Continuing Education Providers Routine Audit Checklist

Credential Maintenance Working Group
February 2025

Purpose of Routine Audit

Routine audits are used to provide reasonable assurance that NERC Continuing Education (CE) providers, inclusive of the corresponding learning activities they administer, are adhering to the requirements outlined in the *Credential Maintenance Program Administrative Manual* (CMP Manual) that can be found on NERC.com under the Credential Maintenance Program (CMP) section.[1]

Audit team members use the checklist below to ensure consistency and accuracy when performing a routine audit.

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[1] https://www.nerc.com/pa/Train/SysOpCert/Pages/SOOneStopShop.aspx

Audit Items

Entity being audited: _____

Course Number: _____

Course Name: _____

Audit Period: ☐ Within twelve months prior to CE provider renewal?

Score each required item using the following scale:

1. Unable to determine based on items provided.

2. Does not meet the corresponding requirements of the CMP Manual.

3. Meets the corresponding minimum requirements of the CMP Manual but has opportunity for improvement.

4. Meets the corresponding minimum requirements of the CMP Manual.

5. Exceeds the corresponding minimum requirements of the CMP Manual.

6. Exceeds the corresponding minimum requirements of the CMP Manual and is at or near the level of best practice.

N/A – Not applicable based on CMP Manual revision.

Required Elements Checklist		
Note: Any element with a score less than 3 will result in an unsatisfactory audit.	**Score***	**Comment**
1. Alignment of materials with corresponding Individual Learning Activity (ILA). *[4.1.1, 4.2, 4.3.1.a, 4.3.1.b, & 8.3.2.b.i]*		
2. Lesson Plan[2] delivery details. *[4.3.1.a & 8.3.2.b.i]*		
3. Lesson Plan[2] Learning Objective assessment details. *[4.3.1.a & 8.3.2.b.i]*		
4. Assessment suitability with respect to Learning Objectives. *[4.1.1.i & 8.3.2.b.i]*		
5. Lesson Plan[2] review and approval process. *[4.1.1, 4.3.1.b, 8.3.2.b.ii, & 8.3.2.b.iii]*		
6. Training personnel Involvement. *[4.3.1.c & 8.3.2.b.iv]*		
7. Training record control and quality. *[3.3.2.b, 4.3.1.h, 8.3.2.b.v & 8.3.2.b.vi]*		
8. Programmatic use of training feedback. *[4.3.1.f & 8.3.2.b.vii]*		
Average Score:		

*Note: Scores of 1, 2, or 6 must be reviewed by Credential Maintenance Working Group Leadership.

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[2] Applicable to evidence provided for ILA courses approved or renewed on or after January 1, 2023.

☐ **Satisfactory**: All required elements have a score of 3 or higher.

☐ **Unsatisfactory**: One or more required elements have a score less than 3.

Comments/Recommendations:

Auditor's Name: _____

Date Review Completed: _____