

IWCF Operations Limited



Audit Guidance for Centres

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Document Revisions

Date	Version Number	Document Changes
01/09/2022	1.0	Initial release



1. Why do IWCF audit centres?

IWCF Operations Limited (IWCF) is committed to achieving and maintaining the highest standards of well control training through a global network of accredited centres that deliver well control training.

To achieve and maintain accreditation centres, instructors and practical assessors must go through robust and well-defined accreditation and audit processes. The aim of the audit process is to determine a centre, instructor or practical assessor's initial and then ongoing compliance with the terms and conditions of their accreditation and IWCF's expectations of the standard of delivery of well control training and practical assessments.

As part of the accreditation process, all new training centres must undergo an audit to gain full accreditation. Centres are required to participate in surveillance audits at least once every two years throughout their period of accreditation to monitor their conformance with the IWCF Accreditation Agreement and IWCF Operations' Policies and Procedures.

2. How are centre audits conducted?

Centre audits are conducted remotely, however there may be occasions where a face-to-face audit is required. The audits focus on the quality of the training and practical assessments being delivered by centres with some audit work performed offline by the auditors. If any issues are identified, the auditor will work the centre to resolve the issue(s) and where possible meet the IWCF requirements.

3. What is the centre audit timeline?

When	What occurs
<ul style="list-style-type: none">• 2 to 3 months before audit	<ul style="list-style-type: none">• IWCF lead auditor will contact the centre to agree a month for the centre audit to take place.• If the audit month cannot be agreed and confirmed the escalation process may be initiated (see section 7).
<ul style="list-style-type: none">• 1 month before agreed audit month	<ul style="list-style-type: none">• An IWCF auditor will contact the centre to arrange an opening meeting where the auditor will:<ul style="list-style-type: none">• explain format of the audit,• request evidence to be uploaded by the centre to an IWCF OneDrive.• agree with the centre the dates, times, and personnel to be involved in audit the following month.• If the centre does not attend the opening meeting on the agreed date or fails to agree dates for audit activities at the opening meeting, the escalation process may be initiated (see section 7).
<ul style="list-style-type: none">• Prior to audit and by date agreed at opening meeting	<ul style="list-style-type: none">• The centre will upload the evidence requested by the auditor to an IWCF OneDrive or make people available to facilitate audit.• If the centre does not provide the requested evidence by the agreed date or help facilitate the audit, the escalation process may be initiated (see section 7).
<ul style="list-style-type: none">• On dates agreed at opening meeting	<ul style="list-style-type: none">• The auditor will conduct audit covering the required sections of the audit process and feedback to the centre any issues noted.
<ul style="list-style-type: none">• Approximately 1 week after the last audit section is completed	<ul style="list-style-type: none">• The auditor will hold a closing meeting with the centre where they will:<ul style="list-style-type: none">• detail any issues recorded as findings.• if any findings are still open, the auditor will explain the required corrective action and timeframes,• highlight any good points observed during audit, and• request the centre to complete a post-audit questionnaire on audit process.
<ul style="list-style-type: none">• Approximately 3 weeks after the closing meeting	<ul style="list-style-type: none">• The IWCF lead auditor will send audit report to the centre.

<ul style="list-style-type: none"> • Corrective action target dates for open audit findings (if any) 	<ul style="list-style-type: none"> • The centre will complete the corrective action(s) in the timeframe agreed at the closing meeting. • If corrective action is acceptable, then the audit finding will be closed. When all audit findings have been closed the lead auditor will inform IWCF Accreditation. • If the corrective action(s) are not acceptable, or has not been supplied, then audit finding will remain open, and the escalation process may be initiated (see section 7).
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4. What is the format of a centre audit?

Centre audits are conducted remotely via video calls using Microsoft Teams, assessor role play exercise on an IWCF virtual simulator, and the review of the evidence uploaded by the centre to an IWCF OneDrive. The audit will be based around the information the centre has provided prior to the audit and will cover the following sections:

- Opening Meeting
- Physical Resources
- Management Systems
- Programme Materials
- Instructor Observation
- Candidate Practical Assessment Records
- Well Design Review
- Practical Assessor Observation
- Closing Meeting

4.1. Opening Meeting

Purpose	<ul style="list-style-type: none"> • To explain to the centre the format of the audit, agree who will be involved and what information will be required for audit.
Centre activity	<ul style="list-style-type: none"> • Centre manager and relevant staff attend meeting.
Auditor activity	<ul style="list-style-type: none"> • Explain format of the remote audit • Agree audit plan: <ul style="list-style-type: none"> ○ date and time when a particular section of audit will be conducted ○ centre person(s) who will be involved ○ any preparation centre that must make prior to audit. • Answer centre staff questions.

4.2. Audit of physical resources

Purpose	<ul style="list-style-type: none"> • To verify that the centre’s physical resources such as training, assessment and simulator rooms meet IWCF requirements.
Centre activity	<ul style="list-style-type: none"> • Upload latest centre floorplan to IWCF OneDrive. • Facilitate the auditor’s remote tour of the centre. • Centre tour options: <ul style="list-style-type: none"> • Video call tour of centre by a centre person (preferred). • Recorded video sent by centre.
Auditor activity	<ul style="list-style-type: none"> • Conduct centre tour to verify that current centre set up matches the accreditation requirements: <ul style="list-style-type: none"> • Centre layout. • Training, assessment, and simulator rooms. • Simulators. • Provide feedback to centre on the review of the centre facilities



4.3. Audit of management systems

Purpose	<ul style="list-style-type: none"> To verify that the centre's management system procedures meet IWCF requirements.
Centre activity	<ul style="list-style-type: none"> Upload safety induction evidence to IWCF OneDrive: <ul style="list-style-type: none"> PowerPoint presentation Video of centre person presenting the safety induction Video requirements: <ul style="list-style-type: none"> Camera captures the centre person and PowerPoint slides Microphone picks up the voice of centre person Video Options: <ul style="list-style-type: none"> Physical classroom setting with candidates (preferred) Virtual classroom setting with candidates Physical classroom setting without candidates Virtual classroom setting without candidates. Upload procedures and records to IWCF OneDrive: <ul style="list-style-type: none"> Candidate course evaluation: <ul style="list-style-type: none"> Candidate course evaluation feedback procedure Candidate course evaluation feedback form template Examples of completed candidate feedback forms. Instructor and assessor course evaluation: <ul style="list-style-type: none"> Instructor and assessor course evaluation feedback procedure Instructor and assessor evaluation feedback form template Examples of completed instructor and assessor feedback forms. Candidate complaints: <ul style="list-style-type: none"> Complaints procedure Example of complaints (if any).
Auditor Activity	<ul style="list-style-type: none"> Review safety induction evidence uploaded by centre to IWCF OneDrive: <ul style="list-style-type: none"> PowerPoint presentation. Video of centre person presenting safety induction. Review procedures and records uploaded by centre to IWCF OneDrive: <ul style="list-style-type: none"> Candidate course evaluation: <ul style="list-style-type: none"> Candidate course evaluation feedback procedure Candidate course evaluation feedback form template Examples of completed candidate feedback forms. Instructor and assessor course evaluation: <ul style="list-style-type: none"> Instructor and assessor course evaluation feedback procedure Instructor and assessor evaluation feedback form template Examples of completed instructor and assessor feedback forms. Candidate complaints: <ul style="list-style-type: none"> Complaints procedure Example of complaints (if any) Provide feedback to centre on the review of the management systems

4.4. Audit of programme materials

Purpose	<ul style="list-style-type: none"> To verify that the centre's programme materials meet IWCF requirements.
Centre Action	<ul style="list-style-type: none"> Upload to IWCF OneDrive: <ul style="list-style-type: none"> Course outline. Course lesson plan. Course PowerPoint presentations. Course manual. Course classroom and homework exercises.
Auditor Action	<ul style="list-style-type: none"> Review programme materials uploaded by centre to OneDrive: <ul style="list-style-type: none"> Course outline. Course lesson plan. Course PowerPoint presentations. Course manual. Course classroom and homework exercises. Provide feedback to centre on the review of the programme materials

4.5. Audit of an instructor



Purpose	<ul style="list-style-type: none">To verify that an instructor can competently deliver well control training to IWCF requirements.
Centre Activity	<ul style="list-style-type: none">Record and upload to IWCF OneDrive:<ul style="list-style-type: none">Video of instructor teaching two lessonsVideo requirements:<ul style="list-style-type: none">Camera captures the instructor, PowerPoint slides and whiteboardMicrophone picks up the voice of instructorVideo Options:<ul style="list-style-type: none">Physical classroom setting with candidates (preferred)Virtual classroom setting with candidatesPhysical classroom setting without candidatesVirtual classroom setting without candidates.
Auditor Activity	<ul style="list-style-type: none">Review the video of the instructor teaching the two lessons uploaded by centre to OneDrive. On some occasions the auditor may request a live observation of the instructor teaching.Provide feedback to centre on the instructor observation

4.6. Audit of candidate practical assessment records

Purpose	<ul style="list-style-type: none">To verify that an assessor can competently complete candidate practical assessment records as per the requirements in the Practical Assessor Handbook.
Centre Activity	<ul style="list-style-type: none">None
Auditor Activity	<ul style="list-style-type: none">Auditor will download a sample of candidate practical assessment records from FORUM and review:<ul style="list-style-type: none">Practical grading sheets.Graphs.Kill sheets.Provide feedback to centre on the review of the candidate record.

4.7. Audit of the simulator well designs

Purpose	<ul style="list-style-type: none">To verify that the simulator(s) being used by the centre for practical assessments meets the IWCF Well Design Rules
Centre Activity	<ul style="list-style-type: none">Make the simulator available to the auditor and have someone (ideally an assessor) available to assist review.
Auditor Activity	<ul style="list-style-type: none">To verify that the well designs on the centre simulator(s) meet IWCF Well Design Rules:<ul style="list-style-type: none">Number of wells.Well parameters.Simulator settings.Provide feedback to centre on the review of the well designs

4.8. Audit of a practical assessor

Purpose	<ul style="list-style-type: none">To verify that the assessor:<ul style="list-style-type: none">Can conduct a practical assessment as per the Practical Assessors Handbook.Meets the required standard of a Level 4 candidate.Has the necessary knowledge and understanding of the Practical Assessors Handbook and Well Design Rules.
Centre Activity	<ul style="list-style-type: none">Make an assessor available to participate in an assessor observation of a practical assessment.
Auditor Activity	<ul style="list-style-type: none">Two options for observation:<ul style="list-style-type: none">Auditor will role play with the assessor a practical assessment exercise using IWCF iDrillsIM.Auditor will conduct a live observation of an assessor conducting practical assessment with candidates.Provide feedback to centre on the assessor observation

4.9. Closing Meeting

Purpose	<ul style="list-style-type: none"> To provide centre with feedback on the results from the audit and explain the next stages of the audit process.
Centre Activity	<ul style="list-style-type: none"> Centre manager and relevant staff attend meeting.
Auditor Activity	<ul style="list-style-type: none"> Review audit coverage. Review audit findings. Agree corrective action(s) for open findings. Explain the audit findings tracking spreadsheet. Provide an overview of process after closing meeting: <ul style="list-style-type: none"> Post-audit questionnaire Audit report. Answer centre staff questions

5. What happens after the audit?

Approximately 3 weeks after the closing meeting, the IWCF lead auditor will send the audit report to the centre. This report will show the audit coverage and any findings raised during the audit. If any audit findings are listed as open in the audit report, the report will detail the target date for the centre to provide corrective action to IWCF.

- If centres do not provide the corrective action to IWCF by this date, the auditor will not close the audit finding, and IWCF may initiate the escalation process (see section 7).
- For any corrective action supplied, the auditor will review and advise the centre if that finding has been closed or if the centre is required to provide further corrective action.

When the auditor has closed all audit findings from an audit, the lead auditor will inform accreditation. If the audit is an initial accreditation audit this will enable accreditation will change the centre status on FORUM from Provisionally Approved to Approved.

6. What are the audit fees?

To obtain approval as an accredited centre, a centre will have to successfully pass an accreditation audit and to maintain their accreditation a centre will have to successfully pass a surveillance audit during the audit cycle.

An audit fee is payable following the completion of an initial accreditation audit and all future surveillance audits. The audit fee is also payable when a centre requires a re-accreditation audit following suspension. The audit fee is reviewed annually and is communicated to all accredited centres in Q4 of each year via the Schedule of Fees. The current audit fee is based on remote audits, but it should be noted that any costs for face-to-face audits will be charged to the centre in addition to the audit fee. Such costs could include, but are not limited to, interpreter services, security services, etc.

Where the accredited training centre requests a cancellation or change to the agreed audit date, the following fees will be charged.

- Cancellation/Rescheduling on the day of the agreed audit = 100% of IWCF's current audit fee
- Cancellation/Rescheduling within 10 days of the agreed audit date = 90% of IWCF's current audit fee
- Cancellation/Rescheduling over 10 days of the agreed audit date = any unrecoverable costs incurred or 50% of the audit fee whichever is greater.

7. What is the escalation process?

Where IWCF encounter issues with the planning of an audit or the closure of any findings, they will initiate an escalation process on either the centre, instructor, assessor, or a combination thereof. The escalation process has a number steps of starting from warnings through to the suspension of accreditation and termination of accreditation.

The type of issues that can trigger the escalation process include, but are not limited to, those shown below:

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- Audit planning
 - Centre does not agree to the request for an audit
 - The centre does not attend opening meeting to plan the audit activities.
 - The centre does not upload the requested evidence to the IWCF OneDrive by the required date.
 - An instructor does not upload the requested teaching videos to the IWCF OneDrive by the required date.
 - An assessor is not available for audit by the required date.

- Audit findings
 - Centre does not provide the requested corrective action in the required timeframe
 - Instructor does not provide the requested corrective action in the required timeframe
 - Assessor does not provide the requested corrective action in the required timeframe