

The Certified Information Systems Auditor Continuing Education Policy

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OVERVIEW

Due to the dynamic nature of information technology, the need arises to continuously redefine audit, control and security requirements and processes. To meet the needs of management, audit committees, government regulators, and other constituents, CISAs are required to remain current with new practices, trends and technology. This is accomplished through mandatory compliance with the CISA continuing education policy.

The goal of the continuing 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 continuing education policy will be better trained to assess information systems and technology and provide leadership and value to their organizations.

The responsibility for setting the continuing education requirements rests with the CISA Certification Board (Board). The Board oversees the continuing education process and requirements to ensure their applicability.

CERTIFICATION REQUIREMENTS

General Requirements

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

- Attain and submit an annual minimum of twenty (20) continuing education hours
- Submit annual continuing education maintenance fees to ISACA Headquarters in full
- Attain and submit a minimum of one-hundred and twenty (120) continuing education hours for a three-year reporting period
- Respond and submit required documentation of continuing education activities if selected for an annual audit
- Comply with ISACA Code of Professional Ethics (see Appendix A)

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

Annual and Three-Year Reporting Period

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

For newly certified CISAs, the annual and three-year reporting period begins on 1 January of the year succeeding certification. Reporting continuing education 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 Hours

A CISA is required to annually report continuing education hours attained. These hours must be reported on the invoice mailed each October by ISACA. Once completed, CISAs must sign and return the original copy of the invoice with payment to ISACA by 1 January to retain certification.

Notification of Annual Compliance

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

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AUDITS OF CONTINUING EDUCATION

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 Educational Activities. The Audit Committee conducting the audit will determine the acceptance of hours for specific educational activities.

RECORDKEEPING

A CISA must obtain and maintain documentation supporting reported continuing education activities. Documentation must be retained for a minimum of eighteen (18) months following the end of each annual reporting period. Documentation should be in the form of a letter, certificate of completion, payment receipt, attendance roster, 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, content description, presenter name(s), activity date and location, and the number of continuing education hours awarded or claimed.

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. A copy of the CISA revocation appeal process is available from ISACA Headquarters upon request.

RETIRED AND INACTIVE CISA STATUS

Retired CISA Status

CISAs are entitled to apply for “Retired” CISA status if over 55 and permanently retired from the IS auditing profession, or unable to perform the duties of the IS auditor by reason of permanent disability. CISAs granted this status are no longer required to obtain continuing education hours, but are required to pay the annual maintenance fee.

Inactive CISA Status

CISAs who are temporarily out of the IS auditing profession due to medical difficulties or long-term unemployment are entitled to apply for “Inactive” CISA status. CISAs granted this status are not required to obtain continuing education hours, but are required to pay the annual maintenance fee. Return to active status is required within two calendar years.

CISAs interested in filing for a “Retired” or “Inactive” CISA status can do so by contacting the Manager of Certification.

QUALIFYING EDUCATIONAL ACTIVITIES

Continuing education hours are not accepted for on-the-job activities unless they fall into a specific qualifying education activity. Activities that qualify for continuing education 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 to ensure a proper balance of professional development is attained. Specific activities also have annual continuing education hour limits. The following categories of qualifying activities and limits have been approved by the Certification Board and are allowable for continuing education hours.

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. Participation in ISACA chapter meetings will earn a minimum of one credit hour regardless of actual duration.

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- **Non-ISACA professional education activities and meetings (no limit):** These activities include university courses, conferences, seminars, workshops, and professional meetings and related activities not sponsored by ISACA. University courses earn 13 continuing education hours per semester and 10 continuing education hours per quarter.
- **Self-study courses (no limit):** These activities include structured courses designed for self-study that offer continuing education hours. These courses will only be accepted if a certificate of completion is issued by the course provider.
- **Vendor sales/marketing presentations (10-hour annual limitation):** These activities include vendor product or system specific sales presentations.

Contributions to the Profession

- **Teaching/lecturing/presenting (no limit):** These activities include the development and delivery of educational presentations. Professional education hours are earned at twice the presentation time for the first delivery (e.g.: 2 hour presentation earns 4 continuing education hours) and at the actual presentation time for the second delivery. Professional development hours cannot be earned for subsequent presentations of the same material unless the content is substantially modified.
- **Publication of articles, monographs and books (no limit):** These activities include the publication or review of material directly related to the information systems audit and control profession. Submissions must appear in a formal publication and a copy of the article must be available, if requested. For books and monographs, the table of contents and title page must be available. Professional development hours are earned for the actual number of hours taken to complete or review the material.
- **CISA question development and review (no limit):** This activity pertains to the development or review of CISA questions. One continuing education hour is earned for each CISA question accepted by ISACA's Test Enhancement Committee (TEC). 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 professional examinations. One continuing education hour is earned for each examination hour when a passing score is achieved.
- **ISACA and Information Systems Audit and Control Foundation (ISACF) Board/Committee work (10-hour annual limitation):** These activities include active participation on an ISACA/F Board or Committee, or active participation as a director of an ISACA chapter. One continuing education hour is earned for each hour of participation.
- **Contributions to the IS audit and control profession (10-hour annual limitation):** These activities include work performed for the Association that contributes to the IS audit and control profession (i.e. research development, CISA Review Manual development).

CALCULATING CONTINUING EDUCATION HOURS

One continuing education hour is earned for each fifty (50) minutes of active participation (excluding lunches and breaks) in an educational activity. Continuing education hours are only earned in full-hour increments. For example, a CISA who attends a five hour presentation (300 minutes) will earn six (6) continuing education hours (300 minutes of active participation / 50 minute credit hour).

CORRESPONDENCE

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APPENDIX A

INFORMATION SYSTEMS AUDIT AND CONTROL ASSOCIATION

Code of Professional Ethics

The Information Systems Audit and Control Association sets forth this Code of Professional Ethics to guide the professional and personal conduct of members of the Information Systems Audit and Control Association and/or holders of the Certified Information Systems Auditor (CISA) designation.

Information systems auditors shall:

1. Support the establishment of and compliance with standards, procedures and controls for information systems.
2. Comply with Information Systems Auditing Standards as adopted by the Information Systems Audit and Control Association.
3. Serve in the interest of their employers, stockholders, clients, and the general public in a diligent, loyal, and honest manner, and shall not knowingly be a party to any illegal or improper activities.
4. Maintain the confidentiality of information obtained in the course of their duties. The information shall not be used for personal benefit nor released to inappropriate parties.
5. Perform their duties in an independent and objective manner, and shall avoid activities which threaten, or may appear to threaten, their independence.
6. Maintain competency in the interrelated fields of auditing and information systems through participation in professional development activities.
7. Use due care to obtain and document sufficient factual material on which to base conclusions and recommendations.
8. Inform the appropriate parties of the results of audit work performed.
9. Support the education of management, clients, and the general public to enhance their understanding of auditing and information systems.
10. Maintain high standards of conduct and character in both professional and personal activities.