What to Keep for a CE Audit

A print-ready checklist for licensed mental health professionals: what to check before you attest, what to keep for every course and every cycle, how to answer an audit notice, and how long to keep the packet. Retention periods and audit rules are set by each board; confirm yours before relying on any figure.

01 Before you file the renewal

The attestation is what the audit tests

- [ ] Match every certificate on file to a course you are claiming.
- [ ] Check each certificate shows your name, course title, completion date, hours, and provider.
- [ ] Record the provider approval number where your board relies on one.
- [ ] Map each certificate to the requirement it satisfies.
- [ ] Confirm every completion date falls inside the cycle you are renewing.
- [ ] Check format limits: self-study under the cap, any live minimum met.
- [ ] Verify the provider was approved for your board on the date you took the course.
- [ ] For more than one license, note which rule each course was claimed under.

02 What to keep for each course

The certificate plus what backs it up

- [ ] The certificate of completion, as a PDF or a clean scan.
- [ ] Provider approval evidence: approval number, board listing, or sponsor letter.
- [ ] A course description or timed agenda.
- [ ] The registration confirmation or receipt.
- [ ] For self-study: the log or summary your board specifies.
- [ ] For teaching, presenting, publishing, or supervision: the board's own form or a dated sponsor letter.

03 What to keep for each cycle

The packet a reviewer can read in one pass

- [ ] A cover sheet: license number, cycle dates, hours required and completed, each category required and completed.
- [ ] A copy of the renewal attestation or confirmation you submitted.
- [ ] Your CE Broker or portal transcript, where the state uses one.
- [ ] Any board correspondence about waivers, extensions, or hardship exemptions.

04 If you receive an audit notice

Deadline first, then documents

- [ ] Read the response deadline first and put it on a calendar.
- [ ] Send exactly what the notice asks for, in the format it asks for.
- [ ] Attach the cover sheet mapping certificates to requirements.
- [ ] Keep a copy of everything you submit and the date you submitted it.
- [ ] If a course is rejected, ask about the cure window immediately.

05 How long to keep it

At least the board's period, measured the board's way

- [ ] Keep the packet at least as long as your board's stated retention period.
- [ ] With no stated period, keep two full cycles.
- [ ] Keep it longer if you renewed late.
- [ ] Keep a separate packet for every license, even when the courses overlap.