

Multisite v2, December 2023 (Training Provider Requirements v14)

## Assessment Template for Internal Audits (Multi-Site Certification)

Requirements for Training Providers Version:

Training Provider Group:   
WINDA ID:  Site:

Address:

Internal Auditor Name:

AQT/ADT No.:  AQT/ ADT Expiry:

Assessment Completed by:

Certification Body:

External Auditor Name:

Review Dates:

 - 

Certification Body Coding:

### Index and guidance for completion

#### Cover Page

All fields on the cover page are mandatory except "Certification Body Coding." AQT/ADT No. and expiry date correspond to the internal auditor. Use day-month-year for date format.

#### 3.-5. Questions for the Certification Body Auditor

Question 3 - Review the multisite audit plan and verify that this audit meets the plan and conforms to relevant requirements from the GWO Requirements for Certification Bodies to witness modules and QMS across sites. Explain any deviations or changes in the plan and how it will affect the audit cycle for the group.

Question 4 - Review the Audit Report form the Internal Auditor. Verify that all sections are completed, particularly those fields which are significant to audit trails. Explain any deviations.

Question 5 - General summary and assessments/findings of the Internal Audit Report.

#### 6. Findings identified by sampling the auditor

List findings and observations from the review of the Internal Audit Report.

#### 7. Sampling results

The External Auditor is required to sample these sections of the audit. All questions are mandatory.

#### 8. Training assessment (observation of training)

Review the training assessment to ensure it meets the GWO Requirements for Certification Bodies and audit plan.

#### 9. Follow up from GWO investigations

If applicable, assess how this audit relates to open or prior GWO investigations into the Training Provider.

#### 10. Assessment conclusions and areas of focus

Provide conclusions about the Internal Audit Report, review, and focus areas for the next audit.

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3. Are all modules witnessed by an External Auditor during a 24 month cycle?

4. Are all sections in the internal audit report completed?

5. Assessment of findings identified in the internal audit report.

## 6. Findings identified in the sampling by the External Auditor

No.	DESCRIPTION OF NON- CONFORMITY/OBSERVATION	TYPE
1		
2		
3		
4		
5		

## 7. Sampling Results

### WINDA Records

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

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

Audit notes/significant audit trails:

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

- 1) course participants' first name and last name, as written in passport or other official documents
- 2) daily attendance of all participants.
- 3) name(s) of instructor(s) delivering course
- 4) site of training conducted (location and country)
- 5) course participant assessment form for the course delivered
- 6) participant acknowledgement of performance assessment
- 7) if gap training has been delivered on base of merit, documentation of pre-existing qualification
- 8) training setting as per section 7.2

Audit notes/significant audit trails:

### Complaints and Incidents

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

6.3.5/6.3.6 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 days for all other incidents?

Audit notes/significant audit trails:

### Onsite (Field) Training

7.2.10 (b) 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:

7.2.11 Provide a list of all locations in which Onsite training has been conducted during the last 12 months

### Instructor Qualifications

Is there an instructor qualification program in compliance with requirements described in 8.1.3 and 8.1.4?

Audit notes/significant audit trails:

8.1.5 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:

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8.1.6 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:

8.1.7 Is there a documented process to ensure that the instructor's competencies are assessed by the training provider once every 12 months using the criteria listed in 8.1.4?

Audit notes/significant audit trails:

## Training and Assessment

9.1.10 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:

9.2.1 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:

9.2.2 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?

Audit notes/significant audit trails:

9.2.6 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:

9.3.1 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:

9.4.1 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:

9.4.2 Is there a documented and effective process in place to ensure that the instructor documents participants attendance by an attendance record (signed daily by each course participant or alternative verification method, as well as their 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:

9.4.3 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:

## 8. Training Assessment (Observation of Training)

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## 9. Follow up from GWO investigations and Inquiries

## 10. Assessment conclusions and areas of focus