

# GWO Audit Report- Frequently asked questions

Version 1- May 2021

## General questions

**1. Why is GWO launching an Audit Report?**

This decision was adopted by the GWO Audit and Compliance committee in order to enhance standardization, quality assessment and data mining.

**2. What was the process for developing the GWO Audit Report?**

A work group was created with representation from the Certification Bodies, in a way to allow all regions being represented.

**3. What software is required for the completion of the GWO Audit Report?**

In order to avoid any errors, *Adobe Acrobat Reader DC* must be used. It can be downloaded for free from this link: <https://get.adobe.com/reader/>

**4. When is the GWO Audit Report mandated to be used?**

Any audit which is completed after May 1<sup>st</sup> must use the GWO Audit Report.

**5. Where can the names of the audit participants be logged?**

There is not a requirement to log the names of the audit participants in the audit report, but in the case the auditor wants do so, Section 2- Other comments or Section 7- Audit notes can be used.

**6. Will the Auditor Qualification Training (AQT) provide further guidance in regards completion of the GWO Audit Report?**

Yes, the revised version of the AQT (starting to be delivered in June) will include specific practical cases in regards completion of the audit report.

**7. Must the GWO Audit Report be used in the case of Stage 1 audits?**

The use for Stage 1 audits is optional, decision whether to use or not will be taken by the auditor.

**8. Can a single audit report be used for an audit of various sites of the same training provider if they do not share the same QMS?**

If the different sites do not share the same QMS or the maturity of implementation varies and sampling is not meaningful, separate audit reports must be used.

**9. If the audit report is used for an audit of various training sites of the same training provider and they all share the same QMS, can a single audit report be used for all?**

Yes, it can be used. The following guidance is to be followed:

- a. In the cover page (Address): list the addresses of the various sites
- b. In Section 2 (Training modules recommended for certification): specify which modules are recommended for certification at each site
- c. In Section 5 (Training assessment): specify to what training site corresponds the module being assessed (the cell Recommendations can be used to clarify this)

**10. Can a single audit report be used to audit different training settings of the same Training Provider? (example fixed training facility and onsite training).**

Yes, a single audit report can be used, as long as the QMS is common for both settings. Details must be provided in Section 1 (Audit type vs. training standards). The following guidance should be followed:

- a. In Section 2 (Training modules recommended for certification): specify which modules are recommended for certification for each training setting.
- b. In Section 5 (Training assessment): specify to what training setting corresponds the module being assessed (the cell Recommendations can be used to clarify this)

- 11. Can a single report be used in the case of various types of audits for various standards or modules? (example surveillance for BST and extension of scope for BTT).**

Yes, a single report can be used, details must be provided in Section 1 (Audit type vs. training standards).
- 12. If I am doing a multisite audit and the same modules are audited for various training sites, how can I refer to this in Section 5- Training Assessment?**

In Section 5 (Training assessment): specify to what site corresponds the module being assessed (the cell Recommendations can be used to clarify this)
- 13. Is a specific format required for the audit plan?**

No, the auditor can decide to use any template for the audit plan. The audit plan is an internal document between the auditor and the training provider and it is not required to be sent to GWO.
- 14. Can Stage 1 audits be done remotely?**

Yes, Stage 1 audits can be done remotely. However, it is advised that a physical visit takes place in advance of the Stage 2 audit.
- 15. In case an audit was conducted prior 1<sup>st</sup> May and the training provider is pending to send evidences to consider closure of any non-conformity, must the GWO Audit Report be used?**

No, there is not a requirement to complete the GWO Audit Report if the case the audit started prior to 1<sup>st</sup> May.
- 16. Is there an expectation that the GWO Audit Report is updated aligned with the last version of the Requirements for Training Providers and the Requirements for Certification Bodies?**

Yes. The GWO Audit Report will follow the same review cycle as the Requirements.
- 17. Will the audit reports be assessed by GWO?**

Yes, a quality assessment process will be conducted by the GWO in regards audit reports received.
- 18. Can an audit requested to be done again based on the quality assessment?**

Yes, in the case significant deviations are found (*7.9.7, Requirements for Certification Bodies Version 8*).
- 19. Is there an option for GWO to withdraw the qualification of an auditor based on the quality assessment process conducted?**

While there is no intention from GWO to pursue that route, this can be done in the case of significant and repetitive deviations in regards completion guidelines provided (*6.3.1, Requirements for Certification Bodies Version 8*).
- 20. Is there a plan to digitize the GWO Audit Report in the future?**

Yes. GWO has a plan to create a platform which will allow online completion of the audit report.
- 21. In the case Best Practices are identified through the audit, where can these be recorded in the GWO Audit Report?**

Several options are possible, being the most adequate Section 2- Other comments
- 22. Will GWO use the quality assessment process for data mining purposes?**

Yes, that is a key reason why this GWO Audit Report is being launched. Data mining will be conducted in regards assessment findings (among other parameters), and this will allow an improvement process which will benefit our network of Training Providers. The auditor assessment in regards taxonomy or use of equipment will also be circulated to the GWO Training Committee for improvement purposes.
- 23. Is it possible to include photos in the GWO Audit Report?**

No. The format does not allow to include any photos. However, these can be shared with the training provider through alternative methods.
- 24. How can I get clarification in regards a question not included here?**

In case any further clarification is required, please contact [info@globalwindsafety.org](mailto:info@globalwindsafety.org)

## Cover Page

### 25. What is the Certification Body coding?

We refer to Certification Body coding as any coding or tracking number which may be required to use by a specific Certification Body. We have created a space in case this is needed, but it is not a requirement from GWO to complete it.

## Section 1- Audit overview

### 26. What is considered a blended audit?

We refer to these audits conducted in a combined setting (physical visit and remote). This is typically a case in which you complete the QMS audit remotely and then the assessment of training delivery in person.

### 27. Why is there a need to confirm whether the previous audit was conducted remotely?

This is to verify that the 2 audits in the certification cycle are not conducted remotely (7.8.5, *Requirements for Certification Bodies Version 8*).

### 28. How can I know whether a specific audit can be conducted remotely or not?

Specific guidance in regards remote audits allowance can be found in *Table 3, Requirements for Certification Bodies Version 8*.

### 29. Is there a minimum required time for the completion of the QMS section?

No, this is subject to the assessment of the auditor. The recommendation provided by GWO is 1 man-day per site, unless QMS is the same, in which case sampling is allowed (*Table 2, Requirements for Certification Bodies Version 8*).

### 30. How can the auditor calculate the total number of hours required for the assessment of training?

Guidance is provided in *Table 2, Requirements for Certification Bodies Version 8*. A combination of this and the table Audit type vs. training standards in section 1 will provide an estimation of the total number of hours required.

### 31. What is the maximum time allowed for the completion of an audit?

The time between the end of completion of the QMS audit and the start of training assessment cannot exceed 4 weeks (7.4.17, *Requirements for Certification Bodies Version 8*).

### 32. What is the auditor expected to do in regards the question: Courses advertised are aligned with the certificates?

Even though these have been very isolated cases, there have been several instances in which a training provider did advertise training modules, training sites or training settings which were not allowed by the existing certificates. The auditor will 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).

## Section 2- Audit conclusions

### 33. What should be included in “Areas of focus until next audit”?

This sub-section is not mandatory to complete but the auditor is advised to do so, in order to guide the training provider towards required areas of focus until the next audit takes place.

### 34. What should be included in “Other comments”?

This sub-section is not mandatory to complete, it is allowed for the auditor to include any additional information required.

## Section 3- Assessment findings

### 35. Is there a specific guidance provided by GWO in regards which non-conformities should be classified as major?

The following criteria will be used for the 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:

- I) if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements
- II) 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.

**36. Is a Follow up audit required for the closure of the Major non-conformities in all cases?**

No. The auditor will follow the guidance provided by *ISO 19011:2018, Guidelines for auditing management systems*.

**37. Is the RCA/Action plan for closure expected to be filled by the training provider?**

No, the auditor is expected to conduct the RCA and will close the finding based on the action plan presented by the Training Provider or upon verification of the closure of the non-conformity. The auditor will follow general practice and the guidance provided by *ISO 19011:2018, Guidelines for auditing management systems*.

**38. Are RCA/Action plans for closure and Closure dates required only for Mayor and Minor non-conformities?**

Yes. This is not required in the case of Observations.

**39. Can the audit report and the Certificate be issued in case a major non-conformity remains open?**

The training provider cannot be recommended for certification if major findings remain open.

The auditor will follow general practice and the guidance provided by *ISO 19011:2018, Guidelines for auditing management systems*.

## Section 4- Audit sections

**40. Are there different categories for questions?**

Yes. Questions, tagged **Audit notes/significant audit trails** require validation content, as are considered most critical for the effectiveness of the QMS. Sampling is required in most cases in this category.

**41. Is there a correspondence between the question number in this section and the Requirements for Training Providers?**

Yes, each question number in Section 4 corresponds to the same number in the *Requirements for Training Providers Version 10*.

**42. Should any question in which “No” is the selected option generate a finding?**

Yes, a finding should be generated, since this means a non-conformity in the *Requirements for Training Providers*.

**43. Can the option N/A be selected for any question?**

For initial certification audits, the N/A option should not be selected in any question, except these questions in *8.2 Training Site Settings* not correspondent to the training setting being audited.

**44. In the case of surveillance audits, should all the questions be answered?**

In the case of surveillance audits, the auditor is expected at a minimum to respond to questions tagged **Audit Audit notes/significant audit trails**. In addition to this, areas showing weaknesses in the previous audit or identified as areas of focus should also be dealt with, subject to the auditor assessment. The auditor will follow the guidance provided by *ISO 19011:2018, Guidelines for auditing management systems*.

## Section 5- Training assessment (observation of training)

**45. What is the minimum number of course participants required in any witnessed training?**

Whether it is mock or real training, the minimum number must be 4 (*7.4.14, Requirements for Certification Bodies Version 8*).

**46. Why is a minimum number of course participants required for Training Assessment?**

This is to allow the auditor observe how the instructor engages with the participants. Even though the maximum ratio is 1:12 in many of the modules (theory), a minimum of 4 is considered relevant for this purpose.

**47. Why is the same number of course participants required for a mock or real training?**

As per the reason explained above, the objective of a minimum number of course participants is allow the auditor observe how the instructor engages with the participants. Even though the option of witnessing a real training is preferred, we are mindful that this is not possible in some cases and thus a mock training is allowed.

**48. What happens in the case that for a specific standard it is not possible to achieve a minimum number of 4 participants?**

The auditor and the training provider will need to pick up a date so that during the audit a minimum of 4 participants is present during the training assessment. It is the decision of the auditor and the training provider whether this is done for a real or mock training.

**49. What specific information is required to be provided in regards Lessons/Elements observed?**

Training standards and modules include specific numbers for lessons and elements. These numbers are required to be provided.

**50. Is the auditor required to provide recommendations for each training witnessed?**

No, recommendations are not mandatory. However, the auditor is advised to provide them if possible.

## Section 6- Audit program

**51. What is the purpose of Section 6- Audit program?**

Completion of this section is intended towards helping the auditor and the training provider to plan in advance. It will also be helpful in the case there is a transfer of certificate, as will allow the new auditor have a clear understanding of the certification history.

**52. How can an extension of scope audit be recorded?**

The column 1 (Certification, initial) can be used for this purpose.

**53. Can the Audit Program be modified?**

Yes. The Audit Program is intended towards helping auditor and training provider to plan in advance. Dates and selected standards can be modified at any time during the certification cycle without the need to inform GWO.

**54. How can Section 6- Audit Plan be used in the case of multisite audits**

The decision to use or not in the case of multi-sites is subject to assessment by auditor in regards complexity.

## Section 7- Audit notes

**55. What type of content should be included in this section?**

This section is not required to be completed. It is intended to allow the auditor a space to take notes, which can be either shared with the training provider or used for internal auditing purposes.

Do all questions require an answer during the surveillance audits