

NERC Compliance Process Bulletin #2009-CAG-003 Regional Compliance Auditor Training Requirements

Version 1.2

May 13, 2009 | Process Bulletin

This bulletin outlines the compliance auditor training requirements for regional personnel conducting audits of registered entities on behalf of the ERO. In addition, this bulletin provides the process steps required for requesting online training, class course registrations, and maintenance of personnel accessing the Design-a-Course (DAC) system — the Learning Management System used for NERC’s online courses.

Section 402.9 of the NERC Rules of Procedure¹ specifies: “NERC shall develop and provide training in auditing skills to all people who participate in NERC and Regional Entity compliance enforcement audits.” For audits conducted after January 1, 2008, the NERC Compliance Monitoring and Enforcement Program requires each audit team member to complete all NERC or NERC-approved auditor training applicable to the compliance audit.

Common auditor training will facilitate uniformity across the Regions. NERC is working towards improving training with the Regions.

Details regarding auditor training courses and course descriptions will be provided, as needed, by the NERC Training Department. The auditor training requirements will be updated by the NERC Compliance Audit Group to reflect the current requirements. Audit members not fulfilling the training requirements should not participate on audits until the training requirements are met. Any exceptions to the training requirements should be reported to Jim Hughes with an explanation via e-mail at jim.hughes@ner.net.

Required Training:

Audit Team Lead (ATL):

- Fundamentals of Auditing for NERC Compliance Team Leaders — Instructor Lead Course (effective date: June 18, 2008).
- Gathering Quality Evidence — e-Learning Module (effective date: April 30, 2008)

¹ Section 402.9, NERC Rules of Procedures, as accepted by FERC Order issued March 21, 2008 (122 FERC [para.sign] 61,245); effective August 13, 2008.

Audit Team Members (Volunteers/CIP Auditors):

- Fundamentals of Auditing for NERC Compliance Audit Team Members — e-Learning Modules (effective date: January 1, 2008)
- Gathering Quality Evidence — e-Learning Module (effective date: April 30, 2008)

Authorizations, Registrations & Contacts:

To register an individual for online courses, the Regional Compliance Manager or delegate must send a request to NERC.

Please forward the registration request to:

- jim.hughes@nerc.net

Please include the following information:

- Registrant's Name
- Title
- E-mail address
- Telephone Number
- Registrant's Audit Capacity; (i.e. Audit Team Lead, Audit Team Member, CIP Auditor, Subject Matter Expert)

E-mail correspondence to and from NERC will serve as authorization and confirmation for Regions requesting training. The Regional Entities shall request auditor training for all individuals that will be participating on registered entity audits.

Registration information for instructor-led courses will be provided by the NERC Training Department as needed on a real-time basis.

Note: The training authorization and registration is *only* for Regional Staff and Audit Team Members participating in Audit activities.

Tracking and Records Maintenance:

NERC will maintain a list of trained auditors and their audit training completion dates. This list will include instructor led courses and DAC users. NERC will provide the list of qualified auditors to the Regions annually to verify that users of the training system and the list are still valid. NERC will provide viewing access to the DAC training system to designated Regional staff. The Regions are responsible for notifying NERC of any staff changes that would require access to the DAC system be disabled by providing names to:

- jim.hughes@nerc.net

If you have additional questions or comments regarding audit training requirements and/or processes, please contact Jim Hughes at jim.hughes@nerc.net.

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Revision History

Version	Date	Reviewers	Revision Description
1.0	May 13, 2009	NERC Management	Non-Public Document Available to Regional Staff
1.1	May 19, 2010	NERC Management	Changed non-public status and posted publicly. Updated the contact information. Removed NERC CIP Standards Training – Instructor Led under Recommended Training.
1.2	July 6, 2010	NERC Management	Changed primary contact to Jim Hughes

Process disclaimer: NERC reserves the right to issue new process bulletins or modify existing process bulletins when necessary and at its discretion.