

NERC Continuing Education Level 2 Course Audit Checklist

General Information

SOCCED Course ID: _____

SOCCED Course Name: _____

Instructions

The focus of a routine audit is to compare information submitted by the Provider before and after the delivery of an approved learning activity. The program administrator and/or audit team compares how well the provider adhered to the NERC Continuing Education (CE) Program's criteria on the delivery of a learning activity versus the information submitted on the application. The information needed by the administrator and/or audit team to assess the performance of audited learning activities must be uploaded to the System Operator Certification and Continuing Education database (SOCCED).

Performance audits focus on the adequacy and consistency between the criteria and the actual delivery of a learning activity in respect to:

- Clarity and completeness of the provider's Individual Learning Application (ILA).
- Accuracy of course data entered into the SOCCEd.
- Clearly stated learning objectives.
- Learning content that will accomplish the learning objectives.
- Delivery type appropriate for the content.
- Learning assessments that validate each learner has achieved the learning objectives.
- Applicability to the NERC System Operator Certification Program's credential maintenance requirements as set forth by the Personnel Certification Governance Committee (PCGC).

Audit team members will use this checklist to ensure consistency and accuracy during the audit reviews.

Documentation Requirements

The following documents must be uploaded to SOCCEd:

- Roster for the specific instance of the course delivery. Rosters must include:
 - NERC Course ID
 - Delivery Date (only for the date of the course being audited)
 - NERC certificate numbers as appropriate, note that not all attendees may be certified.
- Documentation of piloting, as applicable for CBT or Self-Study learning activity.

- A copy of the proctoring agreement or learning contract, if used.
- A copy of Instructional Guide or Lesson Plan.
- Supporting presentations.
 - If a computer based training, screen captures of the course will suffice for presentation material.
- Documentation for Computer Based Training content may be submitted in any of the following formats:
 - Detailed storyboard/design documentation
 - Screen capture
 - Transcript
 - Access to a video of the course for the reviewer
 - Temporary access to the course for the reviewer
- A blank copy of the learning assessments for the course.
- Summary of learning assessment results for the course
- Summary of end-of-course evaluations, either an electronic summary of all student feedback for this course or a scan of all evaluation forms for this course.
- A blank sample of the end-of-course evaluation form.
- Summary of instructor qualifications

Audit Items

Course Information

The course information section was complete and accurate.	Yes	No	
Operating Topic hours are not exceeded by Standard or Simulation hours.	Yes	No	N/A

Comments:

Learning Assessment

The type of learning assessment is appropriate for the type of learning objectives (i.e. knowledge vs. performance objectives).	Yes	No	
The type of learning assessment is appropriate for the type of delivery mode.	Yes	No	
There is a match between the learning assessment(s), learning objectives, content type, and delivery mode.	Yes	No	

Comments:

Course Evaluations

A summary of student feedback evaluations and/or a blank evaluation form was submitted for the course.	Yes	No	
The end of course student feedback gathers input on areas that will improve either the course, the instructor delivery, and/or the training program.	Yes	No	

Comments:

Specialized Learning Activities

If the learning activity is OJT, participant is presented with learning objectives and a method of assessing learning.	Yes	No	N/A
If the learning activity is a BUCC drill, is travel time counted in CEHs?	Yes	No	N/A
If the learning activity is a BUCC drill, are CEHs for the drill time only and do not include normal operations?	Yes	No	N/A

Comments:

Learning Objectives

The learning objectives are clearly written.	Yes	No
Learning objectives are measureable and/or observable.	Yes	No
Achievement of the learning objectives is validated by the learning assessment type and content.	Yes	No
Learning objectives in the course content match learning objectives in the ILA.	Yes	No
Documentation exists which verifies that the learning objectives are addressed in training delivery.	Yes	No

Comments:

Learning Activity Delivery Method

The learning activity delivery method(s) are appropriate for the type of learning objectives. For example, if there are performance objectives, there is demonstration then an opportunity to practice.	Yes	No
The content delivery method was accurately reflected on the ILA application.	Yes	No

Comments:

Learning Activity Content

The course content segment descriptions contain sufficient detail to determine that the objectives can be met within the scope of the content.	Yes	No	
Partial credit is allowed and the segments for which partial credit can be awarded are checked in the Learning Activity Content section of the ILA.	Yes	No	N/A
The total of the segment lengths is equal to the total CEHs.	Yes	No	
Learning objectives which apply to a content segment are included in the content for that segment.	Yes	No	
The course content delivered matches the description of the ILA	Yes	No	
The CEHs requested appear appropriate for this learning activity.	Yes	No	

Comments:

CE Reviewer Recommendations

Any issues noted during the review of this application have been satisfactorily reconciled. Yes No N/A

PASS: The Reviewer recommends that this course has satisfactorily met the criteria under evaluation.

FAIL: The Reviewer recommends that this course has not met the criteria under evaluation.

Comments:

Reviewer's Name:

Date:

Reviewer suggestions (Optional):