



GWO Requirements for Training Providers

Version:

Training Provider:

Address:

Certification Body

Audit team (leader):

Audit Dates:

-

Certification Body coding

Index and guidance for completion

Cover page

1. Certification Body coding: allowed for the Certification Body to include any internally required coding or tracking references. Can be left blank

1. Audit overview

1.1 This audit report/tool is optional for use in the case of stage 1 audits.

1.2 Methodology: blended audits refer to these audits conducted in a combined option (physical visit and remote)

1.3 Multi-sites audit: applies to either various facilities or various training settings. If the QMS is not common among the various sites, separate audit reports are required. If the QMS is common among the various sites, the auditor can decide whether to use separate audit reports for each site or a single audit report covering the various sites. If this option is preferred, the following needs to be observed:

a) In cover page (Address): list the addresses of the various sites

b) In section 2 (Audit conclusions), Training modules recommended for certification: specify which modules and/or training settings are recommended for certification in each site

1.4 Courses advertised match valid certificates: The auditor must verify as far as is reasonably practicable, that the training provider advertises only the modules, training settings and locations covered by the existing certificates. (training module, training setting and training location)

2. Audit conclusions

2.1 Areas of focus until next audit: not mandatory to complete but auditor is advised to do so

2.2 Other comments: allowed for auditor to include any additional information required (can be left blank)

3. Assessment findings

3.1 The criteria following will be used for categorization of audit findings:

- a. Major non-conformity: a non-conformity that affects the capability of the management system to achieve the intended results. Non-conformities could be classified as major in the following circumstances:
 - a) if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements
 - b) a number of minor nonconformities associated with the same requirement or issue that demonstrates a systemic failure
- b. Minor non-conformity: a non-conformity that does not affect the capability of the management system to achieve the intended results
- c. Observation: something that could lead to a non-conformity, if allowed to continue uncorrected; or an existing condition without adequate supporting evidence to verify that it constitutes a non-conformity

3.2 RCA/Action plans for closure and Closure dates are only required for Major and Minor non-conformity

4. Audit sections

4.1 Questions are categorized as follows:

- a. Questions, tagged: **Audit notes/significant audit trails** require detailed validation content
- b. For other questions, validation content is not mandatory but auditor is encouraged to include

4.2 Any question in which "No" is the selected option must generate a finding

4.3 For initial certification audits, the N/A option cannot be selected in any question, except these in 8.2 not corresponding to the training setting being audited

5. Training assessment (observation of training)

5.1 Lessons/Elements observed: numbers are required (example 6.1)

5.2 Recommendations: are not mandatory but auditor is advised to provide

6. Audit program

6.1 Completion of this section is intended towards helping auditor and training provider to plan in advance

6.2 Dates and selected standards can be modified as required as part of the certification cycle without the need to inform GWO

6.3 Decision to use in the case of multi-sites is subject to assessment by auditor in regards complexity

7. Audit notes

7.1 This section is optional for the auditor to use and include any required backup information (can be left blank)

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<https://get.adobe.com/reader/>

1. Audit overview

STAGE	METHODOLOGY	If remote or blended, in accordance to IAF MD 4:2018
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Previous Audit conducted remotely:

TRANSFER OF CERTIFICATE	Date of transfer	In accordance to IAF MD 2: 2017
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MULTISITE AUDIT	NUMBER OF SITES OR TRAINING SETTINGS
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Audit type vs. training settings		AUDIT TYPE			
		Certification (Initial)	Surveillance	Surveillance (Recertification)	Extension of scope
TRAINING TYPE	Fixed Training facility				
	Mobile Training facility				
	Onsite Training				
	Digital Training				

Audit type vs. training standards		AUDIT TYPE			
		Certification (Initial)	Surveillance	Surveillance (Recertification)	Extension of scope
STANDARDS/MODULES	Basic Safety Training (BST)				
	First Aid				
	Manual Handling				
	Fire awareness				
	Working at Heights				
	Sea Survival				
	Basic Technical Training (BTT)				
	Mechanical				
	Electrical				
	Hydraulics				
	Installation				
	Advanced Rescue Training (ART)				
	Hub, Spinner & Inside Blade Rescue				
	Nacelle, Tower & Basement Rescue				
	Single Rescuer - Hub, Spinner, Inside Blade				
	Single Rescuer - Nacelle, Tower Basement				
	Enhanced First Aid (EFA)				
	Blade Repair Training (BR)				
	Slinger & Signaler Training (SSL)				
	Lift Operations Training (LO)				

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SECTION	Hours Required	Date Completed	Courses advertised are aligned with certificates
Quality Management System			
Training assessment			
TOTAL (h):			

2. Audit Conclusions

Executive audit summary

Training modules recommended for certification

Areas of focus until next audit

Other Comments

3. Assessment findings

Major:	Minor:	Total non-conformities identified:	Observations:	Follow up audit required:
DESCRIPTION OF NON-CONFORMITY/OBSERVATION		TYPE	RCA/ACTION PLAN FOR CLOSURE	CLOSURE DATE
1.	1..			
2.				
3.				
4.				
5.				

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DESCRIPTION OF NON-CONFORMITY/OBSERVATION	TYPE	RCA/ACTION PLAN FOR CLOSURE	CLOSURE DATE
6.			
7.			
8.			
9.			
10.			

GLOBAL WIND ORGANISATION

DESCRIPTION OF NON-CONFORMITY/OBSERVATION	TYPE	RCA/ACTION PLAN FOR CLOSURE	CLOSURE DATE
11.			
12.			
13.			
14.			
15.			

4. Audit sections

SECTION: 7- Supporting Processes

7.1 Organisation, roles and responsibilities

7.1.1 Is there a clearly defined organisation with documented staff roles, responsibilities and authorities for the supporting process, equipment and physical resources, instructor competencies and delivery (training and assessment) of the GWO Training Standard(s) courses or course modules?

7.1.2 Are regular reviews conducted by senior management of the training providers' delivery of GWO Training Standard(s) courses and course modules to verify compliance with certification requirements and the policy and objectives?

7.1.3 Are frequent internal audits conducted by personnel with an auditing background and with no conflicting interest in the area(s) being audited, to ensure quality and objective evaluation of all system activities?

Audit notes/significant audit trails

7.1.4 Are there in place documented procedures describing how to handle documents, records and procedures in relation to approval, review, identification of changes and revisions, access, etc?

7.2 Documentation and Training records

7.2.1 Upon completion of training and within no more than 10 business days, are the following records of training uploaded into WINDA?

- Course participant WINDA ID
- Applicable GWO Standard Training Module (course code)
- Completion date of Training Module
- Previous course valid until date (only applicable to refresher training modules)

Audit notes/significant audit trails

7.2.2 Is in addition to the above, the training provider keeping matching records of?

- Course participant first name and last name as written in passport or other official documents
- Name(s) of instructor(s) delivering course
- Site of training conducted (location and country)
- Course participant assessment form for the course delivered
- If gap training has been delivered on base of merit, documentation of pre-existing qualification
- Training setting as per 8.2

Audit notes/significant audit trails

GLOBAL WIND ORGANISATION

7.2.3 Are these records stored for at least two years and three months for completion date for training records that require a refresher training every 24 months and minimum 5 years and 3 months for enduring training records that do not require a refresher training?

Audit notes/significant audit trails

7.2.4 Is the maintenance, updating and backup of systems to keep these records carried out in accordance with international, national, regional and local legal regulation on data storage and IT systems security?

7.2.5 Is there a process in place to ensure that the training provider is able to verify the training and competence records of any specific person attending a course and/or performing training of a course by name and nationality?

7.3 Risk assessment, non-conformities and incident reporting

7.3.1 Is there an established procedure for risk assessment and risk management in particular with a view to ensure safe training delivery? This shall cover as a minimum training equipment and facilities, instructor qualification programs, and instructor's delivery of training for all sites (settings) and all modules certified to be delivered according

Audit notes/significant audit trails

7.3.2 Is there a procedure describing how to handle non-conformities including customer complaints?

7.3.3 Is there a procedure for course participant appeals against assessment decisions?

7.3.4 Is a course participant satisfaction program with the delivered training in place and results published on the training provider's website? If training occurs in-house, are the satisfaction program results published in a relevant and accessible place for course participants and internal procurers of training?

7.3.5/7.3.6 Is there a system for recording incidents (including near misses) during delivery of GWO training as per Incident Report Guidelines and Templates found in Annex 4? For significant incidents, is the training provider informing GWO within 24 hours if the incident is significant and 7 working days for all other incidents?

Audit notes/significant audit trails

SECTION 8 - Equipment and Physical resources

8.1 General requirements for equipment and physical resources

<p>8.1.1 Are resource needs identified and available for the delivery of training in accordance with the GWO training module being delivered?</p>
<p> </p>
<p>8.1.2 (1) Is the training area clearly marked and free of distractions, including mobile phone usage?</p>
<p> </p>
<p>8.1.2 (2) Is the full range of facilities and equipment relevant to the modules delivered available during the training?</p>
<p> </p>
<p>8.1.2 (3) Is there a procedure in place to ensure that all equipment and facilities adhere to the applicable local, regional, national and/or international legislation, standards and guidelines for facilities and equipment?</p>
<p> </p>
<p>8.1.2 (4) Is there a documented and effective process in place to ensure the maintenance schedule is carried out based on frequency of equipment use, relevant risk assessments and other obligations as listed above? If the equipment and/or facilities belong to a third-party, does the training provider is a documented maintenance schedule as described above followed for the equipment/facility?</p>
<p>Audit notes/significant audit trails</p>
<p> </p>
<p>8.1.2 (5) Are the facilities designed to enable each course participant to see, hear and fully participate in the taught subject matter?</p>
<p> </p>
<p>8.1.2 (6) Do the practical training facilities incorporate as many identical or comparable elements to a real wind turbine working environment as possible?</p>
<p>Audit notes/significant audit trails</p>
<p> </p>
<p>8.1.2 (7) Are risk assessments being conducted and documented for all training facilities?</p>
<p>Audit notes/significant audit trails</p>
<p> </p>

8.1.2 (8) Does the training provider hold the required permits to operate the facilities?
Audit notes/significant audit trails

8.2 Training Site Settings

Fixed Training Facility
8.2.2 Is a separate WINDA profile created for each Fixed Training Facility operated by the training provider?

Mobile Training Facility
8.2.4 Is a new risk assessment carried out and documented for each new temporary location prior to training delivery? Does this risk assessment consider limitations of the mobile unit and describe mitigations?
Audit notes/significant audit trails

8.2.5 Is the risk assessment and mitigations signed off by the at least one of the responsible instructors at each site before use?
Audit notes/significant audit trails

8.2.6 Has a dedicated profile for the Mobile Training facility in WINDA been registered citing the permanent office address and using this WINDA profile for upload of training records from the Mobile Training Facility been registered?

Onsite (field) Training
8.2.9 (1) Does the training provider already operate one or more GWO certified Fixed and/or Mobile Training Facilities, that can support ongoing instructor qualification in accordance with these requirements?

8.2.9 (2) Is a risk assessment and control measures document created prior to each training delivery including:
- mitigations for at least weather and safe evacuation procedures
- testification that the equipment and locations are safe and functional, as well as compliant with the requirements of the applicable training standard module
- signature of at least two competent persons? (usually one of the instructors and a person representing the legal owner of the onsite structure) prior to training delivery)

Audit notes/significant audit trails

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8.2.9(3) Provide a list of all Onsite training locations in which training has been conducted during the last 12 months

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8.2.10 Is training being delivered at several sites? If so, is 8.2.11 (2) being complied with in all sites?

Audit notes/significant audit trails

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8.2.11 Is Onsite (Field) training being delivered continuously at a training facility for a period >12 months? If so, has it been converted to a GWO fixed Training Facility as part of the recertification?

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8.2.12 Is the WINDA profile associated with the Fixed Training facility or Mobile Training facility being used as basis for supporting Onsite Training delivery?

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Digital learning

8.2.16 For learning objectives within the domain of skill and attitude, are course participants able to demonstrate an ability in a scenario that is similar to a real work situation? In addition to safety aspects, does demonstration by course participants involve body motor functions, spatial understanding and tactile elements?

Audit notes/significant audit trails

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8.2.17 Are there specific procedures in place describing how the applied technology limits and/or enhances opportunities for interaction with the learning material and the instructions? Do these procedures and descriptions detail how these limitations are mitigated?

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8.2.19 Is there a system in place to enable the training provider to assess whether the course participant has reached the learning objective(s)?

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8.2.20 If the digital solution incorporates elements of recording the course participant, is the course participant advised of this?

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8.2.21 (a) Does the system employed for the delivery of digital learning solutions incorporate a high level of realism and fidelity with a wind turbine environment to enable the course participant to use the knowledge and skills in real world work situations in accordance with the GWO training standard being delivered?

Audit notes/significant audit trails

8.2.21 (b) Does the system employed for the delivery of digital learning solutions incorporate a system whereby the training provider can verify the identity of delegates participating in the training and assess the individual course participant learning

Audit notes/significant audit trails

8.2.22 Where course participants attend digital learning at a location other than the training center, are reasonable efforts being made to ensure the safety of the course participants while participating in the training?

SECTION 9 – Instructor Qualifications

9.1.2 Is there a documented and effective process in place to ensure that instructors document a minimum of 100 hours of vocational teaching experience prior to qualifying as GWO instructor?

Audit notes/significant audit trails

9.1.3 Is there a documented and effective process in place to ensure that instructors possess appropriate qualifications and experience to ensure that all training and supportive activities are carried out in accordance with current legislation?

Audit notes/significant audit trails

Is there an instructor qualification program in compliance with requirements described in 9.1.4 and 9.1.5?

Audit notes/significant audit trails

9.1.6 In addition to the above, is training staff included in a documented on-going familiarization program consisting of either:
a) visits to onshore and/or offshore WTGs (tower, nacelle, hub) prior to instructing GWO training modules, to enable them to maintain and update skills related to the GWO modules they instruct or
b) alternative ways of ensuring familiarization with the wind turbine working environment and updated skills related to the GWO modules they instruct

Audit notes/significant audit trails

9.1.7 If more than 12 months passes without delivering the applicable training, is there a documented and effective process that ensures the instructor is re-qualified according to the processes described above?

Audit notes/significant audit trails

9.1.8 Are through a documented and effective process the instructor’s competencies assessed at least once every 12 months while delivering at least 1 hour theory and at least 2 hours practical training by:
a) an experienced GWO instructor or
b) a GWO approved auditor or
c) an internal auditor who has successfully completed GWO Auditor Qualification Training within the last 36 months

Audit notes/significant audit trails

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9.1.9 Do instructors comply with the requirements and learning structures of the specific training standard and the GWO Code of Conduct?

Audit notes/significant audit

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SECTION 10 – Training and assessment

10.1 General requirements of training

10.1.7 Is there a documented and effective process in place to ensure that detailed and updated lesson/exercise plans are clearly referenced against the latest versions of the relevant module (including learning objectives, performance assessment, instructor/course participant ratios, resources to be used, time allocation, location of training, staff roles, etc)?

Audit notes/significant audit trails

10.1.8 Is there a documented and effective process in place to ensure that at least one person with first aid qualifications is present during all practical training?

Audit notes/significant audit trails

10.1.10 (a) Is there a documented and effective process in place to ensure the following elements are covered in connection with the training execution when the training is not done in one sequence?

- a) That the identity of the participant is verified for each element of the training
- b) That the training is completed within a maximum of 28 days
- c) That the whole curriculum is covered
- d) That theory and safety learning objectives previously covered in the training is verified for all participants by the instructor within 24 hours before participation in the practical activity

Audit notes/significant audit trails

10.2 Course participants prerequisites

10.2.1 Is there a documented and effective process in place to ensure that any course participant attending GWO training meet the GWO prerequisites of the specific module as well as national legal prerequisites of the GWO module(s) they are attending?

Audit notes/significant audit trails

10.2.2 Is there a procedure in place to ensure that the course participant create a personal profile in WINDA and provide their WINDA ID prior to completing the GWO training?

10.2.3 Is there a procedure in place to ensure that the course participants are medically fit, appear well-rested and capable of fully participating showing no signs of fatigue, substance abuse or sickness?

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10.2.4 Is there a procedure in place to ensure that if there is any doubt regarding the medical fitness or ability to fully participate safely of any course participant, the training provider shall stop training the course participant and refer to the course participant's immediate manager or seek a physician's advice in so far as this is permitted by local legislation?

10.2.5 Is there a procedure in place that inform the course participants of the physical demands of the training and require them prior to attending to sign a statement testifying to their medical fitness?

10.2.6 Is there a documented and effective process in place to ensure that the course participants when attending refresher training doing so before the expiry of the previous training record validity period?

Audit notes/significant audit trails

10.3 Contact time and instructor delegate ratios

10.3.1 Is there a documented and effective process in place to ensure that the training provider does not exceed the instructor to course participant ratio shown in each GWO training module?

Audit notes/significant audit trails

10.3.2 Is there a procedure in place to ensure that sufficient time is allowed for course participants with prior experience to share their experiences related to the modules of the training standard in a way that is constructive for the entire class?

10.3.3 Is there a procedure in place to ensure that the total training day does not exceed 10 hours per day including meals and breaks and travel between training sites?

10.3.4 Is there a procedure in place to ensure that total training direct contact time does not exceed 8 hours per day?

10.4 Participant performance assessment

10.4.1 Is there a documented and effective process in place to ensure that the performance of course participants is assessed according to the learning outcomes by means of direct observation and oral and/or written questions, where appropriate?

Audit notes/significant audit trails

10.4.2 Is there a documented and effective process in place to ensure that the instructor documents performance assessment of each course participant and uses this throughout the course to give feedback in guiding the participant to successful learning as well as keeping track of non-conformities in regard to safety, competency, or attitude?

Audit notes/significant audit trails

10.4.3 Is there a documented and effective process in place to ensure that the performance assessment is used as documentary evidence of successful training taking place, and support upload of records of training into WINDA?

Audit notes/significant audit trails

10.4.4 In case the course participant does not meet the stated learning objectives, is there a documented procedure enabling appeal?

5. Training assessment (Observation of training)

Module:		Instructor:	Training type:	Participants:
Lessons/Elements observed: Theoretical:				
Lessons/Elements observed: Practical:				
Equipment used in conformance with requirements of the standard?				
Instructor assessment (taxonomy)				
Recommendations				

Module:		Instructor:	Training type:	Participant:
Lessons/Elements observed: Theoretical:				
Lessons/Elements observed: Practical:				
Equipment used in conformance with requirements of the standard?				
Instructor assessment (taxonomy)				
Recommendations				

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Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

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Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

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Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

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Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

Module:		Instructor:		Training type:		Participants:	
Lessons/Elements observed: Theoretical:							
Lessons/Elements observed: Practical:							
Equipment used in conformance with requirements of the standard?							
Instructor assessment (taxonomy)							
Recommendations							

6. Audit Program

	Certification (Initial)	Surveillance (Initial)	Surveillance (Recertification)	Surveillance (Initial)	Surveillance (Recertification)
Dates					
Due date					
Start date					
End date					
Total audit days					
Modules					
Basic Safety Training (BST)					
First Aid					
Fire awareness					
Working at Heights					
Manual Handling					
Sea Survival					
Basic Technical Training (BTT)					
Mechanical					
Electrical					
Hydraulics					
Installation					
Advanced Rescue Training (ART)					
Hub, Spinner & Inside Blade Rescue					
Nacelle, Tower & Basement Rescue					
Single Rescuer - Hub, Spinner & Inside Blade					
Single Rescuer -Nacelle, Tower, Basement					
Enhanced First Aid (EFA)					
Blade Repair Training (BR)					
Slinger and Signaler (SLS)					
Lift Operations Training (LO)					

7. Audit Notes