

Multisite v4, 1 April 2025 (Training Provider Requirements v15)

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:

Audit Dates:

 -

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.

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

4. Are all required 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

Complaints and Incidents

6.3.3/6.3.4 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 2? 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:

Onsite (Field) Training

7.2.9 (b) Is a risk assessment and control measures document created prior to each training delivery including:

- Local risk factors on the training day including at least to weather and safe evacuation procedures
- testimony that the equipment and locations are safe and functional, as well as compliant with the requirements of the applicable GWO training 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:

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

Instructor Qualifications

8.1.1 Is there a documented process to ensure that all instructors achieved one of the following methods for instructional background?

- a. successful completion of the GWO IQTX as gap training for experienced instructors
- b. successful completion of the GWO IQT
- c. successful completion of a formal instructor qualification programme that meets or exceeds the learning outcomes of the IQT (as per Gap Analysis Template available on GWO's Website)

Audit notes/significant audit trails:

8.1.2 Is there a documented Module Specific Qualification Plan to address individual instructor needs, experience, competencies, and risks specific to the module, training provider, equipment, and setting(s) which prepares the instructor candidates to independently deliver the specific modules in accordance with the criteria listed in 8.1.3?

Audit notes/significant audit trails:

8.1.3 Is there a documented process by which the Training Provider ensured that the instructor qualification process achieves confirmation that all instructors are able to independently deliver the full training module and document this using the Instructor Qualification Assessment Form found in Annex 5.

Audit notes/significant audit trails:

8.1.4 Is there a documented process by which the Training Provider ensures that all Instructors are registered in WINDA and all Instructors' qualifications for module delivery are kept updated on the Instructors' Affiliations page?

Audit notes/significant audit trails:

8.2.1 Is there a documented process to maintain instructor qualification which instructors shall participate in, and document, an ongoing competence programme for the specific module(s) they are qualified to deliver?

Audit notes/significant audit trails:

8.2.2 In addition to the above, are instructors included in a documented on-going familiarization program consisting of either:

- a) visits to work environment relevant to target module(s) prior to instructing GWO modules training, to enable them to maintain and update skills related to the GWO modules they instruct, or
- b) alternative ways of ensuring familiarisation with the working environments the modules were designed for, and updated skills related to the GWO module(s) they instruct

Audit notes/significant audit trails:

8.2.3 If more than 12 months passes without delivering a specific training module or participating in the qualification of another instructor, is there a documented and effective process to ensure that the instructor participates in that module, either as a refresher, where applicable, or full training?

Audit notes/significant audit trails:

8.2.4 At least once every 12 months and by means of a documented process, are the instructor's competencies assessed by the training provider using the Instructor Qualification Assessment Form found in Annex 5, including:

- a. An assessment against the criteria listed in 8.1.3 for at least one module the instructor is qualified to deliver
- b. For instructors qualified to deliver more than one GWO module, an assessment cycle whereby the instructor assessment rotates between the different modules, meaning a different module is assessed each year following sequential order of the module qualifications listed in Instructor Affiliations in WINDA.
- c. Records (physical or electronic) of the assessment using the Instructor Qualification Assessment Form. These records must be provided to GWO upon request
- d. Registration of the assessment in Instructor Affiliations in WINDA

Audit notes/significant audit trails:

8.3.2 Is there a documented process by which instructors successfully complete module specific qualification as defined in 8.1.3 when qualifying to deliver new modules?

Audit notes/significant audit trails:

8.3.3 Are additional module qualifications registered in Instructor Affiliations in WINDA?

Audit notes/significant audit trails:

8.3.4 Are the instructor's competencies in additional modules assessed by the training provider against the criteria listed in 8.1.3 using the Instructor Qualification Assessment Form found in Annex 5 by means of a documented process?

Audit notes/significant audit trails:

Training and Assessment

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:

9.2.6 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 for each GWO module, with the exception of asynchronous e-learning delivered training pertaining to the taxonomy domain of knowledge?

Audit notes/significant audit trails:

9.3.3 Is there a procedure in place to ensure that the delivery of modules follows the lesson duration stated in the standard AND is adjusted only in cases where there are fewer participants and only adjusted proportionately?

Audit notes/significant audit trails:

9.4.2 Is the Participant Performance Assessment Form found in Annex 3 used to give feedback to the course participant (see 9.4.5) at the end of the course and provide a record of the instructor's assessment of performance? Does the training provider retain copies (physical or electronic) of the Participant Performance Assessment Forms for every participant in attendance of training, for every module they attend, as a record of their assessment? Are these records available to be provided to GWO upon request?

Audit notes/significant audit trails:

REcognition Provider

10.3.1/2 In cases where a REcognition gap analysis identifies deviations between a legacy training and a GWO training, does the training provider have a documented process to ensure that a candidate successfully completes a gap training before being awarded a GWO WINDA training record? Does the REcognition gap analysis comply with the Training and assessment section of the Requirements for Training?

Audit notes/significant audit trails:

8. Training Assessment (Observation of Training)

9. Follow up from GWO investigations, concerns, or inquiries

10. Assessment conclusions and areas of focus