



**Shared Assessments Program**  
**Associate Certified Third Party Risk Professional (CTPRP)**  
**ASSOCIATE CTPRP ELIGIBILITY POLICY – AUGUST 2016**  
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**Associate CTPRP Eligibility:**

Individuals who attend and pass the CTPRP Workshop and Examination, but do not yet hold the minimum of five (5) years of risk management professional experience required for the CTPRP designation, will earn the Associate CTPRP designation.

**Associate CTPRP Certification Period:**

Your Associate CTPRP certification period is valid until the requisite CTPRP risk management professional experience is earned. The certification period begins on the date of notification of earning the Associate CTPRP designation.

To retain the Associate CTPRP standing, certificate holders must comply with the following requirements:

- Maintain the minimum required number of Continuing Professional Education (CPE) credits annually (see below under “CPE Requirements”);
- Remain current with payments for the annual certification maintenance fees; and
- Abide by the Shared Assessments Code of Ethics ([Appendix C](#)).<sup>1</sup>

**CPE Requirements**

Associate CTPRP certificate holders must attain and report a minimum of twenty (20) CPE hours annually. CPE credit hours may be earned through Shared Assessments Program Activities and/or through external activities appropriate to the third party risk management subject matter. CPE credits must be submitted on an annual basis to retain Associate CTPRP standing, and also when you are qualifying for CTPRP certification.

*Please submit CPE credits using the form found in [Appendix A](#).*

*To learn more on how to attain Shared Assessments related CPE credits or acceptable non-Shared Assessments related CPE Credits, please see [Appendix B](#).*

**Associate CTPRP Maintenance Fee**

The annual Associate CTPRP maintenance fee is \$100.00. Invoice notification for renewal will be provided ninety (90) days in advance of the anniversary of the individual’s certification date.

**Use of the Associate CTPRP Acronym**

Shared Assessments CTPRP and Associate CTPRP certification do not confer the right of individual use of the Shared Assessments or CTPRP logos. Associate CTPRP certificate holders may use the Associate CTPRP acronym following their name in signatures, business cards, websites, resumes and other business and private use materials. For *example: John Q. Public, Associate CTPRP.*

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<sup>1</sup> The term “annual” refers throughout to the year-long period that begins and ends with the individual’s certification date.

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**How to Apply for the CTPRP Certification:**

Once the requisite CTPRP risk management professional experience is earned, Associate CTPRP certificate holders may apply for the CTPRP certification by:

- Completing a Proof of Experience form ([Appendix D](#)); and
- Submitting evidence of earned CPE credits.

Upon approval by the Shared Assessments CTPRP Certification Committee, the CTPRP designation is valid for three (3) years of and the certification period will begin on the date of notification of successfully completing all of the CTPRP Program requirements.

**CTPRP Experience Requirement Defined:**

CTPRP applicants must have a thorough working knowledge of third party risk management concepts and principles, including:

- Managing the third party lifecycle.
- Third party risk identification and rating:
  - Determining monitoring frequency.
- The fundamentals of third party risk assessment, monitoring and management:
  - Effective utilization of third party questionnaires (trust).
  - Conducting onsite assessments (verify).
  - Developing an effective remediation plan and remediation reporting.

The areas of expertise that qualify for the risk management professional experience for CTPRP qualification include, but are not limited to, the following areas:

- Third party risk management/assessment (either generally or IT specific).
- Audit and/or compliance:
  - Experience in determining whether organizations are executing risk controls against specific standards.
- Risk control areas assessed as part of third party assessment processes:
  - Business continuity planning (BCP), business resiliency planning, access control, privacy, etc.
  - Knowledge of the importance of risk controls and determining if controls are adequate.

**Work Experience Substitutions and Waivers:**

A maximum of two (2) years of work experience may be waived as follows:

- *One-year waiver:* The applicant holds a bachelor's or master's in information security or information technology from an accredited university.
- *One-year waiver:* The applicant holds an IT or IS certification (i.e., CISA, CISSP, CIPP, CIPM, etc.).

*NOTE: The acceptance of a certification in lieu of one year's work experience is subject to the approval of the CTPRP Certification Committee.*

For more information, please contact Katherine Kneeland, Senior Project Manager, The Santa Fe Group at [katherine@santa-fe-group.com](mailto:katherine@santa-fe-group.com).



**APPENDIX A**  
**CONTINUING PROFESSIONAL EDUCATION (CPE) SUBMISSION FORM**  
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**Contact Detail:**

*Name:*

*Title:*

*Company:*

*Email:*

*Telephone:*

*Exam Identification Number:*

**CPE Credit Detail:**

**Shared Assessments CPE Activities**

Shared Assessments does not require Associate CTPRP certificate holders to submit documentation for Shared Assessments related activities. That activity participation information is automatically compiled for you by Shared Assessments. However, you are advised to retain documentation for your own records in the event that you are randomly selected for a CPE audit.

**Non-Shared Assessments CPE Activities**

Non-Shared Assessments CPE hours may be earned from attending industry conferences or webinars, authoring published materials, course instructions or from speaking engagements pertaining to the topics that fall under the third party risk management umbrella, such as security, privacy and business continuity.

Among the types of activities deemed acceptable for CPEs are:

- ISACA, IAPP, ISC2 and AICPA education activities and meetings.
- In-house corporate training, professional conferences, workshops, webinars and university courses.
- Self-study courses which offer CPE credits.
- Teaching or presenting at industry conferences and events.

Documentation relating to CPE credits earned through external activities must be obtained and should be in the form of a letter, certificate of completion, attendance roster or other written verification of attendance. At a minimum, each record should include the event name, name of the sponsoring organization, date of the activity, number of CPE hours awarded and a description of the event.

*NOTE: The CTPRP Certification Committee will determine the acceptance of hours for non-Shared Assessments-related activities.*

**APPENDIX A**  
**CONTINUING PROFESSIONAL EDUCATION (CPE) SUBMISSION FORM**  
**(PAGE 2 OF 2)**

Event Name	Sponsoring Organization	Date of Event	Number of CPE Hours Earned	Event Description

*Please attach, or scan and pdf and email, supporting documentation for each activity listed above.*

**CTPRP and Associate CTPRP holders may be required to participate in an audit of CPE credits.**

**CPE submission forms and supporting documentation can be sent electronically to Nicole Musolf, Project Manager, The Santa Fe Group at [Nicole@santa-fe-group.com](mailto:Nicole@santa-fe-group.com), or sent by U.S. Mail to:**

**Nicole Musolf  
Project Manager  
The Santa Fe Group  
3 Chamisa Drive North, Suite 2  
Santa Fe, NM 87508**

**For more information, please contact Nicole at [Nicole@santa-fe-group.com](mailto:Nicole@santa-fe-group.com) or 505-466-6434.**

**APPENDIX B**  
**EARNING SHARED ASSESSMENTS AND EXTERNAL CPE HOURS**  
**(PAGE 1 OF 2)**

**SHARED ASSESSMENTS CPE HOURS**

CPE credits can be earned by participating in Shared Assessments committees, activities and events. Below you will find a list of activities for Corporate and Individual Members.

**Corporate Shared Assessments Members:**

- **Shared Assessments Steering Committee:**
  - Two-year terms by election only. Nominations for Steering Committee members are sought in January of each year.
    - 12+ CPE credits can be earned on an annual basis.
- **Shared Assessments Development Committees:**
  - Standard Information Gathering (SIG) Questionnaire Committee.
  - Standard Information Gathering (SIG) Privacy Committee.
  - Agreed Upon Procedures (AUP) Committee.
  - Vendor Risk Management Maturity Model (VRMMM) Committee.
  - CTPRP Review Committee.
    - Up to 12+ CPE credits can be earned on an annual basis per committee.
- **Knowledge Committees:** The Best Practices Awareness Group and Regulatory Compliance Awareness group committees focus on specific, topic-driven areas associated with Third Party Risk Management.
  - Approximately 12+ CPE credits can be earned on an annual basis per committee (note: 1 CPE is awarded for each 50-minute hour).
- **Monthly Member Forum Calls:** Join key industry and regulatory thought leaders who present on the latest developments in third party risk management and regulatory compliance. Peer interactions during these sessions provide further insight into current events and issues.
  - Approximately 12+ CPE credits can be earned on an annual basis per committee (note: 1 CPE is awarded for each 50-minute hour).
- **Submission of Blogs for Shared Assessments *Authorities on Risk Assurance*:** The Shared Assessments website provides *Authorities on Assurance*, a forum for the discussion of trends, issues and challenges in the world of third party risk assurance. The site is designed to address the concerns of people responsible for an ever growing list of issues, including: third party risk management; third party assessment; and third party IT security, privacy and data breach.
  - 2 CPE credits can be earned per each 400 to 600-word published blog.
- **Become a Mentor with the Shared Assessments Buddy Program:** The Buddy Program allows all participants to expand their peer network and their understanding of third party risk management best practices.
  - 2 CPE credits can be earned for each mentor session hour performed.
- **Attendance at the Annual Shared Assessments Summit and Pre-Summit Workshops:** The Shared Assessments Summit is an annual, day-and-a-half, in-person forum providing expertise on the outsourcing landscape, regulator insights, updates on global trends and other third party risk management topics of interest. Multiple Pre-Summit Workshops are offered in advance of the event.
  - 12 CPE credits can be earned by attending the Summit.
  - 4 CPE credits can be earned for each Pre-Summit Workshop.

**APPENDIX B**  
**EARNING SHARED ASSESSMENTS AND EXTERNAL CPE HOURS**  
**(PAGE 2 OF 2)**

**Individual Shared Assessments Members:**

- **Knowledge Committees:** The Best Practices Awareness Group and Regulatory Compliance Awareness group committees focus on specific topic-driven areas associated with Third Party Risk Management.
  - Approximately 12+ CPE credits can be earned on an annual basis per committee (note: 1 CPE is awarded for each 50-minute hour).
- **Monthly Member Forum Calls:** Join key industry and regulatory thought leaders who present on the latest developments in third party risk management and regulatory compliance. Peer interactions during these sessions provide further insight into current events and issues.
  - Approximately 12+ CPE credits can be earned on an annual basis per committee (note: 1 CPE is awarded for each 50-minute hour).
- **Submission of Blogs for Shared Assessments *Authorities on Risk Assurance*:** The Shared Assessments website provides *Authorities on Assurance*, a forum for the discussion of trends, issues and challenges in the world of third party risk assurance. It's designed to address the concerns of people responsible for an ever growing list of issues, including: third party risk management; third party assessment; and third party IT security, privacy and data breach.
  - 2 CPE credits can be earned per each 400 to 600-word published blog.
- **Attendance at the Annual Shared Assessments Summit and Pre-Summit Workshops:** The Shared Assessments Summit is an annual, day-and-a-half, in-person forum providing expertise on the outsourcing landscape, regulator insights, updates on global trends and other third party risk management topics of interest. Multiple Pre-Summit Workshops are offered in advance of the event.
  - 12 CPE credits can be earned by attending the Summit.
  - 4 CPE credits can be earned for each Pre-Summit Workshop.

**NON-SHARED ASSESSMENTS (EXTERNAL) ACTIVITIES CPE HOURS**

Non-Shared Assessments CPE hours may be earned from attending industry conferences or webinars, authoring published materials or course instructions, or from speaking engagements pertaining to the topics that fall under the third party risk management umbrella, such as security, privacy and business resiliency.

Among the types of acceptable activities include:

- ISACA, IAPP, ISC2, and AICPA education activities and meetings.
- In-house corporate training, professional conferences, workshops, webinars and university courses.
- Self-study courses which offer CPE credits.
- Teaching or presenting at industry conferences and events.

Documentation relating to earned CPE credits for external activities must be obtained and should be in the form of a letter, certificate of completion, attendance roster or other written verification of attendance. At a minimum, each record should include the event name, name of the sponsoring organization, date of the activity, number of CPE hours awarded and a description of the event.

*NOTE: The CTPRP Certification Committee will determine the acceptance of hours for non-Shared Assessments-related activities.*

**CTPRP and Associate CTPRP holders may be required to participate in an audit of CPE credits.**



**APPENDIX C**  
**SHARED ASSESSMENTS CODE OF ETHICS**  
**(PAGE 1 OF 1)**

The Shared Assessments Program has established a Code of Professional Ethics to guide the conduct of its certification holders. The goal of the code of ethics is to clarify every certified risk professional's responsibility to support the risk management profession by conducting themselves in a professional and ethical manner.

Action will be taken against anyone who violates the ethics code. These actions may range from a warning to the withdrawal of their risk professional certification. Rather than seek to regulate its certificate holders, Shared Assessments intention is that this code aids in providing guidance in making ethical decisions.

Shared Assessments certification holders shall:

1. Abide by the law of the land in which services are provided, perform all duties in an honorable manner and respect the rights of others in performing professional responsibilities.
2. Perform their duties with objectivity and professional care, and in accordance with professional standards.
3. Encourage compliance with appropriate standards and procedures for the effective management of enterprise information systems and technology including: audit, risk controls, privacy, security and risk management.
4. Maintain the privacy and confidentiality of information obtained in the course of their activities, 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 they can reasonably expect to complete with the necessary skills, knowledge and competence.
6. Not knowingly provide misleading or inaccurate information, nor encourage or otherwise participate in the release of such information.

**SIGNATURE OF APPLICANT**

I certify the information provided in this application is true and accurate, and I agree to abide by the Shared Assessments Program Code of Professional Ethics

\_\_\_\_\_  
Applicant Name

\_\_\_\_\_  
Applicant Signature

\_\_\_\_\_  
Date



**APPENDIX D**  
**SHARED ASSESSMENTS PROGRAM**  
**ASSOCIATE CERTIFIED THIRD PARTY RISK PROFESSIONAL (CTPRP)**  
**PROOF OF EXPERIENCE FORM (PAGE 1 OF 4)**

Associate CTPRP certificate holders may apply for the CTPRP designation upon earning a minimum of five (5) years of risk management professional experience in a position(s) that demonstrates proficiency in assessment, management, and remediation of third party risk issues.

Associate CTPRP certificate holders must present a completed Shared Assessments Associate CTPRP Proof of Experience form signed by both the applicant and applicant's current manager at their current place of employment to confirm work experience.

**Applicant Information:**

Name:

Address:

Telephone:

Email Address:

Exam Identification Number:

**Work Experience:**

In order to qualify as experience, the applicant must hold third party risk management experience within the following domains:

- Managing the third party lifecycle.
- Third party risk identification and rating:
  - Determining monitoring frequency.
- The fundamentals of third party risk assessment, monitoring and management:
  - Effective utilization of third party questionnaires (trust).
  - Conducting onsite assessments (verify).
  - Developing an effective remediation plan and remediation reporting.



**APPENDIX D**  
**SHARED ASSESSMENTS PROGRAM**  
**ASSOCIATE CERTIFIED THIRD PARTY RISK PROFESSIONAL (CTPRP)**  
**PROOF OF EXPERIENCE FORM (PAGE 2 OF 4)**

**Work Experience Substitutions and Waivers:**

A maximum of two (2) years of work experience may be waived as follows:

- *One-year waiver:* The applicant holds a bachelor's or master's in information security or information technology from an accredited university.
- *One-year waiver:* The applicant holds an IT or IS certification (i.e., CISA, CISSP, CIPP, CIPM, etc.).

*NOTE: The acceptance of a certification in lieu of one year's work experience is subject to the approval of the CTPRP Certification Committee.*

**Current employment:**

Company:

Address:

Date of Hire:

Title/Position:

Responsibilities:

**Previous Employment:**

Company:

Address:

Length of Service (MM/YY to MM/YY):

Title/Position:

Responsibilities:

**APPENDIX D**  
**SHARED ASSESSMENTS PROGRAM**  
**ASSOCIATE CERTIFIED THIRD PARTY RISK PROFESSIONAL (CTPRP)**  
**PROOF OF EXPERIENCE FORM (PAGE 3 OF 4)**

**Previous Employment:**

Company:

Address:

Length of Service:

Title/Position:

Responsibilities:

**Educational Experience Waiver:**

University Name:

Educational Degree Awarded (Bachelor's, Master's, Ph.D., etc.):

Education Field of Study:

**Certification Experience Waiver:**

Current Credentials

**APPENDIX D**  
**SHARED ASSESSMENTS PROGRAM**  
**ASSOCIATE CERTIFIED THIRD PARTY RISK PROFESSIONAL (CTPRP)**  
**PROOF OF EXPERIENCE FORM (PAGE 4 OF 4)**

**EMPLOYER'S VERIFICATION**

Manager's Name:

Company Name:

Job Title:

Address:

Company Telephone Number:

Company Email Address:

I am attesting to the information as outlined above in this application and hereby certify that \_\_\_\_\_ holds the necessary experience in the third party risk management domains as outlined under the section entitled "Work Experience" above.

\_\_\_\_\_  
Verifier's Signature

\_\_\_\_\_  
Date