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| TPAB Name and Contact Name: | Enter name of certification body and the name of the training provider approval body scheme lead |

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| Risk assessment Outcome | Enter Risk Outcome | Oversight Assessment Activities to be completed | Enter Office Assessment type |
| Date of risk Assessment | Day/Month/Year | Risk Assessment performed by RMS | Enter Name of RMS |

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| Assessment Start Date: | Day/Month/Year |
| Assessment End Date: | Day/Month/Year |
| OASIS Number | Enter OASIS Number |
| Other Assessor Names and Roles: | First Name, Last Name  Assessment Team Role, Organization's Name |
| General Conclusions, Remarks, and Recommendations: | Give a brief overview of how the assessment went |
| Opportunities for Improvements: | As applicable, identify number of OFIs; list all OFIs. |
| Non Conformance Summary: | As applicable, List NCR References and Grade |
| Submitted by: | First Name, Last Name |
| Date Submitted: | Day/Month/Year |

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| Pre-Assessment Questions (That’s questions that you can answer prior the assessment starting) |

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| **Item** | **1.1** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| Information to gather before the Oversight assessment.   * What is the Identity / address / of the TPAB recorded in OASIS? * What is the Accreditation status within OASIS * Who is the TPAB contact | | | | | | | | | 9104-003 Para 10.1.1  9104-001 Para 11.2 |
| **Check that the data is correct in OASIS** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **1.2** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| Using the data within OASIS – See what you can find out. Review the previous head office / training provider file review/ activity report. What is the data telling you? | | | | | | | | | 9104-001 Para 11.2 |
| **Use the data in OASIS to guide you to select clients for your sample review.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| Assessment Questions (That’s questions that you can only answer when you are carrying out the assessment) |

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| **Item** | **2.1** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB establish the responsibility of granting, maintaining, suspending, extending, and withdrawing TP approval including appeal and feedback ICOP scheme cooperate? | | | | | | | | | 9104-001 Para 11.1  9104-003 Para 10.1.2  9104-003 Para 10.1.5  9104-003 Para 10.2.2  9104-003 Para 10.2.3  9104-003 Para 10.2.5  9104-003 Para 10.5.1  9104-003 Para 10.5.2  9104-003 Para 10.6.1, |
| **You would expect to see that the TPAB has a process or procedure or document on how the TPAB manages the overall scheme.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.2** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB review each TP application against the operational requirements defined in this standard (see 11.2 9104-003).  If the review determines the TP does not meet the requirements defined in this standard, does the TPAB notify the TP of the reason(s) for the disapproval in writing.  TPs shall disclose within their application, if they have had any previous TP applications rejected, or approvals suspended or withdrawn. | | | | | | | | | 9104-003 Para 10.2.3  9104-003 Para 10.2.5  9104-003 Para 11.1.5 |
| **You would expect to see the evidences of TPAB review of TP application** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.3** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB input and maintain all required data in the OASIS database? | | | | | | | | | 9104-001 Para 11.2  9104-003 Para 10.2.4 |
| **Check that all data reviewed over the whole oversight assessment is correct in OASIS.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.4** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| Does the TPAB have a communication process to share the TP performance information with relevant interested parties in accordance with this standard and other ICOP scheme requirements? | | | | | | | | | 9104-003 Para 10.1.3 |
| **You would expect to see that the TPAB has a process or procedure or document to share the TP performance information and if applicable evidence that this activity has been carried out.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.5** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| Does the person approved by the SMS and have sufficient ASD industry knowledge? | | | | | | | | | 9104-003 Para 10.1.4 |
| **You should confirm that the personnel involved in TP and training course(s) evaluation and approval have demonstrated ASD industry knowledge of sufficient depth, and approved by the SMS.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.6** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB establish the responsibility of granting, maintaining, suspending, extending, and withdrawing TP approval including appeal and feedback ICOP scheme cooperate? | | | | | | | | | 9104-003 Para 10.1.7 |
| **You should see evidence on how the TPAB manages the annual review of the TP competence and instructor performance.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.7** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB ensure that they retain documented information relating to the application review, approval decision of the TP and associated training course(s), and required annual reviews over the minimum 10 year retention period? | | | | | | | | | 9104-003 Para 10.1.7 |
| **The TPAB should manage and retain documented information to the applicable ICOP scheme requirements and the minimum retention period of 10 years.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.8** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB grant, maintain, extend, suspend, and withdraw approval of TPs? | | | | | | | | | 9104-003 Para 10.2.1 |
| **You would expect to see that the TPAB has a process or procedure or document on how the TPAB grant, maintain, extend, suspend, and withdraw approval of TP.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.9** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| How does the TPAB review each training course/assessment? | | | | | | | | | 9104-003 Para 10.3.1 |
| **You would expect to see that the TPAB has a process or procedure or document on how to review each training course.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.10** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| Upon approval of the training course/assessment, does the TPAB make a request to upload the appropriate data into the OASIS database within five working days of the approval decision and notify the TP in writing? | | | | | | | | | 9104-003 Para 10.3.2 |
| **Check that the data is correct in OASIS** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.11** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - If the review determines the training material or assessment does not meet the requirements, does the TPAB notify the TP of the reason(s) for the disapproval in writing? | | | | | | | | | 9104-003 Para 10.3.3 |
| **Check evidence of notification.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.12** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| Does the TPAB maintain documented information to address, at a minimum, the following requirements?  a. application review;  b. decisions, including notification of results;  c. granting, maintaining, suspending, and withdrawing TP approval;  d. review, approval, and withdrawal of training courses, including SMS concurrence (where required);  e. management of changes to TPs and/or training courses (see 11.4);  f. retained documented information;  g. complaints and appeals;  h. confidentiality;  i. impartiality, including the decision-making process;  j. maintenance of OASIS database records and information;  k. internal performance evaluation, including process effectiveness measures;  l. right of access to periodic oversight by relevant interested parties; and  m. management review. | | | | | | | | | 9104-003 Para 10.4.1 |
| **Check the following evidence documentation is available.**  **a. application review;**  **b. decisions, including notification of results;**  **c. granting, maintaining, suspending, and withdrawing TP approval;**  **d. review, approval, and withdrawal of training courses, including SMS concurrence (where required);**  **e. management of changes to TPs and/or training courses (see 11.4);**  **f. retained documented information;**  **g. complaints and appeals;**  **h. confidentiality;**  **i. impartiality, including the decision-making process;**  **j. maintenance of OASIS database records and information;**  **k. internal performance evaluation, including process effectiveness measures;**  **l. right of access to periodic oversight by relevant interested parties; and**  **m. management review.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.13** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - Following the suspension or withdrawal decision, or the removal of training course approval, does the TPAB:  a. notify the TP in writing of the following within five working days?   * justification of the decision; and * the right to appeal the decision.   b. determine the relevance of the reason(s) for suspension/withdrawal and the impact this can have on all AQMS course  approvals held by the TP?; and  c. update the TP or training course information (as applicable) in the OASIS database within five working days? | | | | | | | | | 9104-003 Para 10.5.3 |
| **(If applicable) - You would expect to see that the TPAB has the suspension or withdrawal decision, or the removal of training course approval process or procedure or document.** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.14** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - Does re-instatement of the approval granted by the TPAB, following successful resolution of either a suspension or an appeal, in accordance with the TPAB’s defined process? | | | | | | | | | 9104-003 Para 10.5.4 |
| **(If applicable) - You would expect to see that the TPAB has fully documented evidence of the steps carry out for the task** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.15** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - In the event of a decision to suspend the approval of a TP, does the TPAB:  a. require the TP to address the issues identified?; and  b. verify that the corrective action undertaken has been effective? | | | | | | | | | 9104-003 Para 10.5.5 |
| **(If applicable) - You would expect to see that the TPAB has fully documented evidence of the steps carry out for the task** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.16** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - In the event of a decision to withdraw the approval of a TP, does the TPAB impose a mandatory period of withdrawal of not less than 12 months duration from the date of the decision to withdraw? | | | | | | | | | 9104-003 Para 10.5.6 |
| **(If applicable) - You would expect to see that the TPAB has fully documented evidence of the steps carry out for the task** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.17** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - If TP(s) transfer to another approved TPAB, does the accepting TPAB obtain, review, and validate conformance of the required approval decision records, prior to making their approval decision? | | | | | | | | | 9104-003 Para 10.6.2 |
| **(If applicable) - You would expect to see that the TPAB has fully documented evidence of the steps carry out for the task** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

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| **Item** | **2.18** | **Office Assessment** | **Y** | **Activity Review** | **Y** | **TRAINING PROVIDER FILE REVIEW** | **Y** | **Reference(s)** | |
| (If applicable) - If the TPAB chooses to use the IAQG mark or logo, does the TPAB obtain written authorization from the IAQG? | | | | | | | | | 9104-003 Para 13.1 |
| **Check that written authorization from the IAQG has been obtained?** | | | | | | | | |  |
| **Assessment Evidence** | | | | | | | | | |
| Enter the answer here | | | | | | | | | |
| ( ) C ( ) NC ( ) NA ( ) NE -- ( ) Observation | | | | | | | | | |
| Assessment Result: (describe the NCR, OFI and / or Observation) | | | | | | | | | |

**Instructions for Completing Check Sheet:**

This check sheet shall be used for 9104-001 TPAB office assessment, activity reviews, and Training Provider File Review. It may also be used for TPAB special office assessments (e.g., follow-up).

It complements the oversight data input directly into OASIS and is to be entered as an attachment.

Document assessment results within the table as follows:

* **Conforming (C)** - The process records/evidence demonstrate effective implementation; process assessed and found acceptable.
* **Nonconforming (NC)** - The process records/evidence were assessed, and a nonconformity was identified.
* **Not Applicable (NA)** - The question is not applicable; record objective evidence in the “Assessment Evidence/Comments” column.
* **Not Evaluated (NE)** – The questions was not asked during the assessment.

**Assessment Evidence / Comments:**

Include appropriate detail in the “Assessment Evidence” column to support the assessment results

Additional questions may be added, as deemed appropriate.

**Nonconformity Reports**

NCRs issued during the oversight by the OP Assessor are to be directly written in OASIS and shall be followed through with OASIS.

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| **Document Revision History** | |
| **Revision Date** | **Description of change** |
| 18th April 2023 | New document issued |
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