

NERC Continuing Education Provider Audit Checklist

General Information

SOCCEd Provider ID: _____

Organization Name: _____

Contact Name: _____

Instructions

The focus of a provider audit is to determine whether a provider is meeting their responsibilities as a NERC approved CE Provider.

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). Refer to Chapter 3 of the NERC Credential Maintenance Program Administrative Manual, version 4.6 for provider criteria.

Documentation

The provider supplied the following documentation:

A roster example, complete with NERC Course ID and Certificate numbers	Yes	No	
An example of piloting documentation of piloting, if applicable to the learning activity	Yes	No	N/A
A copy of a sample proctoring agreement or learning contract, if used, that meets the requirements of the CE Program	Yes	No	N/A
A summary or supporting examples of document retention process/procedure	Yes	No	
An example of instructor qualifications or narrative of process for instructor qualification for a learning activity	Yes	No	

Comments:

CE Reviewer Recommendations

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

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

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

Comments:

Reviewer's Name: _____ Date: _____

Reviewer suggestion (Optional)