of the person mentored and a brief description of the type of assistance provided by the mentor. Please see the following site for more information about documenting mentoring hours:
http://www.isaca.org/Certification/Pages/CPE-for-Mentoring.aspx

Q. I passed a relevant exam but it does not list how many hours I engaged in the exam. How can I document this?

A. You may supplement the exam results with documentation from the exam provider that shows the exam duration. This supplemental documentation can come in the form of an agenda or screenshot from an official website. Please submit both proof of a passed score and the supplemental documentation together.

Q. I submitted the contact details for the activity sponsor. Can ISACA contact the sponsoring organizers of my CPE activities to confirm my attendance?

A. ISACA does not contact outside entities to verify CPE hours and activities. It is up to the certified individual to obtain and provide compliant audit documentation as per the CPE Policy.

Unacceptable

Q. I read a book and/or listened to podcasts as a form of self-study for CPE hours. Will these be accepted during the audit without documentation?

A. No. Reading a book, listening to podcasts, and similar undocumented activities are not eligible for CPE

hours. Per the ISACA CPE Policy self-study activities are activities that "include structured courses designed for self-study that offer CPE hours." These activities will only be accepted if the course provider issued a certificate of completion and the certificate contains the number of CPE hours earned for the course. Consequently, if the activity in question does not adhere to the requirements of the CPE policy, these hours will be adjusted. Please note that if your hours are reduced you will still need to be able to meet your annual and/or three year cycle requirements in order to be compliant with the audit.

Q. I performed an on-the-job activity (ex. audit of a system, managed my team, etc.) for CPE hours. Would these hours be accepted for the CPE audit?
A. CPE hours are not accepted for on-the-job activities unless they fall into specific qualifying professional education activities. Please see your CPE Policy for more details.

Q. I submitted an Excel spreadsheet that I created with information about my CPE activities. Why was this denied?
A. Spreadsheets are not compliant CPE documentation unless also accompanied by independent documentation (i.e., CPE certificates). Please refer to your CPE Policy and audit email/letter for the types of documentation required by the audit. Note that you are welcome to submit a spreadsheet *in addition* to independent documentation that confirms your CPE hours and activities. In such instances, we would reference your spreadsheet as a roadmap of your documentation.

Q. I submitted a Verification of Attendance Form from my CPE Policy that I signed as self-verification of my activities. Why was this denied?
A. You are not eligible to verify your own CPE activities. Your CPE activities must be independently confirmed.

Q. Why were the CPE hours for my Microsoft Word class denied?
A. Per the CPE Policy, training in basic office productivity software, such as Microsoft Word or Excel, does not qualify for CPE hours.

Exceptions

Q. My documentation contains sensitive material or information that I cannot release to ISACA. How can I proceed with the audit?
A. ISACA requires independent documentation that shows where, when, and how you completed compliant CPE activities and does not require nor desire the submittal of classified information. Please refer to your CPE Policy and audit email/letter for examples of acceptable documentation.

ISACA-earned

Q. My CPE hours were earned via ISACA quizzes (available to ISACA members) and I no longer have the certificates of completion. Is ISACA able to verify that I completed these?
A. Most webinars are now automatically reported to your ISACA profile. Documentation for webinars listed as subject to audit on your audit document must be maintained by the certified individual as these have not been

directly recorded into ISACA profiles. If you cannot produce the CPE support documentation then these undocumented hours will be reduced during the audit. If the reduction makes you fall short of your annual or three-year requirements, you will need to make up for them with other qualifying CPE's or your certification would be subject to revocation.

Q. I engaged in an ISACA sponsored event. Why am I being asked to provide documentation?
A. Not all chapter programs and meetings are currently reported to the ISACA database, requiring attendees to maintain documentation for these hours. This is a feature that we are looking to add in the future. If your audit activity includes an ISACA activity that was indeed reported on your behalf please include a message with your documentation stating that the hours were reported on your behalf by an eligible entity and we will note this during the audit process.

Incomplete or Missing Documentation

Q. I do not have compliant documentation for the CPE that I reported (because my laptop crashed; my documents were stored on a machine with my previous employer; I lost the documentation; etc.). How should I proceed?
A. We suggest that you contact the sponsoring organizations for the activities you attended for duplicate CPE certificates or other proof of attendance.

Q. I cannot obtain compliant documentation to support the CPE hours and/or I added CPE hours for an activity that is not yet completed. What will happen?
A. CPE hours should only be added after an activity is completed and you have compliant documentation for the activity. If you cannot produce compliant documentation for the activity you will not be able to claim the activity for the CPE audit and your CPE audited hours will be reduced or updated accordingly. Please note that when your hours are reduced you will still need to be able to meet your annual and/or three-year cycle requirements in order to be compliant with the audit. If the reduction makes you short of the CPE requirement(s) then your certification will be subject to revocation.

Q. I only have compliant documentation for some activities and this will make me short of the required amount of hours I need for my certification. However, I have completed compliant CPE activities in the audited year that I did not previously report. May I utilize these CPE hours now?
A. Yes. We are happy to review compliant documentation for previously unreported CPE hours from the audited year. In the message to our support team, please include detailed information that includes the CPE hours you cannot support and also provides the details to support the new CPE hours and activities that you would like us to review. Note that any previously unreported activities must still adhere to your CPE Policy and have been completed in the audited cycle year.

Support

Q. How long will it take to process and review my audit documentation?
A. It can take up to 2-3 weeks. We thank you for your patience as we receive a large number of audit documentation messages each day.

Please note that messages are answered in the order that they are received and it is possible to receive a duplicate automated audit reminder even after you have submitted your documentation. We apologize for any duplicate communications.

Q. I have a question about my Continuing Professional Education (CPE) audit. Where should I direct this question?
A. Answers to frequently asked questions may be found via this FAQ document. Please review these for answers to your most pressing CPE audit questions. For the fastest response to additional requests please contact the ISACA Customer Experience Center via telephone at +1.847.660.5505, Monday-Friday, 7a.m. to 5p.m. CST. For general inquires, please send a message via https://support.isaca.org.

Q. I did not receive an email about the audit but I did receive a letter and now I am worried that my certification will soon be revoked. What can I do?
A. If the deadline has not passed simply respond to the audit request per the audit letter/email. If the audit deadline has passed you may still submit documentation. However, any account found in compliance with the audit after the deadline will be subject to a reinstatement fee of $50 USD. Note that ISACA sends numerous email reminders during our audit cycle. These messages may have been redirected to your spam folder. Please ensure that all your contact details in your ISACA profile are current.

Extension

Q. I will not be able to submit my documentation by the deadline. What should I do?
A. Submit an inquiry to the Customer Experience Center by visiting https://support.isaca.org to request for an extension. Extension requests are reviewed individually based on individual circumstances.

Appeals

Q. What do I do if an activity that I claimed for CPE hours was found to not qualify for CPE hours but I believe it does qualify for CPE hours per my CPE Policy?
A. If your audited CPE activity was found not eligible as CPE please send our support team documentation that adheres to all CPE documentation requirements AND include:
    1. A description of the CPE activity
    2. A brief summary statement on how this activity relates to your certification
    3. The job practice area(s) and task statements that support this CPE activity

Post-Audit Support

Q. My audit was passed but some CPE hours were denied/reduced due to insufficient documentation. I have since obtained additional documentation for the CPE hours that were previously denied or reduced. How do I reclaim these hours?

A. If you are able to submit the compliant documentation before the final audit deadline please simply submit it online at https://support.isaca.org. Kindly indicate that you are submitting additional documentation for previously reduced CPE hours. If the audit deadline has passed and you would like us to consider new compliant documentation please submit a message to our support team at https://support.isaca.org. We will review the CPE documentation and, if found to be compliant with the CPE policy, we will reapply these hours to your CPE record.

Q. My audit was passed but some of my CPE hours were reduced. How was this calculated?

A. While each situation is unique and reviewed on its own merit, typically CPE hours are awarded based on compliant documentation. If an ISACA certificate specifies that you have been awarded 8 CPE hours this activity would be approved for only 8 CPE hours. Additionally, some CPE categories have established instructions for calculating CPE hours. For example, for presentations and teaching courses CPE hours are earned at five times the presentation time or time estimated to take the course for the first delivery (e.g.: a two hour presentation earns ten CPE hours). Another common example is CPE's earned via ISACA and non-ISACA professional educational activities and meetings. One CPE hour is earned for every fifty (50) minutes of active participation (*excluding* lunches and breaks). Thus, a CISA who attends a relevant 120 minute presentation with a 20 minute break will earn 2 CPE hours (120 minutes minus 20 ineligible break minutes equals 100 minutes; 100 minutes divided by a "50-minute hour" equals 2 CPE). Please see your current CPE Policy for additional details on this topic.