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JSP 822

Part 5: Chapter 4

Defence Training Support Manual 4

**THE EVALUATION
OF TRAINING**



Director General Training and Education

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DOCUMENT QUALITY RECORD

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AMENDMENT RECORD

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FOREWORD

1. For the purpose of this document, the term “training”¹ encompasses all Learning², Education³ and Personal Development⁴ that has the objective of developing the knowledge, skills and/or attitudes of an individual toward preparing that individual for their role.

2. **JSP 822.** JSP 822 sets the policy framework for the management of individual training across Defence and details the key areas of Training Management (TM), Training Requirements Authority⁵ (TRA) and Training Delivery Authority⁶ (TDA) roles and Customer Executive Board (CEB) function. It is the high level policy that defines who is responsible for what in Defence Individual Training.

3. **Defence Systems Approach to Training Quality Standard (DSAT QS).** DSAT QS sets out the strategic principles to be applied to all Individual Training provided by, or on behalf of, Defence. The DSAT QS has been endorsed by the Training and Education Policy Group (TEPG) as the quality standard for the management of Individual Training across Defence. Any activity that has the objective of developing the knowledge, skills and/or attitudes of an individual for their current or future role must comply with DSAT QS.

4. **Defence Training Support Manuals (DTSMs).** The DSAT QS is underpinned by DTSMs that direct its implementation. There are 5 DTSMs:

DTSM 1 - The Analysis, Design and Development of Training.

DTSM 3 - Training Needs Analysis.

DTSM 4 - The Evaluation of Training.

DTSM 5 - Technology Based Training Solutions.

DTSM 6 - The Audit and Inspection of Individual Training.

5. **DTSM 4 -The Evaluation of Training.** DTSM 4 sets out the various processes and the tools, which are to be used in order to meet the requirements of the DSAT QS regarding the evaluation of Defence Individual Training. More detailed information, tools and procedures and examples of feedback questionnaires can be found in the appropriate Defence Centre of Training Support (DCTS) Training Support Handbooks. DTSM 4 covers

¹ An activity that aims to impart the specific knowledge, skills and/or inculcate appropriate attitudes required by an individual in order to perform adequately a task or job.

² Learning is the acquisition of knowledge, skills and/or attitude.

³ Education encompasses the development of intellectual capacity, the acquisition of general supporting knowledge and inculcation of attitudes, which underpin performance, and engender understanding, commitment and ethos.

⁴ Personal Development is the enhancement of personal and/or professional attributes arising from a combination of training, education and experience.

⁵ The TRA represents the end-user of the trained output. It is the ultimate authority for the derivation and maintenance of the Operational Performance Statement (OPS) or Competence Framework (CF), and is responsible for the evaluation of the effect of the training and education in achieving that OPS/CF (delivered both in the training school/organisation and the workplace).

⁶ The TDA is the organisation responsible for the provision of individual training or education, to agreed standards and in accordance with extant and funded Defence and single Service policies, on behalf of the customer(s). It is the conduit through which a Training Organisation/School is commanded/headed, resourced and administered.

not only the evaluation of training but also the associated quality assurance processes of Internal and External Validation (InVal and ExVal).

OVERVIEW OF THE PROCESS OF EVALUATING TRAINING

6. **Definition.** Evaluation is:

‘the process of making a judgement as to the worth of training to an organisation. It allows an organisation to monitor the impact of training and assess what has been achieved, whether it was effective and how this has contributed to the achievement of an organisation’s goals and targets.’⁷

7. The effectiveness and efficiency of this process will be reliant upon the following activities:

a. **Validation.** Validation ensures that the processes and products of training meet Defence requirements. It is divided into Internal Validation (InVal) and External Validation (ExVal). They will be covered in Sections 3 and 4 of this manual.

b. **Audit.** Audit determines the extent to which the whole training system meets the criteria set out in the DSAT QS. The auditing and inspection of individual training is covered in JSP 822 Pt 5 Ch 6.

8. **Aims.** Evaluation should aim to ensure that training activities are focused towards the achievement of the business/operational needs of Defence. Evaluation processes and procedures should ensure that training is:

a. Efficient and Effective.

b. Focused - The training should be focused on operational/business goals. The trained output should be able to perform their job competently.

c. Necessary - A requirement for training must be identified.

d. Flexible - The training must be responsive to a change in circumstances.

e. Appropriate - The training product should match the employment need.

9. Kirkpatrick’s evaluation model⁸ is a goal based evaluation model that is widely cited in conjunction with the evaluation of training in Defence. His model divides evaluation into 4 levels of measurement:

a. Reactions - did the student perceive the training as useful when compared to their expectations?

b. Learning - were new skills and knowledge acquired and attitudes developed?

c. Behaviour - has behaviour changed as a consequence of training?

⁷ DSAT QS 002:2003

⁸ Kirkpatrick, D.L. (1967), Evaluation of Training in, ‘Training and Development Handbook’ ed by Craig, R.L. and Bittel, L.R. London: McGraw Hill.

d. Results - was there a measurable impact on operational performance?

10. It should be noted that each level produces useful and specific information that can be used independently. However, only by combining all the information from each level, can we determine the full effectiveness of training and development activities at a strategic level.

11. **Strategy.** In devising a strategy an organisation is developing a long-term action plan for achieving a goal/objective. In the context of an evaluation strategy, this requires the development of a strategy, which aims to assess the total worth of a training activity.

12. An evaluation strategy should articulate the training to be evaluated, the evaluation stages to be applied and the roles and responsibilities of the personnel involved in the process. The strategy should cover the whole cycle of training, starting when a need is identified and continuing until operational/business performance is achieved.

13. It is not always necessary, beneficial or possible to evaluate some activities to all levels. The TRA should define those areas to be targeted in their evaluation strategies and define the link to business requirement/objectives.

14. The Evaluation Strategy for Defence is based upon the 4 stages of evaluation as outlined in the DSAT QS. (See Table 1)

Stage	Function	Purpose	Benefit
1	Measure the immediate reaction of the individual through an after action review.	To measure the perceived effectiveness of the training activity.	Improved efficiency and effectiveness of the training activity.
2	Measure the learning transfer achieved by the training activity.	To determine, by applying quantitative or qualitative assessment methods, to what extent individuals increased their knowledge and skills and changed their attitudes.	Improved efficiency and effectiveness of the training activity and measurement of the standard achieved by the individual.
3	Measure changes in behaviour of individuals as a result of the training activity and how well the enhancement of knowledge/skills/attitudes has prepared individuals for their role.	To determine the subsequent impact on performance after training activity and therefore the validity of the training in preparing individuals for their role.	Improved efficiency and effectiveness of the organisation through the employment of competent personnel.
4	Measure the contribution of training to the achievement of the business/operational goals.	Overall organisational benefits attributed to training (including return on investment).	Assurance that the effective business/operational focus of training activities is being maintained.

Table 1 — The DSAT QS Stages of Training Evaluation



15. The processes involved in identifying the need and in designing, delivering and evaluating all individual training should be subject to stages 1 & 2 of evaluation. The application of Stages 3 and 4 should consider the following:

- a. Importance - The actual or perceived impact of the training activity on the business/operational performance.
- b. Cost - The cost of the evaluation compared to the realized or potential/perceived benefit of the training activity.
- c. Outputs - Utility of the outputs of evaluation (eg can the results of the evaluation be used to improve the effectiveness/efficiency of the training?).
- d. Frequency - The frequency of the training activity.
- e. Availability - The availability of evaluation data.

16. For further information and advice contact:

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SECTION 1 - PRODUCING A TRAINING EVALUATION STRATEGY

INTRODUCTION

1.1 In accordance with the DSAT QS, all individual training should be subject to a process of evaluation that must be undertaken in accordance with an evaluation strategy.

1.2 An evaluation strategy articulates the evaluation systems that are necessary to generate the management information required by the organisation, in order to establish whether training is effective in contributing to the achievement of organisational goals and targets. A training evaluation strategy must:

- a. Allocate specific roles and responsibilities for each stage of the training evaluation process.
- b. Include a feedback mechanism, which ensures that the currency and validity of individual training is maintained through the application of the results of evaluation.

1.3 The evaluation strategy for Defence will be based upon the 4 stages of evaluation outlined in the DSAT QS (see Table 1 on page v). It is, however, not always necessary, beneficial or possible to evaluate some activities to all levels, but any strategy should include the rationale behind a decision not to apply a specific evaluation stage.

1.4 **Benefits.** The benefits of adopting and implementing an evaluation strategy are various. Examples are:

- a. It provides clear communication and strategic direction for the evaluation of training.
- b. It provides a framework from which the TRA, on behalf of the customer or the training organisation/school, can readily ascertain and/or demonstrate whether training is effectively contributing to the achievement of business/operational goals. More specifically, it assists the TRA or training organisation/school to:
 - (1) Ascertain whether training is meeting the needs of the customer.
 - (2) Identify the emerging needs of the customer.
 - (3) Ascertain whether training is being delivered efficiently and effectively.
 - (4) Quantify the learning transfer achieved by a training activity.
 - (5) Identify a consistent baseline against which to measure benefits.
 - (6) Identify whether over training is occurring.
- c. It will help Defence to make the link between training and improvement in operational and business performance.

1.5 Training evaluation should be an ongoing management function, linked to organisational goals. It should attempt to measure the overall benefit of the training activity. It therefore requires input from organisational managers and policy makers to specify the criteria by which they wish to measure success.

DEVELOPING AN EVALUATION STRATEGY

1.6 An evaluation strategy will involve the systematic collection and interpretation of evidence, leading, as part of the process, to a judgement of value with a view to action. The term 'systematic' implies that the required information is defined at the outset; 'interpretation of evidence' and 'judgement of value', introduce a critical consideration; and 'with a view to action' highlights that evaluations are intended to provide recommendations for the modification and improvement of training. Any evaluation strategy chosen, therefore, should:

- a. Be systematic.
- b. Ensure provision of a critical analysis of current training.
- c. Give a clear indication of improvements to training.

Ultimately, the evaluation strategy should be appropriate, proportionate, responsive and targeted on the needs of the organisation to help ensure that the costs of the evaluation activities do not outweigh the benefits.

1.7 A training evaluation strategy should state:

- a. The evaluation stages to be applied to each training activity.
- b. The frequency with which each evaluation stage should be applied.
- c. The responsibilities of the various stakeholders at each stage of evaluation.
- d. The sources from which information will be obtained.
- e. The methods of data recording and analysis.
- f. The reports that will be raised.
- g. The staffing chain for addressing report recommendations.

1.8 There will need to be careful scoping at the design stage to identify exactly what type of information the TRA or training organisation/school wishes to collect and therefore which evaluation processes are the most appropriate. The evaluation strategy may also reflect the resources and time available.

1.9 All individual training should be subject to InVal and ExVal but DSAT stage 4 should be more focused in its application. The TRA or training organisation/school can use any one, or a combination, of the following triggers to target higher level evaluation of training:

- a. Impact - The actual or perceived impact of the training activity on the business/operational performance.

- b. Cost - The cost of the evaluation compared to the realised or potential/perceived benefit of the training activity.
- c. Outputs - Utility of the outputs of evaluation (eg can the results of the evaluation be used to improve the effectiveness/efficiency of the training?).
- d. Frequency - The frequency of the training activity.
- e. Availability - The availability of evaluation data.
- f. Feedback - Feedback from InVal or ExVal that requires further investigation.

THE DESIRED OUTCOME OF AN EVALUATION STRATEGY

1.10 Ultimately Customers need assurance that the time invested in training and developing staff is benefiting the organisation.

1.11 The strategy should not simply outline an evaluative process which determines whether personnel have learned new skills, but rather whether those skills have been applied for the organisation's benefit. The results from an evaluation should provide information on what the training has contributed to the organisation, and what needs to be done differently in the future.

ROLES AND RESPONSIBILITIES

1.12 Responsibility for the conduct of the various aspects of Evaluation are as follows:

- a. The conduct of InVal is the responsibility of the Training School/ Organisation
- b. The conduct of ExVal is the responsibility of the TRA.
- c. The conduct of higher level targeted evaluation is the responsibility of the single Service/ Defence evaluation organisation.

SECTION 2 - INTERNAL VALIDATION

Stage	Function	Purpose	Responsibility	Benefit
1	Measure the immediate reaction of the individual through an after action review.	To measure the perceived effectiveness of the training activity.	Training Provider	Improved efficiency and effectiveness of the training activity.
2	Measure the learning transfer achieved by the training activity.	To determine, by applying quantitative or qualitative assessment methods, to what extent individuals increased their knowledge and skills and changed their attitudes.	Training Provider	Improved efficiency and effectiveness of the training activity and measurement of the standard achieved by the individual.

INTRODUCTION

2.1 Within DSAT QS, a system of training validation is used to ensure that the processes and products of training meet the stated operational training requirement. Training Validation uses both qualitative and quantitative data in order to ascertain whether training effectiveness and efficiency has been achieved and is the process used to inter-connect the elements of the DSAT QS training cycle. Training Validation is divided into 2 forms, known as Internal Validation (InVal) and External Validation (ExVal). This Section deals with InVal whilst ExVal is covered in Section 3.

AIMS OF INVAL

2.2 InVal is a process used by training management to determine the efficiency and effectiveness of training delivery. To achieve this, InVal is focused in order to measure:

- a. The immediate reaction of an individual (to a training event, which might be a whole course or part of a longer course) through an after action review (DSAT QS Training Evaluation Stage 1).
- b. The learning transfer achieved by the training activity (DSAT QS Training Evaluation Stage 2).

RESPONSIBILITY FOR INVAL

2.3 The Training School or organisation is responsible for the conduct of the InVal process which involves personnel from a range of backgrounds including Instructors and Trainees. Their involvement can be summarised as follows:

- a. **Instructors.** Course instructors have responsibility for day to day management of the InVal process, including management of the assessment strategies and feedback mechanisms used on the course. Course instructors also inform the InVal process through the provision of post course feedback.
- b. **Trainees.** Trainees provide the primary source of feedback, through both test results and feedback, for the InVal process. The information is usually gathered through the completion of a course questionnaire or through response to questions posed during a Post Course Discussion (PCD) or individual interview. In addition, the assessment of trainee performance on a course will provide data which can be used to measure the transfer of learning.
- c. **InVal Teams.** At large training establishments, InVal teams may be tasked to conduct the InVal process. Acting as a 3rd party, InVal teams offer the advantage of impartiality and can provide a 'big picture' overview of training effectiveness.

SOURCES OF INVAL DATA

2.4 There are numerous sources of InVal data, the main ones are summarised below:

- a. **Course Documentation.** Course documentation should be checked to ascertain that all standards from the TOs have been transferred to the Instructional Specifications (ISpecs), that the Assessment Strategy includes the testing of all TOs and that the lesson plans comply with the ISpecs.
- b. **Formative⁹ and Summative Tests.** Tests may be practical, written or oral in nature, and can be used to ascertain that the trainees have assimilated the skills and knowledge required to achieve the standard as specified in the TOs. They can also be used to diagnose the strengths and weaknesses of trainees and test potential success, progress and achievement. If there are an unusually high number of failures or unusual circumstances this may indicate faults with the training system rather than trainee performance.
- c. **Instructor Performance Monitoring.** Instructor performance monitoring conducted by training management can be used to ensure that training is being delivered in accordance with ISpecs.
- d. **Trainee Logs.** Information regarding training effectiveness can be obtained through trainee logs. Trainees can be requested to complete logs on either a daily or weekly basis and should be required to submit written feedback regarding the training they have received.

⁹ Formative assessments are conducted during a training programme to identify any weakness in learning or instruction and to aid the retention of successful learning.

- e. **Observations.** The observation of procedures is especially important in skills training and relates particularly to the areas of speed, sequencing, manual dexterity and safety. Observations can take either a structured form, requiring the use of coded schedules, or unstructured, where the researcher uses his/her judgement about which events are considered important.
- f. **Course Feedback Questionnaires.** Questionnaires can be used to capture trainee opinion on any aspect of the training that they have received. They can be used to collect both qualitative and quantitative data. For short courses it is usual for questionnaires to be distributed at the end of the course; for longer courses, questionnaires can be programmed at regular intervals or at the end of modules. Both approaches need to be used to reduce the chance of trainees forgetting information. Questionnaires can also be used to gather information from instructors. Examples of InVal questionnaires for students and instructors can be found in the DCTS Training Support Course Handbooks.
- g. **Post-Course Discussions (PCD).** A discussion at the end of training enables the students to air their views, to amplify upon comments made on questionnaires and for the training staff to gauge the initial reaction to training. It is considered appropriate to use staff who have not been involved with the delivery of the training course to manage and conduct the PCD process. If 'external' staff are used in this way, it may not be possible for these staff to answer questions or criticisms regarding elements of the course and this must therefore be done by the Course Management through the use of the Validation report. Irrespective of who conducts the PCD, the content of the discussion should be planned as for any interview, producing an aid or schedule to follow. Information from other sources will suggest the areas needing more/less attention, or none at all. These sources include:
- (1) The collated responses to the questionnaire.
 - (2) Course reports from preceding classes.
 - (3) Past problem areas.
 - (4) Issues raised by unsolicited or informal feedback.
 - (5) Analysis of assessment results.
- h. **Interviews.** Interviews can be conducted in order to collect trainees' reactions to training. They have the advantage of being flexible and allow subjects to be explored in depth. However, interviews can be time consuming and are normally only used to obtain opinions from small numbers of personnel, both trainees and staff. Interviews can take both structured and unstructured forms.
- i. **Unsolicited Feedback.** Unsolicited feedback may come from trainees and course deliverers through involvement in informal discussions. Data gathered through this means can be used to usefully inform the InVal process but should not be treated in isolation.

- j. In addition to the tools listed, activities such as audits of the training process and management reports can provide useful additional data to inform an InVal.

INVAL TIMING

2.5 The data required to inform the InVal process can be collected during 3 stages of the training process:

- a. **Before Training Starts.** When specifying the content of a training programme, it may be necessary to establish what the trainees already know, or what trainees can do, by means of pre-course diagnostic testing. Failure to recognise that trainees can perform certain tasks, or possess certain knowledge, can result in training that is inefficient or irrelevant. It is also important to gauge trainee expectations of a course. These tasks can be achieved through completion of a pre-course questionnaire or a pre-course discussion with the information gained used by instructors to enhance the relevance of their training. It is most important that trainees are briefed on the reasons for and their involvement in the InVal process at the start of the course; such a briefing usually concludes with the issue of InVal questionnaires. Examples of InVal questionnaires can be found in the DCTS Training Support Handbook.
- b. **During Training.**
 - (1) **Measuring Learning Transfer.** Formative assessments are conducted during training and can be used to measure the transfer of learning. Assessing trainee performance during training enables training problems to be identified and dealt with as they arise, and allows training management the opportunity to measure student progression towards the achievement of course training objectives.
 - (2) **Trainee Reaction.** Trainee reaction to the training that has been received can be captured during, as well after, training. Questionnaires, Course logbooks and unsolicited feedback are some of the means through which trainee reactions can be captured.
- c. **At The End of Training.**
 - (1) **Measuring Learning Transfer.** The testing and assessment of trainees at the end of training provides a vital indicator of overall course effectiveness. The results of summative assessment¹⁰ can be used to help training management identify which areas of a course caused trainees difficulties; they can also be used for assessing the effectiveness of the training system as a whole. An essential element of the InVal process is the analysis of test results in order to assess the effectiveness of the tests themselves.
 - (2) **Trainee Reaction.** Feedback mechanisms, such as questionnaire-based course critiques, and post course discussions, can provide information against which trainee reactions to training can be gauged. Trainee

¹⁰ Assessment designed to measure achievement at the end of a period of training.

assessment results, coupled with reaction to training, will allow trainers to evaluate trainee performance and will facilitate the formulation of judgements regarding overall course effectiveness.

ANALYSIS OF INVAL DATA

2.6 The InVal process can generate a considerable quantity of both qualitative and quantitative feedback, some of which, at times, may be contradictory. In order to ensure that any changes made to training are positive it is essential that a robust analysis of feedback data be implemented. When analysing data it is, therefore, important that an analyst is familiar with the concepts of validity, reliability and triangulation, defined as follows:

- a. **Validity.** A measuring instrument is valid if it measures what it is intended to measure. For example, in training the most valid measuring instrument for a practical skill is a practical test, not a written test. The written test may well test whether the trainee knows what to do in a practical task, but will not test whether the trainee can actually do it.
- b. **Reliability.** A measuring instrument is reliable if it gives consistent results. For example, a test or questionnaire, when administered to two very similar groups, would not be reliable unless it gave similar results. If it is a reliable measuring instrument it should also give similar results when it is administered twice to the same group at different times.
- c. **Triangulation.** The term triangulation is used to describe the use of 2 or more data gathering techniques to investigate the same phenomenon. Confidence in the findings is enhanced when the techniques yield similar results. For example, if the outcomes of a questionnaire-based survey correspond to the findings of an observational study of the same phenomena, the more the researcher will be confident about the findings. In addition to the use of 2 or more data collection tools, triangulation can also be achieved through the use of 2 or more researchers using the same research instrument.

FACTORS THAT INFLUENCE TRAINEES' REACTION TO TRAINING

2.7 Despite the evaluators' best efforts to design feedback mechanisms which are both reliable and valid, it is important to realise that there is a range of external factors that may influence the content of InVal feedback. Every attempt should be made to take these into consideration when conducting an analysis. For example, trainees' reactions to training can be influenced by many factors, which may include the following:

- a. Their relationship with their trainer.
- b. Their attitude towards attending the course.
- c. The influence of peers.
- d. How hard or easy they found the course.
- e. The perceived relevance of the training.

- f. The quality of the delivery of the training.

These factors, together with the weight of evidence supporting each factor, should be carefully considered before any conclusions are reached regarding the perceived effectiveness and efficiency of training.

PRESENTATION OF INVAL FINDINGS

2.8 Once data has been gathered and analysed, it becomes the evidence to support the conclusions and recommendations of the InVal. It should, therefore, be summarised and incorporated into a report, although it may be appropriate to hold a meeting of stakeholders and record the findings in minutes. For a course to be deemed internally valid it must be proven, by triangulation of data, that all training and testing meets the requirements of the TOs as contained in the TPS. For the InVal teams to be able to identify a course as being internally valid they must be able to positively state that:

- a. All standards have been transferred from the TOs in the Training Performance Statement to the ISpecs.
- b. The trainers are instructing to the ISpecs.
- c. Instruction is being delivered to the correct standards and conditions.
- d. The TOs are being tested to the correct standards and conditions.
- e. The trainees have assimilated the skills and knowledge to achieve the required performance.

2.9 The InVal report is primarily an internal document but it can also be distributed to departments responsible for conducting ExVal where appropriate.

SECTION 3 - EXTERNAL VALIDATION

Stage	Function	Purpose	Responsibility	Benefit
3	Measure changes in behaviour of individuals as a result of the training activity and how well the enhancement of knowledge/skills/ attitudes has prepared individuals for their role.	To determine the subsequent impact on performance after training activity and therefore the validity of the training in preparing individuals for their role.	TRA	Improved efficiency and effectiveness of the organization through the employment of competent personnel.

INTRODUCTION

3.1 External Validation (ExVal) uses both qualitative and quantitative data to determine how well training prepares people for their jobs. It measures changes in the behaviour of individuals as a result of a training activity and how well the enhancement of knowledge/skills/attitudes has prepared individuals for their role. The primary purpose of ExVal is to determine the impact on performance after training activity and therefore the validity of the training in preparing individuals for their role. Once an ExVal has been performed, it is then possible to begin to measure the contribution of training to the achievement of operational and/or business goals.

3.2 The ultimate purpose of training is to produce an individual who can do the job for which he/she has been trained. Theoretically, the conduct of a job analysis and the production of a job specification and/or Operational Performance Statement (OPS) should ensure that the Training Objectives reflect the requirements of the job (recognising that the limitations of what can be achieved in the training environment). However, most jobs are liable to change and job analysis is not infallible. ExVal thus attempts to ascertain the impact that training has had upon individual performance in the workplace (in relation to the prescribed OPS). In effect, ExVal is used to determine the continuing validity of course and workplace Training Objectives measured against the standards of job performance. ExVal is applied after students have completed a training course and have had the opportunity to apply what they have learnt in the workplace.

AIMS OF EXTERNAL VALIDATION

3.3 The aim of ExVal is to determine the impact on performance after a training activity, and therefore the validity of training in preparing individuals for their role.

- a. **Timing.** Timing is important as, since we are concerned with checking how behaviour has changed/improved as a result of training, time must be allowed for the training to be applied. Initially, after training, an individual's motivation will be increased; performance, however, frequently suffers as people try to 'unlearn' old behaviours and practise new skills. Therefore, the timing of ExVal should be determined by both the length and complexity of the training course that is being validated. Usually, an ExVal would be implemented between 6-18 months after the

completion of training. On the other hand, if too long a period is left between the training event and the ExVal, it will be difficult to ascertain which Knowledge Skills and Attitude (KSA) have been acquired as a result of training and which have been learnt subsequently.

b. **Methodology.** Some measurement of behavioural change may have already been made during the assessment of student performance during training. However, in order to ascertain the full impact of training on individual performance in the workplace, further analysis must be undertaken. The process through which data is collected and analysed in order to inform ExVal should be planned. Typically, this data will be collected through questionnaire based feedback mechanisms.¹¹ Questionnaires will normally be distributed to both ex-trainees and their respective line managers at least 6 months after the completion of training. The questionnaire should examine the degree to which the training objectives relating to a particular training course remain relevant to the employment area they were designed to support. The questionnaire should also serve as a mechanism through which data can be gathered relating to the wider aspects of the training process; it must be responsive to the needs of the various stakeholders. Finally, the questionnaire also provides training providers and supporting management with a common method of accessing their customers, enabling them to determine how applicable and effective the training was in affecting the trainees' job performance. Data should be gathered from ex-trainees and line managers, but also from instructors within the training delivery organisation. In addition, activities such as audits of the training process, instructor monitoring, management reports and other data gathered through the Internal Validation process, can all be used to inform ExVal.

RESPONSIBILITIES FOR EXVAL

3.5 It is the responsibility of TRA to conduct ExVal. Ideally an ExVal team should be established with a range of courses to process. This team is then made responsible for the planning, coordination and implementation of the ExVal and for the dissemination of the results. In doing so they will need to draw on the experiences of many of those involved in the training process, who should be encouraged to take individual responsibility for the conduct of ExVal. Wherever such a responsibility is accepted then continuous improvement of the training under validation is more likely. The main contributors to ExVal include:

- a. **Ex-trainees.** To provide information, by questionnaire and/or interview that informs the ExVal process of their opinions as to how well the training prepared them for their in-role tasks.
- b. **Employing Officers.** Ranging from the ex-trainees' immediate supervisor to their commanding officer or head of branch, such people usually prove to be more objective sources of information as to how the training has prepared the ex-student for their role.
- c. **Subject Experts.** Recognised experts in the subject matter for which the training was designed should have been identified, by the customer(s), and

¹¹ Although questionnaires will be the main method of gathering data, the practitioner should not rule out the other tools available, such as minutes of meetings, visit reports and data relating to job performance that is obtained through observation of the trained individual in the working environment and through interview.

consulted during the Design and Development stage. Such individuals will have a personal interest in making the training for their subject a success and are sometimes employed within the organisation delivering the training. The staff of training delivery organisations would not normally be consulted as to the efficiency and economy of training and its relevance to the operational need since it is difficult for such individuals to be objective about such matters. The subject expert working within a delivery organisation must not, however, be disqualified from making a contribution purely on the grounds of their current employment.

3.6 The methods of gathering and analysing data used in ExVal will vary according to the object, scope and level of the ExVal itself. The final ExVal report should be used as a management document to identify where, or indeed if, changes to training should take place. JSP 822 Pt 5 Ch 1 explains the steps to take should a change to training be deemed necessary.

SECTION 4 - EVALUATION

4	Measure the contribution of training to the achievement of the business/operational goals.	Overall organizational benefits attributed to training.	Single Service/ Defence Evaluation Organisations	Assurance that the effective business/operational focus of training activities is being maintained.
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INTRODUCTION

4.1 Evaluation is a tool which explores specific aspects of training that require further, and in many cases, deeper analysis. A DSAT Stage 4 evaluation will seek to assess overall benefits to the organisation of a particular training activity, or the shortfall caused by the omission of an element of training.

AIM OF EVALUATION

4.2 The aim of Evaluation is to investigate and address any shortfalls in performance, subsequent to a training activity. These shortfalls are usually highlighted as a result of InVal or ExVal. It is the process of measuring the total worth of training to an organisation and allows that organisation to monitor the impact of training and assess what has been achieved, whether it was effective and how this has contributed to the achievement of an organisation's goals and targets. DSAT QS states that, 'an evaluation strategy shall be responsive to and targeted at the needs of the businesses, and that 'it is more efficient to conduct targeted evaluation at the strategic level rather than attempt to evaluate everything'. It is thus important to recognise that Evaluation should only be implemented when required, and that the requirement will be determined by specific triggering circumstances. The implementation of Evaluation without clear purpose will divert scarce resources which could have been employed in areas of greater need. The aim of each Evaluation study should be outlined within Terms of Reference (TOR) unique to that study. However, in broad terms it should seek to ascertain, in depth, whether the training that has been given to an individual was sufficient in relation to expected job performance, and in doing so prove whether the course TOs continue to be relevant.

a. Types of Evaluation. There are 2 main types of Evaluation:

- (1) **Specific Focus Analysis (Informal/Follow Up).** The Follow Up Evaluation is initiated following the identification of a specific aspect of training that requires analysis. It may focus on certain aspects of the job and ignore others (depending on circumstances) and can be triggered by issues raised during ExVal.
- (2) **Comprehensive.** The Comprehensive Evaluation examines in detail each task carried out on the job. A key element of this form of study is the requirement to re-examine the tasks the ex-trainee is being required to perform and the degree to which their training has prepared them for every aspect of their role. The detailed nature of this form of Evaluation will necessitate the need to gather data from many sources and will include a review of all aspects of the training design process.

b. **Triggering Circumstances.** Typically, an evaluation will be initiated following the identification of training problems during ExVal. Whilst each evaluation study will be unique and bound by its own TOR, there will be broad areas of similarity between these studies, and it is likely that the research methodologies used to gather and analyse data between studies will be similar.

c. **Methodology.** The efficacy of each evaluation study will be dependant upon the methods used for data gathering and analysis. The initial examination and overview of each study should be undertaken through a scoping process. The aim of this process is to identify any factors which will shape the study, to identify possible sources of data, and to examine methods through which this data could be collected and analysed. The output from a scoping study should be a report covering the following areas: the sponsor of the study; the predicted time-scales for the completion of the study; the specific purpose of the study; how the study aims and objectives will be translated into research questions; the main methodology of the study; how the data will be gathered; from whom the data will be acquired; what other sources of information should be used; who should undertake the study; and how the data will be analysed. The framework for an evaluation study, including guidance on all of the areas listed above, should be bound within specific study TOR and these will invariably be drafted during the scoping study phase.

RESPONSIBILITY FOR EVALUATION

4.3 Each Service/Defence Organisation is responsible for carrying out Evaluation studies on training for which they are the customer, loosely defined as the 'employer' of the trained output. In the case of Defence Training Establishments, where training courses will contain trainees from each Service, each Service should carry out its own Evaluation studies with the Customer Executive Board acting as the focus for the results of the Evaluation.

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JSP 822

Part 5: Chapter 6

First and Second Party Audit of Defence Individual Training



Director General Training and Education

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PART 5 CHAPTER 6: FIRST AND SECOND PARTY AUDIT OF DEFENCE TRAINING

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DOCUMENT QUALITY RECORD

The following quality control statements are made in accordance with the requirements of the Defence Systems Approach to Training Quality Standard (DSAT QS):

1. **Security Classification.** Unclassified
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 - a. **Amendments.** Individual pages that are replaced during the amendment process should be disposed of according to the document's security classification in accordance with local instructions.
 - b. **Re-issue.** On occasion the entire manual will be re-issued and under those circumstances the old version of the manual must be destroyed, without undue delay, upon receipt of the later version.



AMENDMENT RECORD

Change Number	Description	Name	Signature	Date Incorporated
Draft 1.0	Initial draft written following DTSM6 WG meeting on 14 Jun 05	[REDACTED]	[REDACTED]	-
Draft 2.0	Draft presented to WG 21 Sep 05	[REDACTED]	[REDACTED]	15 Sep 05
Draft 3.0	Draft updated following meeting dated 23 Jan 06	[REDACTED]	[REDACTED]	02 Feb 06
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FOREWORD

1. For the purpose of this document, the term training¹ encompasses all Learning², Education³ and Personal Development⁴ that has the objective of developing the knowledge, skills and/or attitudes of an individual in terms of preparing that individual for his/her role.
2. **JSP 822.** JSP 822 sets the policy framework for the management of individual training across Defence and details the key areas of Training Management (TM), Training Requirements Authority⁵ (TRA) and Training Delivery Authority⁶ (TDA) roles and Customer Executive Board (CEB) function. It is the Defence high level policy that defines who is responsible for what in individual training.
3. **The DSAT QS.** The DSAT QS sets out the strategic principles to be applied to all Individual Training provided by, or on behalf of, Defence. The DSAT QS has been endorsed by the Training and Education Policy Group (TEPG) as the quality standard for the management of Individual Training across Defence. Any activity that has the objective of developing the knowledge, skills and/or attitudes of an individual for their current or future role must comply with DSAT QS.
4. **JSP 822 Part 5 (Formerly Defence Training Support Manuals (DTSMs)).** The DSAT QS is underpinned and supported by the Chapters contained within JSP 822 Part 5 (formerly DTSMs) that direct its implementation. There are 5 Chapters:
 - Chapter 1 - The Analysis, Design and Development of Training.
 - Chapter 3 - Training Needs Analysis.
 - Chapter 4 - The Evaluation of Training.
 - Chapter 5 - Technology Based Training Solutions.
 - Chapter 6 - First and Second Party Audit of Individual Training
5. **First Party Audits.** This Chapter describes the process of first party audits, a requirement of the DSAT QS, which are a fundamental component of the wider assurance process. The Chapter defines terms and establishes the requirements of a general quality system. It goes on to cover the process of auditing and the role of the auditor. Incorporated

¹ An activity that aims to impart the specific knowledge, skills and/or inculcate appropriate attitudes required by an individual in order to perform adequately a task or job.

² Learning is the acquisition of knowledge, skills and/or attitude.

³ Education encompasses the development of intellectual capacity, the acquisition of general supporting knowledge and inculcation of attitudes, which underpin performance, and engender understanding, commitment and ethos.

⁴ Personal Development is the enhancement of personal and/or professional attributes arising from a combination of training, education and experience.

⁵ The TRA represents the end-user of the trained output. It is the ultimate authority for the derivation and maintenance of the Operational Performance Statement (OPS) or Competence Framework (CF), and is responsible for the evaluation of the effect of the training and education in achieving that OPS/CF (delivered both in the training school/organisation and the workplace).

⁶ The TDA is the organisation responsible for the provision of individual training or education, to agreed standards and in accordance with extant and funded Defence and single Service policies, on behalf of the customer(s). It is the conduit through which a Training Organisation/School is commanded/headed, resourced and administered.



within the manual are example procedures relating to first party auditing that have been extracted from existing quality manuals. They are included to aid the implementation of auditing systems within other training organisations. The content of this chapter is reviewed by the Defence Individual Training Assurance Group (DITAG).

6. **Second Party Audits.** This chapter also provides a guide to the second party audit process and replaces the Defence Audit Protocols (DAPs) which are withdrawn with immediate effect.

7. Defence training organisations will be subject to second party audits of its Management of Training System (MTS) by representatives of the single Services. The fundamentals of an audit are common to both first party and second party exercises and therefore second party auditors are to follow the principles outlined in the first party audit sections of this Chapter. However, second party audits provide additional confidence to the TDA and the respective CEB or equivalent, that the training unit has processes and systems that not only meet the requirements of the DSAT QS but are also ensuring the learning environment and the learners themselves are the focus for an effective training delivery organisation. Therefore this chapter outlines the additional requirements of engaging with training units, assisting in action planning to address an identified shortfall, and utilisation of the Common Inspection Framework (CIF) (also adopted by external agencies such as Ofsted and the ALI)⁷, to assess the quality of learning and the management and leadership of the learning environment. A second party audit will be informed by a number of reference documents including previous first and second Party reports, Self Assessment Reports (SAR), and Ofsted/ALI reports⁸.

8. **Third Party Audits.** Third party audits are conducted by organisations independent of the TDA and its Chain of Command. The DSAT QS is now certified and registered as a private standard with the BSI.

The content of this chapter is sponsored by DGTE. For further information and advice contact:

Contact	Tel
[REDACTED]	[REDACTED]

⁷A further guide to the CIF can be found on Ofsted's website: www.ofsted.gov.uk/.

⁸ A sample list of reference material is at Annex B to Section 7.

SECTION 1 – INTRODUCTION TO ASSURANCE ACTIVITIES

DEFINITIONS

1. In order to clarify the scope of this Chapter, the following definitions of audit and inspection are used.

a. **Audit.** An audit is a systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which it meets assessment criteria. A Defence training audit is conducted against the requirements of the DSAT QS. An audit can be carried out by first party, second party or third party organisations.

(1) **First Party Audits.** Audits conducted by the training organisation for internal purposes, which can form the basis of an organisation's self-declaration of conformity and provide the basis for continuous improvement. First party audits are conducted by training deliverers to provide their Commanding Officer/Head of Training Establishment with confidence that the training and related activity conducted by the organisation is undertaken in accordance with the DSAT QS and that improvements identified by this process are implemented.

(2) **Second Party Audits.** Second party training audits are undertaken against the DSAT QS and elements of the CIF. They are carried out by, or on behalf of, parties having an interest in the training deliverer, including the TDA, users and customers and higher authorities.⁹ The report of a second party audit is to be directed to the chair of the CEB¹⁰ or its equivalent, in order to determine who is responsible for taking any actions arising and for oversight that such actions have been completed satisfactorily. Second party audits are carried out with the agreement of all stakeholders across Defence and as such carry MoD authority.

(3) **Third Party.** Audits conducted by organisations independent of the TDA and its Chain of Command.

b. **Inspection.** An inspection is a formal examination or review of training performance and outputs to determine adherence with regulations, assessment of effectiveness and/or to ensure fitness for purpose.

2. **The Relationship between Audit, Inspection and Evaluation.** The terms audit, inspection and evaluation are commonly used indiscriminately. Evaluation is clearly defined within DSAT QS and comprehensive direction on the subject is given in JSP 822 Pt 5 Ch 4. Whilst the products of audit and inspection can be used to inform level 4 evaluation, it is important to appreciate that, in Defence terms, they are not the same thing. Table 1 on page 6-1-2 outlines the key differences between audit and inspection.

⁹ These second party audits are normally carried out by a single Service or Defence organisation on behalf of the appropriate TDA or TRA, covering all the interests of the stakeholders of the training.

¹⁰ Copied to stakeholders.

Table 1 – Key Differences Between Audit and Inspection

AUDIT	-	INSPECTION
Objective	-	Subjective
Process / procedure related	-	Performance / output related
Timing Predictable	-	Timing can be announced in advance or unannounced
Conformance / Non-conformance	-	Pass /Fail/Graded
Validated against set criteria	-	More evaluative
Scope restricted to agreed areas	-	Scope areas against an agreed framework (e.g. CIF).
Done against a published standard (i.e. to a standard e.g. DSAT QS or the key questions derived from the CIF)	-	Non-restricted
Auditors do not necessarily need to be Subject Matter Experts (SME) in the subjects being trained, however auditors require experience in the training system	-	Inspectors generally need to be SMEs in the subjects being trained
Auditors require formal training in the Quality Standard and in First / Second / Third party audit methodology	-	Experience in the subject matter of the training area is required. Some specific inspection methodologies such as CIF require training to be used effectively.

3. Within Defence, significant emphasis is placed on the added value or 'Performance Improvement' that can be obtained from conducting an audit. Without it, the value of the audit would be reduced.

4. Throughout, it must be remembered that an audit is a sampling or 'snap shot' of the organisation at a specific time. An audit should never aim or claim that a system is 100% compliant.

AIMS AND REASONS FOR FIRST PARTY AUDITING

5. It has been stated that an audit enables an organisation to 'determine the extent to which it meets set assessment criteria' (Sect 1.1a). The immediate aim of a first party training audit within the DSAT context is to allow the organisation to confirm that it complies with its own documented MTS which in turn should comply with the DSAT QS. However, there may be several more strategic aims and reasons why audits are carried out. In general, first party audits are conducted for one or more of the following reasons:

- a. It is a stipulated requirement (e.g. DSAT QS, external funding, regulatory and awarding bodies, Investors in People, International Standards Organisation).
- b. It contributes to the overall assurance of Defence individual training and is utilised by the chain of command to develop a culture of continuous improvement within a training organisation and will ensure systematic improvement of the organisation and its quality management system.
- c. To prepare for a second party audit or an external inspection.

AIMS AND REASONS FOR SECOND PARTY AUDITS

6. Second party audits provide part of the higher level assurance activities to the stakeholders that individual training establishments are complying with the DSAT QS effectively. In general, Second party audits are conducted for one or more of the following reasons:

- a. It provides evidence to the higher level stakeholders of a training organisation's effectiveness. The published report is usually distributed to the TDA (through the CEB chair) and other stakeholders. It provides a clear indication as to the health of the training processes and outputs of the organisation, how management is striving to continually improve the organisation, and the measures being undertaken to address areas for development.
- b. It will provide comment on the effectiveness of the Continuous Improvement culture specifically reviewing the internal quality system.
- c. It utilises elements of the CIF to assess the quality of the learning provided in a well managed and safe environment.
- d. At the tactical level, a training establishment can utilise the second party audit report as an independent litmus test as to the quality of its output and the management processes that underpin it. The results of the audit could provide evidence to the unit's assurance regime and improvement planning.

SECTION 2 – AUDITING WITHIN THE CONTEXT OF A QUALITY SYSTEM

WHAT IS A QUALITY SYSTEM?

1. Quality is a term taken from the world of business where it is often used with a very specific meaning, namely the meeting of the needs of the customer. To do this consistently and efficiently, organisations need to develop a system (Quality System) which ensures that the right structures, procedures (Quality Procedures) and resources are in place. This needs to be documented at a high level in a Standard (Quality Standard), and at a local level in a Manual (Quality Manual) as part of the organization's Management System. Finally, the ability to manage the overall system is referred to as Quality Management¹¹.

2. The International Standards Organisation (ISO) definition of a Quality System is: the organisational structure, procedures, processes and resources needed to implement Quality Management. This thinking has been applied to Defence training and has resulted in the DSAT QS.

WHAT SHOULD A QUALITY SYSTEM ENCOMPASS?

3. A Quality System should incorporate the following:

a. **Quality Standard (QS).** A Quality Standard should encompass all those activities and processes that could directly or indirectly affect the quality of the product, i.e. its ability to meet the customer's requirement. In training, those activities and processes will include such things as training design, the evaluation and audit of training, the management of the training organisation and of the trainees, the delivery of the instruction and the procurement and maintenance of training equipment. DSAT QS¹² and ISO 9001 are examples of a QS.

b. **Quality Policy.** The Quality Policy¹³ is a statement by management of the intentions and direction of an organisation in relation to the DSAT QS. It should be appropriate to the organisation and include a commitment to comply and improve.

c. **Quality Procedures (QP).** While the Quality Standard will tell you what you need to do, it will not tell you how to do it. This is the role of the QPs. The content of QPs will invariably differ between establishments since it reflects the requirements specific to that establishment. An example QP is contained in Section 6 of this manual.

d. **Quality Manual (QM).** Together, the local Quality Policy and Quality Procedures are collectively known as the Quality Manual (QM). The QM describes

¹¹ International Standards Organisation (ISO) states Quality Management as: 'All activities of the overall management function that determine the Quality Policy, Objectives, and Responsibilities, and implement them by means such as quality planning, quality control, quality assurance and quality improvement within the quality system'.

¹² DSAT QS is maintained by Director General Training & Education (DGT&E)

¹³ The Quality Policy and Quality Manual are local documents produced by individual training establishments.

the system of control, which is being continuously implemented and improved, to ensure that the training is being delivered consistently and to the highest possible standard. The QM must describe¹⁴:

- (1) The scope of the MTS (i.e. what's included in the QS) including the details and justification of any exclusions (what's excluded or not applicable).
- (2) The documented procedures established for the MTS, or reference to them (including scoping, needs analysis, training design and development, training delivery, training audit and the evaluation of training).
- (3) A description of the interaction of the processes (i.e. a flowchart of relevant training and management activities across the organisation) of the MTS.
- (4) A description of the interaction between the processes of the MTS.
- (5) The evaluation strategy.

e. **Quality Audit.** A Quality Audit is a check to see that the system is being fully implemented and is being followed. It is an essential part of any QS and is a mandated by the DSAT QS. It is one of the principal means by which the organisation complies with the requirement to strive to continually improve the MTS.

¹⁴ JSP 822, Part 4, 5.2.1
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SECTION 3 – THE PRINCIPLES OF AUDITING

AUDIT STAGES

1. Auditing is carried out in 3 stages:
 - a. **Intent.** The first step is to determine whether the local Quality System complies with the QS. This is known as the 'Intent of the Quality System'. For Defence training this stage of auditing involves checking the local QM against the requirements of the DSAT QS.
 - b. **Implementation.** The second stage is to check the extent to which the procedures in the local QM are followed. This is known as the 'Implementation of the Quality System'.
 - c. **Effectiveness.** The third and final stage is to check how effective the procedures are in achieving the objectives stipulated in the QM. This is known as the 'Effectiveness of the Quality System'.
2. It is only by checking at all 3 levels that you can be sure that the system is working correctly. For example, an organisation may have a good QM, but if it isn't implemented properly then it is worthless. Similarly, everyone could be following the procedures, but if the procedures are incorrect then the product is likely to be incorrect too.

AUDIT FINDINGS

3. Of prime importance is that audit findings, either good or bad, need to be reported with supporting objective evidence. This evidence can be documentary, verbal (if given by the person responsible for a particular activity) or it can be a product (training documentation). This evidence is then reported as either a Non-conformity or as an Observation.
4. **Non-conformity.** This is where clear evidence exists to show that some aspect of the local Quality System fails to comply with one or more of the clauses within the QS. For example:
 - a. The local QM does not contain a procedure to ensure that Risk Assessments are carried out on all training activities (Intent).
 - b. The QM procedure for analyzing test results is not being followed (Implementation).
 - c. Enabling Objectives (EOs) do not fully meet the Training Objective (TO) they are supporting (Effectiveness).
5. **Observation.** There are 2 types of observation:

a. Where good practice in a particular activity is observed¹⁵. For example, a unit may have developed a novel way of collating routine course feedback. This is known as a positive observation, and auditors must search for these with the same diligence as they would look for non-conformities. After all, one purpose of auditing is to achieve performance improvement and this can be done just as effectively through the identification and dissemination of best or good practice as it can through the identification and rectification of poor practice.

b. Where compliance with the QS is evident, but good practice may not have been applied to the activity. For example, the QM meets all the requirements of the QS, but it is written in an unclear way using excessive technical jargon. This type of observation is often known as a negative observation.

6. **Finding the 'Root Cause'**. The auditor must seek to determine the true or "root" cause of a problem by repeatedly asking the question "What is causing this?". Only when satisfied that there are no other apparent causes, can he/she report his findings and make recommendations accordingly. This proficiency and skill is not inherent and should be developed through formal training courses and through practice "under instruction" in the workplace. The following is an example of 'root cause' analysis:

Scenario 1 Symptom: High failure rates during "entry test".

Auditor: "What aspect of the entry-test are they failing on?"

Answer: "The physical fitness"

Auditor: "Why are they so unfit?"

Answer: "Because they don't prepare for our standards"

Auditor: Are the units and individuals aware of your standards?

Answer: "In a way - the regulations state that they have to be at Class 1 level in all respects."

Auditor: "Do your physical fitness standards reflect Class 1 level?"

Answer: "No - they are higher than that."

Root Cause: Inappropriate "Entry Test" standards.

Corrective Action Based On Initial Symptom: Develop a pre-course physical fitness programme for trainees.

Corrective Action Based on Root Cause: Rewrite test standards to reflect actual requirement.

¹⁵ For second party audits, 'Good Practice' will be reported as a separate occurrence to a negative observation – see Section 7.

Scenario 2 Symptom: High Failure Rates on Course

Auditor: “Why do you think so many people are failing?”

Answer: **There are too many assessments.**

Auditor: “Why?”

Answer: “Because we have 32 TOs on the course, and DSAT QS says we must test all TOs iaw our Assessment Strategy”

After examination of the TOs the Auditor realises that they were actually EOs

Auditor: “Why did you write the TOs in this way?”

Answer: “Because I believed that was how a TO should look.”

Auditor: “Who showed you how to write TOs?”

Answer: “No-one really, when I arrived here we were short-handed and really busy so I couldn't get away on a course. I just picked it up as I went along. After a while there seemed no point in going on the course, I was doing fine without it.”

Corrective Action Based On Initial Symptom: Ensure test standards reflect standards stated in TOs. Review Tests for validity.

Corrective Action Based on Root Cause: Develop a staff development procedure to ensure that all staff are appropriately trained and qualified for their post.

SECTION 4 – THE AUDIT PROCESS

1. **Audit Planning.** DSAT QS (Para 13.4) states that first party audits should be conducted at planned intervals and should contribute evidence and analysis to the review of the management of training. The audit programme should aim to cover all of the main DSAT QS functional areas within that timeframe, but will also need to cover the different departments where these functions are carried out, for example different training delivery groups within the organisation. In order to deliver maximum benefit to the organisation, the auditor will wish to prioritise the effort, especially where resources available to conduct audits are tight. Prioritisation may be on the basis of the perceived importance of the activities or on the basis of status, or both. Status would be determined by the number of non-conformities identified on previous first, second or third party audits.
2. **Audit Preparation.** Any audit will involve pre-reading to assess whether the QPs meet the requirements of the DSAT QS. In addition, as the success of the audit is dependent upon having the full agreement and co-operation of the department that is being audited, early notice and communication is essential. The scope of the audit may need to be agreed. For example, there might be sensitive political or contractual reasons for excluding certain areas/courses from the audit and this would need to be agreed to prior to commencement.
3. **Opening Meeting.** An opening meeting is considered a good idea for any audit as it provides a briefing for the area about to be audited. It can be a very informal affair for a first party audit, but is normally attended by the audit team and key personnel from the area being audited. It allows the team leader¹⁶ to introduce their team to the establishment and to state the previously agreed audit purpose and scope. It also allows confirmation of on whose behalf / authority the audit is being conducted, and the reporting method for the findings of the audit. Furthermore, the team leader should take the opportunity to make it clear that the audit is a sampling activity and subject to limitations.
4. **Audit Interviews.** During the audit various pieces of information / evidence will need to be ascertained. The best way of doing this is to interview a number of personnel. Therefore, during an interview the auditor will be trying to ascertain how a functional activity is performed, does it comply with the school's QM procedure and does it produce the desired results. In other words, the auditor is looking to check the Implementation and Effectiveness aspects of the Quality System. To help prepare for the interview, the auditor will need to study the QM and prepare a series of questions to ask. In addition, they can also prepare a checklist of the requirements of the QS. The auditor will need to ask many of the: "What", "Why", "When", "How", "Where" and by "Whom" type of questions. Just as important will be the "Show Me" questions, in order to verify the answers being given and form an assessment of the effectiveness of the activity. For report writing purposes, the auditor should take notes and establish the facts whilst remaining objective and polite. If a non-conformity is identified the details should be recorded and agreed with those being audited. Tact and diplomacy are required throughout the interview and it never hurts to remind those nominated that it is the Quality System being audited and not the individual.
5. **Audit Team Meetings.** Programmed into the audit should be a series of audit team meetings. These are more common in second party audits, where the audit teams are

¹⁶ For second party audits the Team Leader is referred to as the Lead Auditor (LA).

large and undertaking a pan-organisation audit, but are still worthwhile in first party audits. These meetings allow the team to get together and discuss their findings to date. The result of the meetings can influence the direction and depth of investigation of the remaining interviews. On completion of the formal audit programme the team should meet to prepare to present their findings at the closing meeting. The team leader should chair the meeting and all non-conformities should be discussed and appropriate corrective action recommendations agreed.

6. **Closing Meeting.** The purpose of the closing meeting is for the team to present the audit findings along with any recommendations for corrective actions. All substantiated non-conformities should be reported along with any observations. It is also useful to include all the areas of best practice noted and any positive observations to balance out the non-conformities. The non-conformities reported should not come as a surprise to the area being audited as they will all have been identified throughout the audit. At the end of the report the recommendations can be discussed along with any comments the area has to make about the audit. The team leader should close the meeting by stating the agreed reporting method and thanking all staff involved for their help and co-operation. The meeting should be chaired by the audit team leader and attended by all audit team members and key personnel from the area audited. Once again this meeting is more common in second party audits, but an informal version is still very much worthwhile at the end of first party audits.

7. **The Audit Report.** The audit report should provide a clear record of the audit objectives, scope, findings and recommendations. It is the major output of the audit process and it is from this report that the audited establishment or department constructs its Action Plan, outlining how it will address non-conformities identified during the audit. Upon receipt of this Action Plan, the auditor will agree and organise a 'follow-up' visit in order to assess progress against the main audit findings¹⁷.

¹⁷ For second party audits, templates are provided in Section 7 of this Chapter.

SECTION 5 – THE AUDITOR

1. **The Training Organisation’s Responsibilities With Respect to the Provision of an Auditor.** The training organisation must resource the audit function with experienced and trained manpower. There is no requirement for all audits to be performed by the same individual, although it is clearly essential that the function is centrally co-ordinated. When selecting auditors, the important principle that individuals should not audit their own activities should be adhered to.
2. **Roles of the Auditor.** The auditor can be employed in many roles, depending on the type of audit that is being conducted and also on the culture of the organisation. When checking compliance with DSAT QS and the QM, the auditor is essentially an instrument of management, who is there to measure the extent to which management’s policy is being implemented. However, having identified non-conformities, the auditor should discuss possible corrective actions with the senior person present that are both effective and pragmatic. Having suggested change, he/she may also have a responsibility to help implement the recommendations. Finally, the auditor is often an interface between many of the stakeholders in the system he/she is auditing. For example he/she can act as a facilitator of best practice amongst colleagues.
3. **Auditor Competencies.** To be a successful auditor requires competence in several diverse areas. The following list of competencies should be seen as the minimum requirement for an auditor:
 - a. **Proficient in Auditing.** This proficiency is not inherent and should be developed through formal training courses and through practice “under instruction” in the workplace.
 - b. **Legal Requirements.** In certain sectors there may be legal requirements that the auditor has to meet, or professional standards with which he has to comply. For example, all auditors involved in ISO 9001 accreditation must be registered with the International Register of Certificated Auditors (IRCA).
 - c. **Understand the Process.** The auditor must have a full understanding of how the quality process works and how their function as an auditor affects that process.
 - d. **Understand the Culture.** If the auditor is to make pragmatic suggestions for corrective action, they must have a full understanding of the culture of the organisation being audited. For example, a recommendation to develop comprehensive or exhaustive written procedures may be seen by engineers as attention to detail, while others would view the same recommendation as over-bureaucratic.
 - e. **Good Communicator.** An auditor needs to be a good communicator in the first instance to ensure that their questions and requests for information are clearly understood. A misinterpreted question could well lead to an answer that does not accurately reflect the situation. It is also essential that, having identified the areas for improvement and the required corrective actions, the auditor has the ability to communicate his findings, in both written and verbal reports, to everyone concerned.

4. **Auditor Personal Qualities.** As well as those professional competencies listed above, the auditor must also possess a number of personal qualities. Primarily an auditor must be **honest, unbiased and objective**, reporting everything seen, but nothing felt or suspected. The auditor must always be **polite and helpful** to fellow team members, audit clients and audit sponsors. He/she must be **industrious** in the conduct of the audit, always being **punctual** in his/her arrival for meetings and interviews. He/she must always have a **positive** demeanour, and be **communicative** with the audit client, regardless of how badly the audit is going or how many non-conformities found. He/she must be totally **principled** and have the **moral courage** to defend his/her position and findings in an **assertive** way when challenged by others. Finally, the auditor must always be a **team player**, because even if he/she is the only auditor, he/she is still part of a larger group working towards a common aim – conformity and performance improvement.

5. **Auditor Training.** Formal training in the conduct of a first and second party training audit is available via courses at the Defence Centre of Training Support (DCTS)¹⁸.

¹⁸ For second party auditor training see Section 7 of this Chapter.
Dec 08 – Issue 2.0

SECTION 6 – EXAMPLE QUALITY PROCEDURE

Note: This Section contains an example of a Quality Procedure, Audit Report Template, Non-Conformity Report Template and Observation Template. None of them have to be followed if the organisation already has effective procedures / templates in place.

CONDUCT OF FIRST PARTY AUDIT

REFERENCES:

- A. DSAT QS 001:2008 clause 13.4.

PURPOSE

1. This procedure shall document the responsibilities and requirements for the planning and conducting of first party audits, and for the reporting of audit results.

SCOPE

2. This procedure is specifically aimed at those personnel, nominated by the Quality Manager (QMgr)¹⁹, involved with the planning and conduct of first party audits. However all personnel should be aware of the audit process as all groups and personnel involved with the management or delivery of training will be subject to first party auditing.

DEFINITIONS

3. There are no definitions specific to this procedure.

PROCEDURE

4. A graphical flow chart of this procedure can be found at Annex A to this section.
5. **Planning.** The QMgr is to prepare a first party audit schedule for endorsement by senior management. The QMgr is to ensure that all functional groups, involved with both the management of training or delivery, and all training procedures are audited at least annually. However the audit schedule is to reflect the status and importance of the training procedure as well as taking into account the results of any previous audits conducted. The audit schedule is to be approved and endorsed by senior management.
6. **Nomination of auditors.** Auditors nominated to conduct a first party audit are to be identified by the QMgr at least one month prior to the first party audit being conducted.

¹⁹ Or equivalent nominated by the organisation.

This is to allow the auditor sufficient time to discuss with the QMgr (see paragraph 7) the criteria, scope and auditing methods to be utilised. To ensure objectivity and impartiality, auditors are not to be nominated to audit their own work. The audit schedule will ensure that this does not happen.

7. **Conduct of First Party Audits.** All first party audits will be conducted against the DSAT QS and the establishment's MTS. Prior to the audit the nominated auditor is to discuss with the QMgr the audit criteria, scope and methods to be used. All auditors should use selected sections of the Defence Training Audit Checklist²⁰ as a guide to frame their own audit check list.

8. **Audit Findings.** The process of auditing will result in the identification of non-conformities and observations. All evidence that supports the auditor's declaration of non-conformities and observations²¹ is to be agreed in writing, during the audit, with the senior officer present prior to formal reporting to the QMgr. The senior officer present, in conjunction with the auditor, is to identify corrective actions and respective deadlines for implementation for all non-conformities and observations. If this cannot be achieved the QMgr is to be notified in order to discuss with the quality forum any suitable actions required.

9. **Audit Reports.** The results, findings and recommendations identified during the first party audit are to be recorded and reported to the QMgr. Auditors are to use the audit report attached at Annex B of this section. All non-conformities and/or observations identified during the audit are to be recorded individually on a non-conformity or observation report (attached at annexes C and D respectively of this section). These reports are to be attached as annexes to the main audit report.

10. **Post Audit Follow-Up.** Once all observations and/or non-conformities have been identified and addressed, the QMgr is to verify that the corrective action has been implemented satisfactorily. If a significant number of observations or non-conformities have been identified then the area audited is to be re-scheduled for another audit. This follow up audit should normally be conducted between 3 and 6 months after the initial audit, or on completion of actions.

11. **Reporting of First Party Audit Reports to Senior Management.** All first party audit reports and corresponding potential improvements and non-conformities, including details of respective corrective action, are to be reported to the Senior Management.

QUALITY RECORDS

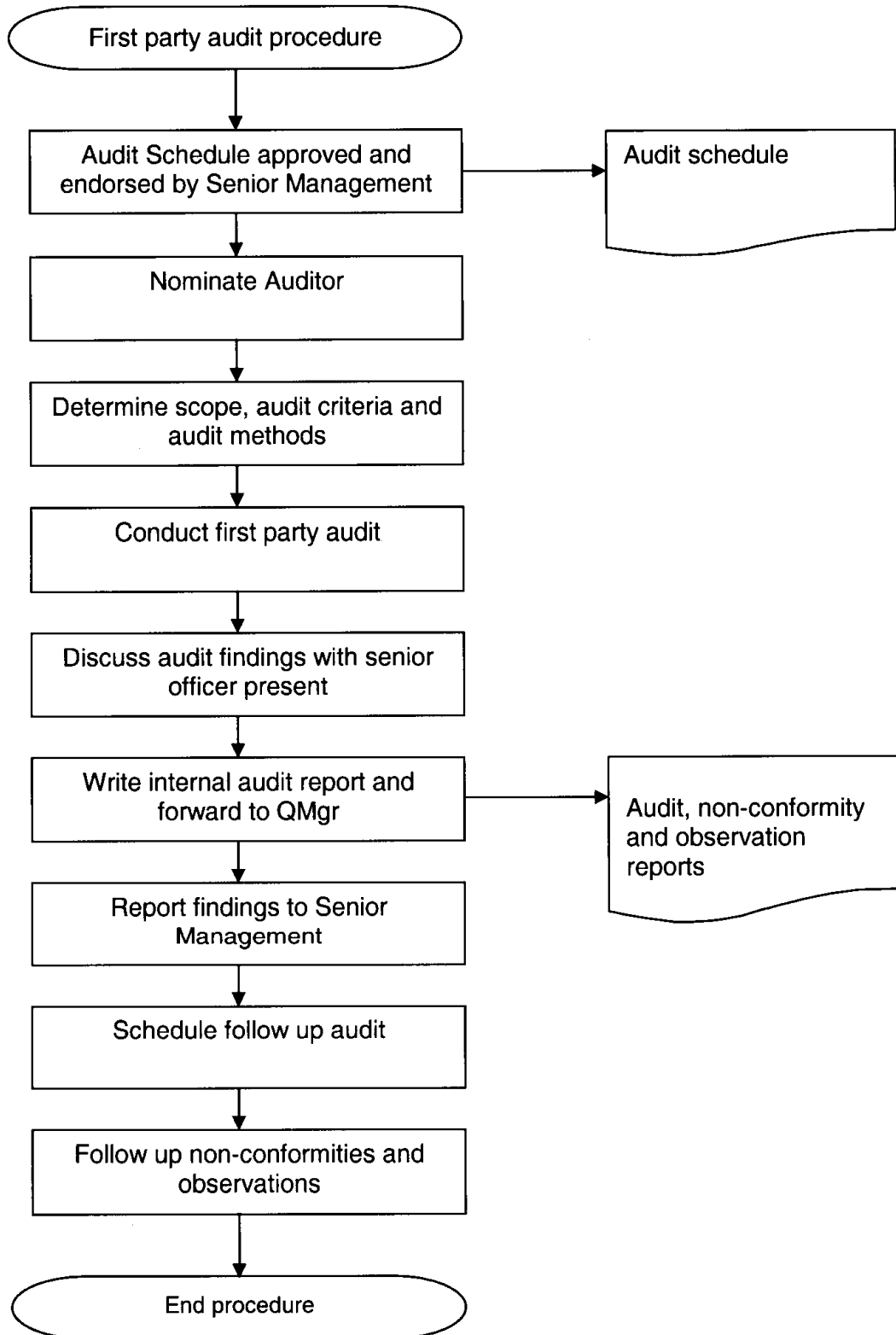
12. The following principle documents have been identified as quality records. Details covering the control of these quality records can be found in the respective Quality Procedure.

- a. First party audit schedule
- b. First party audit reports
- c. Non-conformity reports (NCR)
- d. Observation Report.

²⁰ Section 7 Annex C.

²¹ For second party audits a separate section relating to good practice will be referenced.

SECTION 6 ANNEX A - 1st Party Audit Procedural Flow Chart



Section 6 – Annex B: Example First Party Audit Report Template

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Group Audited :	Audit No:	
Procedures Audited:	Audit Date:	
	Auditor:	Signature:

Area audited:	DSAT QS Clauses:	Record of observations / evidence sighted to support Non-conformity or observation	NCR / Observation reference:

Section 6 – Annex C: Example First Party Non Conformity Report

Department/Section:	NCR No:
Procedure Audited:	Audit No: Audit Date:
Auditors:	Department/Section Manager:

NON-CONFORMITY: *(brief description of the NCR, including references to procedure not being adhered to)*

CORRECTIVE ACTION TO BE TAKEN:

Target Date For Completion: _____

Auditee's Signature: _____ Date: _____

**(once signed, the auditee is: a) agreeing with the Non Conformity
b) agreeing to carry out the Corrective Action by the target date)**

REPORT ON CORRECTIVE & PREVENTATIVE ACTION TAKEN BY TARGET DATE

Auditor/QMgr's Signature: _____ Date: _____

ACTION CONFIRMED AS COMPLETED

Comments:

Auditor/QMgrs Signature: _____ Date: _____

Section 6 – Annex D: Example First Party Observation Report

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Department/Section:	Observation No:
Procedure Audited:	Audit No:
Auditors:	Audit Date:
	Department/Section Manager:

OBSERVATION:
(brief description of the Observation, including reference to the relevant procedure)

CORRECTIVE ACTION TO BE TAKEN:

Target Date For Completion: _____

Auditee's Signature: _____ Date: _____

*(once signed, the auditee is : a) agreeing with the suggested Potential Improvement
 b) agreeing to carry out the Corrective Action by the target date)*

REPORT ON CORRECTIVE & PREVENTATIVE ACTION TAKEN BY TARGET DATE

Auditor/QMgr's Signature: _____ Date: _____

ACTION CONFIRMED AS COMPLETED

Comments:

QMGr's Signature: _____ Date: _____

SECTION 7 – SECOND PARTY AUDIT PROCESSES

1. **Purpose.** The purpose of this section is to describe the actions and responsibilities involved in the conduct of Defence second party training audits. Second party auditing follows the same fundamental principals already outlined in Sections 4-6 of this document. This section seeks to contextualise second party auditing highlighting differences in process and providing guidance to their execution.
2. **Scope.** This procedure can be applied to and support all Second party training audits carried out across Defence Individual Training and Education. Single Services and TLBs are to disseminate their interpretation of this guidance along with appropriate supporting tools within their own training and education domains. This instruction also applies to Defence Training Establishments (DTEs) as audited by their Lead Service.
3. **Responsibilities.** The DITAG is responsible for the co-ordination of Defence audit activity pan-Defence. A nominated²² Lead Auditor (LA) is responsible for the management and conduct of the second party training audits of DTEs, schools and other training and education providers. The LA should be nominated at least 6 months in advance of the audit.
4. **Defence Audit and Inspection Programme.** The Defence audit and inspection programme is held on the DAMIT (Defence Assurance Management – Individual Training). The DAMIT is operated on behalf of the DITAG by DITC. All parties producing inspection and audit programmes should submit their programmes to DITC²³ in order to minimise and deconflict the frequency of inspections and audits to DTEs. The inspection and audit programme is published on the Defence Training Assurance i-Hub (<http://www.ditc.dii.r.mil.uk>) and is regularly updated. Relevant external third party inspection agencies (Ofsted) should be provided with current programmes in order to better coordinate third party inspections and ease the inspection load on training establishments.
5. **Second Party Audit Process.** A suggested timeline of actions for the conduct of audits are detailed at Annex A to this Section. Second party auditing of DTEs is undertaken by Joint teams whose members are made up of representatives of the Services. A second party audit should be conducted every 2 years. The Audit is broken down into 4 phases:
 - a. **Preparation.** LAs should select their team (including SMEs) in the weeks leading up to an audit while establishing a relationship with the training organisation's nominated key contact. During this period, extensive formal and informal meetings and communications should be established in order to ease the concerns of the training organisation, introduce the audit team and the processes to be undertaken, and promote transparency of the process. This interaction will identify the sample of processes to be initially assessed, the organisation documentation required prior to the audit (a sample list is at Annex B) and the likely event schedule during the audit. Production of the

²² Nominated by the authority conducting the audit/inspection.

²³ Through the [REDACTED]

programme for the audit should be provided as far in advance as possible ahead of an audit. An Action Log for the audit should be maintained, in order that all personnel involved can gain an insight into any previous issues and what actions have already occurred

b. Conduct of the Audit. Second party auditing of individual processes within an establishment should be carried out in accordance with the principles of auditing outlined in Section 4 to 6 of this document. The audit team will convene an initial meeting on arrival and continue to provide progress to the unit's chain of command throughout the audit. The audit team will utilise the DSAT QS compliance questions (together with suggested supporting questions) and the CIF question matrix (cross referenced with the applicable DSAT clauses) provided at Annex C and Annex D respectively to this Section. Both of the question banks should be of use²⁴ in the development of any checklists required by the audit team (Annotated Checklist or auditor's notes should be maintained as a Quality Record). On completion of the audit, the team will present its preliminary findings to the leadership of the school, outlining the timescales for the publication of the audit report and the potential assistance that the audit team can render to the unit when developing its action plans to address any non-conformities or observations.

c. The Audit Report. The audit team will compile and distribute the report within 3 weeks of the visit. The report must include the summary list of DSAT QS non-conformities, observations and examples of good practice. It must also include a brief evaluation against each of the CIF questions. Once agreed by the team and signed off by the LA, the report is sent to the organisation to ensure that the report is factually accurate. Once the training organisation confirms the facts of the report, the final report is dispatched to the CEB Chair or equivalent and is copied to the stakeholders including the DITAG. It may be published on the respective lead Service's i-hub website. An example format of the audit report is at Annex E of this Section.

d. Second Party Audit Outputs. A second party audit should include key findings and principal recommendations based on the management, analysis and design, delivery and quality control of training. In order to assist the following outputs should occur:

- (1) A detailed list of non-conformities against the DSAT QS, observations, areas of good practice and recommendations as appropriate are included as annexes within the audit report.
- (2) The training organisation should issue an action plan outlining how it intends to address non-compliances or negative observations.
- (3) A formal follow-up visit will be arranged within 3 to 5 months to provide further feedback on the action plan drafted by the unit to meet any non-conformities or observations (this action plan should be

²⁴ Although its use is not mandated.

integral to and reviewed as part of the organisation's MTS) . A follow-up report will be generated in the same format as the initial report (template at Annex E).

(4) The team should continue to support the training establishment after the follow up visits are concluded (and the NCs and observations are addressed) in order that the assurance process at the heart of the establishment's continuous improvement philosophy is regularly informed by external Defence training assurance specialists.

6. **Auditor Training.** The following auditor training should be undertaken:

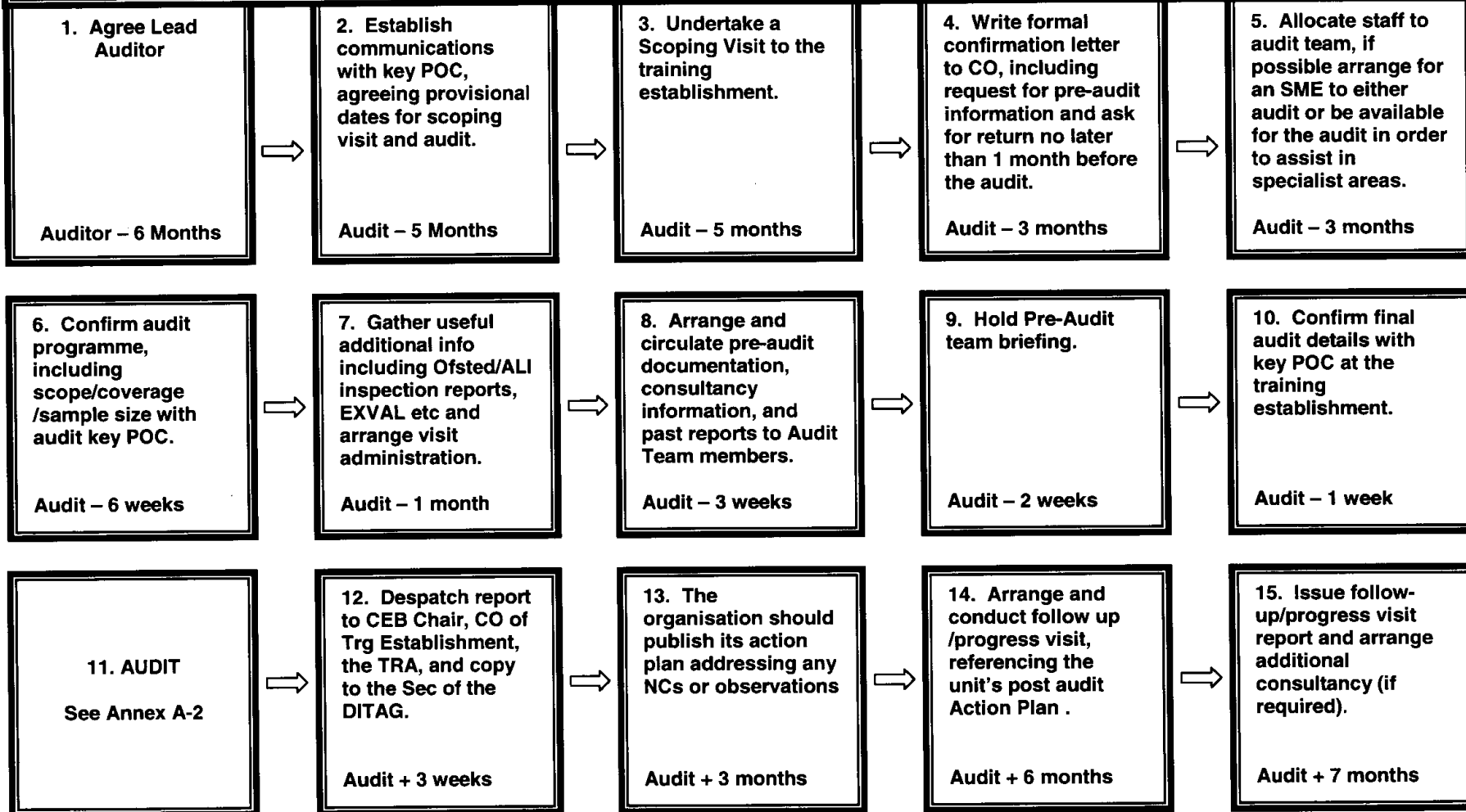
a. LA. LAs should have successfully completed the Audit Team Leader's course at DCTS or equivalent courses accredited by ISO or BSI, and have an appropriate level of Ofsted awareness²⁵ .

b. Audit Team Members. Audit teams will be drawn primarily from respective single-Service training support staff. All audit team members are to have attended, as a minimum, the Defence Second Party Auditor's Course at DCTS. New auditors are to have spent at least one day shadowing an experienced auditor before auditing unsupervised. SMEs may be included in audit teams at the discretion of the LA when required to evaluate the standard of achievement within a particular domain of learning.

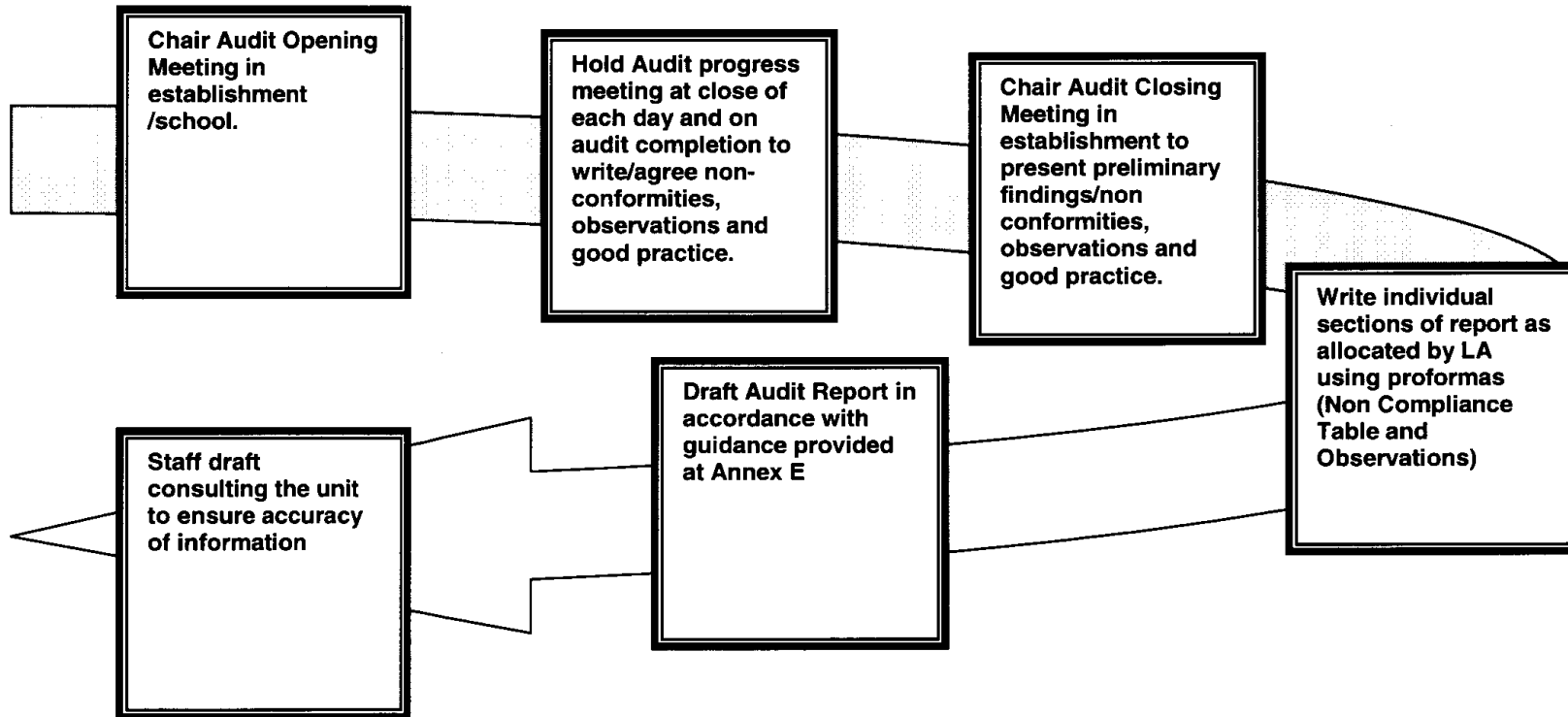
7. **Records.** Establishment specific audit packs should contain copies of all correspondence and previous reports. Reports are to be retained, as a minimum, until superseded by the next audit report.

²⁵If available and when organised by Ofsted and DGTE.

**SECTION 7 – ANNEX A
SECOND PARTY AUDIT – TIMELINE SCHEMATIC**



**SECTION 7
SECOND PARTY AUDIT – TIMELINE SCHEMATIC**



SECTION 7 – ANNEX B

EXAMPLE LIST OF PRE-AUDIT INFORMATION REQUIREMENTS

The following information is required from a training establishment before an audit. The items in red are the most crucial for planning the audit programme. Note: requesting the items in electronic format makes it easier for them to be distributed to all audit team members.

1. Map/Plan of the entire trg establishment (NB: could be more than 1 location).
2. Organisational diagram of the trg establishment with names and extension numbers of key staff that are likely to be involved in the audit.
3. Details of the size of the trg establishment (e.g. staff numbers, TORs and real estate).
4. An idea of the number of courses being taught during the audit and students on each one.
5. Quality Manual.
6. Current Management Plan including SAR, Training Plan and QIP.
7. Details of the last few 1st Party (Internal) Audits and the actions carried out since.
8. Details of the last 2nd Party Audit and the actions carried out since.
9. Access to current unit Training Orders (or equivalent).
10. Minutes of most recent Stn Execs/ Management Board and/or CEB (or equivalent).
11. Details of the last ALI / Ofsted and DITC reports (if applicable).
12. Performance Indicators.
13. The Statement of Training Task.
14. Supervisory Care Directive.
15. Special Requirements (security requirements, shadowing, classifications and Health and Safety issues).

SECTION 7 – ANNEX C

DEFENCE TRAINING AUDIT CHECKLIST

Note on Use:

This checklist is intended for use by both first and second party auditors as an aide-memoir when carrying out Defence training audits. The main questions are derived from the DSAT QS and failure to comply should be reported as a “non-conformity”. For the sub-ordinate and supporting questions (which include some efficiency questions) failure to comply or degree of attainment should be reported as an “observation”.

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
THE MANAGEMENT OF TRAINING SYSTEM			
General Requirements			
Has the organisation established, documented, implemented and maintained a Management of Training System (MTS) whose effectiveness it strives to continuously improve in line with the requirements of the DSAT QS?	5.1.1	<ul style="list-style-type: none"> - Does the Business Plan set targets for identifying and reducing time under training (ITB, UTS, HTQ or equivalent)? - Is there a documented Quality Policy and is it relevant to the Business Plan and the Training Plan? - Does the Quality Policy recognise the need for efficiency and effectiveness in training? - Are there procedures for matching requirements with training output and in doing so identifying areas of over-training? - Is the Quality Policy implemented and maintained at all levels? - Are management reviews undertaken using various methodologies to produce a Self-Assessment Report (SAR) and Quality Improvement Plan (QIP)? 	
Does the organisation identify the processes needed for the MTS and their application throughout the organisation?	5.1.2a	<ul style="list-style-type: none"> - How are these articulated throughout all levels of the organisation? 	
Does the organisation determine the sequence and interaction of these processes?	5.1.2b.	<ul style="list-style-type: none"> - How are these articulated throughout all levels of the organisation? 	
Does the organisation determine criteria and methods needed to ensure that both the operation and control of these processes are effective?	5.1.2c	<ul style="list-style-type: none"> - How are the key processes evaluated and assessed? 	
Does the organisation ensure the availability of resources and information necessary to support the operation and monitoring of these processes?	5.1.2d	<ul style="list-style-type: none"> - Is the organisation's quality system appropriately resourced and led (audit teams, quality manual, data exploitation)? 	
Does the organisation monitor, measure and evaluate these processes?	5.1.2e	<ul style="list-style-type: none"> - Are CEBs or equivalent established for all aspects of training delivered? - Are areas of CEB or equivalent business covered by other CEBs or equivalent? - Are working groups established to deal with business at an appropriate level? - Are assurance activities being undertaken (DSAT audits (2nd Party), First Party activity eg evaluation, instructor monitoring, peer review etc). If applicable, are they informing the SAR and QIP? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation implement actions necessary to achieve planned results and continual improvement of these processes?	5.1.2f	- How is the CI process informed (QIP), implemented, monitored and reviewed?	
Does the organisation manage the processes in accordance with the requirements of the Quality Standard?	5.1.3	- How is compliance with the quality system assessed and measured?	
Where the organisation out-sources any process that affects the determination and/or achievement of the training objectives, does it ensure control over the processes involved and are the control mechanisms identified within the MTS?	5.1.4	- How are the training related processes of contractor's or external agencies assessed to ensure they are compliant with the DSAT QS? What controls does the chain of command possess to ensure the necessary compliance?	
Management of Training System Documentation:	5.2		
Does the organisation have a Training Quality (TQ) Manual, or an equivalent?	5.2.1	- Is the document reviewed regularly and informed by the self-assessment process?	
Does the TQ Manual include the scope of the MTS, and the details of, and justification for, any exclusion?	5.2.1a(1)	- Is the justification appropriately articulated?	
Does the TQ Manual include the TQ Policy, Training Performance Indicators (PIs)/Key Targets?	5.2.1a(2)	- Are the PIs and Policy linked to the unit's management plan?	
Does the TQ Manual include the documented procedures established for the MTS?	5.2.1a(3)	- Does the TQ Manual reference subordinate documented procedures (including scoping, needs analysis, trg design and development, trg delivery, trg audit and the evaluation of trg)?	
Does the TQ Manual include a description of the interaction between the processes of the MTS?	5.2.1a(4)		
Does the TQ Manual document the Evaluation Strategy?	5.2.1a(5)	-Does the Evaluation Strategy include responsibilities for conducting both Internal and External Validation.	
Does the organisation's MTS document the procedures required by the DSAT QS?	5.2.1b		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation's MTS document the procedures needed to ensure the effective planning, operation and control of its processes?	5.2.1c		
Does the organisation's MTS document the quality records required by the DSAT QS?	5.2.1d	- Are procedures in place to ensure that only approved courses are run in accordance with the training plan?	
Control of Quality Records and Documents:	5.2.2		
Do the quality records provide evidence of conformity to requirements and of the effective operation of the MTS?	5.2.2.1	- Are records easily accessible? - How are records controlled, identified, stored, protected, retained and disposed of? - Is there a documented procedure and is it being adhered to?	
Are documents required by the MTS controlled?	5.2.2.2	-What are the procedures for controlling these documents?	
Have controls been established to approve documents for adequacy prior to issue?	5.2.2.3a	-How are these documents produced and how is there adequacy evaluated?	
Have controls been established to review, update and re-approve documents?	5.2.2.3b	- Are quality records retained for the appropriate time period?	
Have controls been established to ensure that changes and the current revision status of documents are identified?	5.2.2.3c	- How is this procedure undertaken?	
Have controls been established to ensure that relevant versions of applicable documents are available at points of use?	5.2.2.3d	- Is there evidence that these documents are at the appropriate amendment state?	
Have controls been established to ensure that documents remain legible and readily identifiable?	5.2.2.3e		
Have controls been established to ensure that documents of external origin are identified and their distribution controlled?	5.2.2.3f		
Have controls been established to prevent the intended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?	5.2.2.3g		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Management Commitment	6.1		
Does the management provide evidence of its commitment to the development and implementation of a MTS and commitment to continually seek improvement in efficiency and effectiveness?	6.1.1		
Does management communicate to the organisation the importance of meeting the TRA as well as statutory and regulatory requirements?	6.1.1a	<ul style="list-style-type: none"> - Is the importance of engagement with the stakeholders reflected in a management document (vision statement, induction training etc)? - How does the unit articulate Defence/single Service policy requirements and prioritise accordingly? - Does the unit distribute minutes of meetings with the Stakeholders (CEB etc)? 	
Does the organisation have a TQ policy?	6.1.1b		
Is the TQ policy appropriate to the purpose of the organisation?	6.1.1b(1)		
Does the TQ policy state a commitment to comply with requirements to continually improve the effectiveness of the MTS?	6.1.1b(2)		
Does the TQ policy provide a framework for establishing and reviewing training performance indicators and key targets?	6.1.1b(3)		
Is the TQ policy communicated and understood within the organisation?	6.1.1b(4)		
Is the TQ policy reviewed for continuing suitability?	6.1.1b(5)		
Has the organisation established training related performance indicators/key targets?	6.1.1c		
Is the MTS subject to management reviews/evaluations?	6.1.1d		
Does the organisation ensure the availability of resources to support the MTS?	6.1.1e	<ul style="list-style-type: none"> - Are first party assurance activities supported by the management? - Is a Quality Cell (or equivalent) established to support the MTS? - Is a trained audit team undertaking first party audits? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Training Performance Indicators and Key Targets.	6.2		
Are TPIs and KT's established for relevant functions and levels within the organisation, including those needed to meet the requirements for the trained output?	6.2.1	What TPIs and KT's are generated internally and for external requirements eg TRA? What are the criteria used to generate the TPIs and KT's?	
Are TPIs and KT's measurable and consistent with the training quality policy?	6.2.2		
Management of Training System Planning.	6.3		
Does the organisation ensure that the planning of the MTS is carried out in order to meet the requirements of the system and the PIs/KT's?	6.3a		
Does the organisation ensure that the integrity of the MTS is maintained when changes to the MTS are planned and implemented?	6.3b	How are changes to the MTS monitored to ensure the integrity of the MTS is maintained?	
Responsibility, Authority and Communication	6.4		
Does the organisation ensure that responsibilities and authorities are defined and communicated within the organisation?	6.4.1	<ul style="list-style-type: none"> - Is the SoC/LUE/Unit Establishment maintained as a quality record? - Is the SoC in date and are changes managed properly? - Does the SoC accurately reflect the establishment's staffing needs? - Do jobholders of all involved in training have access to copies of their ToRs or equivalent? - Do ToRs ensure that duties are not duplicated and are carried out at the appropriate level? - Are appropriate letters of delegation provided? 	
Has the organisation appointed a member of management who is responsible for the effective implementation of the MTS?	6.4.2	<ul style="list-style-type: none"> - Is there an appropriately trained Quality Manager? - Is there a member of the management team responsible for leading and co-ordinating continuous improvement activities. 	
Does the organisation ensure that appropriate communication channels are established within the organisation and that communication takes place regarding the effectiveness of the MTS?	6.4.3		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Management Review	6.5		
Does management review the process for the MTS at planned intervals?	6.5.1	<ul style="list-style-type: none"> - Are management reviews being carried out at the appropriate level? - Are training activities reviewed at intervals defined in the local Quality Policy? - Are CEBs or equivalent established for all aspects of training delivered? - Are working groups established to deal with business at an appropriate level? - Is the development and implementation of any applicable SAR/QIP regularly reviewed? 	
Are the records from management reviews retained as quality records?	6.5.2	<ul style="list-style-type: none"> - Are records of Management Reviews maintained as quality records? 	
Does the input to the management review include information on results of training audits and evaluations?	6.5.3a	<ul style="list-style-type: none"> - Do DSAT audits (first and second party) contribute to the SAR undertaken by the organisation? - Do Peer Reviews/ DITC or Ofsted inspections contribute to the SAR? 	
Does the input to the management review include information on TRA feedback?	6.5.3b		
Does the input to the management review include information on achievement of training key targets?	6.5.3c		
Does the input to the management review include information on the status of preventive and corrective actions?	6.5.3d	<ul style="list-style-type: none"> - Is data provided by Management Reviews analysed to identify actual or potential causes of nonconformity with the DSAT QS? 	
Does the input to the management review include information on follow-up actions from previous management reviews?	6.5.3e	-	
Does the input to the management review include information on changes that could affect the MTS	6.5.3f		
Does the input to management review include information on recommendations for improvement?	6.5.3g		
Does the output from the management review include decisions and actions related to improvement of the effectiveness of the MTS and its processes?	6.5.4a		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
6.5 Management Review			
Does the output from the management review include improvement of the trained output related to customer requirements?	6.5.4b	<ul style="list-style-type: none"> - Is action initiated to prevent a repetition of the issue raised at mgt review. - Is action initiated to address any issues raised by the stakeholders (such as over-training)? 	
Does the output from the management review include future resource requirements?	6.5.4c	<ul style="list-style-type: none"> - Are actions resulting from changes to the SOTR or interaction with the TRA costed and planned for? 	
6.6. Resource Management			
Does the organisation determine and provide resources needed to implement and maintain the MTS and continually strive to improve effectiveness?	6.6a	<ul style="list-style-type: none"> - Are sufficient materiel resources and trained staff provided to support the training organisation's activities? - Are there under utilised resources and/or trained staff? 	
Does the organisation determine and provide resources needed to enhance customer satisfaction by meeting TRA requirements?	6.6b	<ul style="list-style-type: none"> - Has the unit, TDA or CEB addressed any resource deficiencies required to meet the training requirements? 	
6.7 Human Resource Management			
Do the personnel involved with the management, evaluation, analysis, design and development or delivery of training have the appropriate competencies for the job (education, training, skill and experience)?	6.7.1	<ul style="list-style-type: none"> - Are Training System activities conducted by suitably trained and experienced staff iaw their TORs, and do these TORs identify the necessary skills and competencies? - Are Training System activities conducted by appropriate numbers/level of personnel? - Where unit knowledge of the role of the quality management of the DSAT QS is deficient, does the organisation conduct pre-course training to explain to instructors and trainees, how, when and why quality information will be collected? - Are personnel employed in the training system appropriately trained and qualified in accordance with the SoC/LUE/Unit establishment? - Do personnel employed in the training system receive appropriate accreditation of their training or output? - Are the training requirements of all staff concerned with training identified, recorded and actioned? - Is staff training periodically reviewed to confirm its continued requirement? - Is the organisation IIP accredited? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation determine the necessary competencies for all personnel performing work effecting the management, evaluation, analysis, design and development or delivery of training?	6.7.2a	<ul style="list-style-type: none"> - Is analysis conducted by suitably trained and experienced personnel? - Is analysis conducted by appropriate numbers/levels of personnel? - Is course design and documentation conducted by suitably trained and experienced personnel? - Is course design conducted by appropriate numbers/levels of personnel? - Is all instruction of trainees undertaken by suitably trained and experienced personnel? - Is instruction of trainees conducted by appropriate numbers/levels of personnel? - Are QC activities conducted by suitably trained and experienced staff? - Is QC conducted by appropriate numbers/levels of personnel enabling the task to be completed in a professional and competent way? - Is such training delivered in the most efficient & cost effective way - Are documented procedures held for the identification of training needs over and above standard Common Military Skills, occupational and technical training? - Where a task is identified as having special training requirements, then is additional internal or external training provided? 	
Does the organisation provide training or take other actions to satisfy these needs?	6.7.2b	<ul style="list-style-type: none"> - Is there a staff training plan? - Does each post have a job description with the necessary training requirements? - Does the unit undertake staff training activities (Briefings, Study days, opportunity for CPD)? 	
Does the organisation evaluate the effectiveness of the actions taken?	6.7.2c	<ul style="list-style-type: none"> - Does the organisation evaluate the effectiveness of staff training programmes? - Is there a policy and programme of instructional monitoring? 	
Does the organisation ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the trained output?	6.7.2d	<ul style="list-style-type: none"> - How are permanent staff inducted and does it include the role of the organisation and how they contribute to its outputs? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation maintain appropriate personnel records of education, training, skill and experience?	6.7.2e	- Are records of staff training maintained as quality records?	
Infrastructure and Work Environment Management	6.8		
Does the organisation determine, provide and maintain the infrastructure needed to achieve the trained output, including: buildings, workspaces and associated utilities, training equipment and training management/training support equipment, as well as supporting services?	6.8.1 & 6.8.2	- Does the unit maintain a current infrastructure development plan? - How are risks to training relating to poor infrastructure and equipment communicated and resolved?	
Does the organisation determine and manage the working environment needed to achieve the trained output?	6.8.3	- Is necessary training administration catered for in terms of time and resources? - Is the training programme scheduled to maximise the effects of training (eg not scheduling lectures after arduous activities, allowing trainees time to eat if located away from the messing facilities)?	
Training Activity Management	6.9		
Does the organisation maintain an annual programme of all training activities provided by the organisation?	6.9.1	- Is this programme agreed by the stakeholders at the CEB through generation of a SOTT?	
Are changes in the training activities which arise within the current financial year reflected in the annual programme of training activities?	6.9.2	- How are the stakeholders informed of in-year changes? - What is the mechanism for their agreement?	
Is the current programme of training activities available at all the points of use?	6.9.3		
Managing the Customer/Supplier Interface	6.10		
Does the organisation ensure that TRA requirements are determined and met with the aim of achieving TRA satisfaction with trained output?	6.10.1	- How are TRA requirements communicated outside of the CEB? - Is there an Evaluation Strategy that includes responsibilities for conducting both Internal and External Validation.?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
<p>Does the organisation determine and implement effective arrangements for communicating with the TRA in relation to:</p> <p>a. Training requirements b. Training effectiveness c. Training capacity? d. Training facilities? e. TRA feedback?</p>	6.10.2	<ul style="list-style-type: none"> - How are TRA requirements communicated outside of the CEB? - Are these training issues dealt with and minuted at the CEB? - Is there an effective CEB Agenda and CEB minutes? - Is the organisation providing professional advice on the lead subject and associated training? - Does the Lead School provide advice and assistance in identifying over-training? - Does the Organisation provide Formal Training Statement (FTS) (Consisting of Training Performance Statement (TPS), Workplace Training Statement (WTS) and Residual Training Gap Statement (RTGS)) and Assessment Specification (Aspec) for the lead subject and authorise minor changes to course specs? 	
TRAINING DOCUMENTATION			
Are all individual training related activities controlled and managed through the use of Training Documentation?	7.1	- Is their CEB endorsed Training Authorisation Document (TAD)?	
Does the organisation retain Training Documentation as a quality record?	7.2		
Is all Training Documentation approved at the appropriate management level prior to use?	7.3		
Does the organisation ensure that all Training Documentation is reviewed and updated in order to continue to meet the stated training needs? Where amendment is necessary is the documentation re-approved and the revision status of the documentation clearly indicated?	7.4	<ul style="list-style-type: none"> - Is Training Documentation for all courses reviewed periodically by the training organisation? - Has a Document Review and Management Plan been produced to schedule and control documentation review? - Do reviews occur at intervals as determined by the Document Review and Management Plan? - Are the results of reviews reported to the relevant CEB or equivalent? - Where special circumstances require concession, is the non-conformity reported for concession to the customer or customer's representative and their written agreement obtained? - Are concessions for non-conforming training documentation authorised by the relevant TDA? - Is published course information (prospectuses, marketing literature, DINs) periodically reviewed at intervals not exceeding 3 years? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Is all Training Documentation current, accurate, fit for purpose and readily accessible at the point of use?	7.5	<ul style="list-style-type: none"> - Has obsolete training documentation been withdrawn from use? - Are non-conformities in training documentation identified and documented? - Is non-conforming training documentation reviewed under the Document Review and Management Plan? - Is non-conforming training documentation reworked within a time frame detailed in the Document Review and Management plan? - Has the internal review status of all training documentation been recorded in the Document Review and Management Plan? - Are TADs reviewed and re-authorised by the CEB or equivalent at appropriate intervals as laid down in the review plan? 	
Planning to achieve the trained output:	8.1		
Does the organisation plan and develop the processes needed to achieve the trained output iaw the other processes of the MTS?	8.1.1		
Does the organisation determine, as appropriate, the Performance Indicators and Key Targets, operational/workplace performance requirements and training requirements?	8.1.2a	<ul style="list-style-type: none"> - Has the training been developed in accordance with the DSAT QS? - Is the TAD current for each course and been signed off at the CEB? - Has the TRA provided an OPS? - Is the FTS current? - Has the results of INVAL and EXVAL been considered and resulting training issues addressed? 	
Does the organisation determine the need to establish processes, produce documents and provide resources specific to the achievement of the trained output?	8.1.2b	<ul style="list-style-type: none"> - Has a TAD been drafted and signed off by the CEB? 	
Does the organisation determine the required evaluation, analysis, training design and development, training delivery, validation, monitoring, training audit and assessment activities specific to the trained output and the standards to be achieved?	8.1.2c	<ul style="list-style-type: none"> - Do they utilise an OPS provided by the TRA? - Are the course design procedures iaw DSAT QS? - Is there evidence of effective first party assurance activities ? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation determine the records needed to provide evidence that the processes and resulting trained output meet the stated requirements?	8.1.2d		
Is the output of planning in a form suitable for the organisation's method of operations?	8.1.3.	Is the Training Plan in a format as detailed by TDA / TLB procedures?	
TRA Communication	8.2		
<p>Does the organisation determine and implement effective arrangements for communicating with TRA in relation to:</p> <ul style="list-style-type: none"> a. The operational/workplace requirements? b. The statutory and regulatory requirements related to all aspects of achieving the trained output? c. Requirements not stated by the TRA but necessary for specified or intended employment, where known? d. The training requirements? e. Any additional requirements determined by the organisation? f. The training capacity and throughput requirements? g. The training facilities required? h. Procedures for dealing with enquiries, contracts or order handling, including amendments? i. TRA feedback, including customer/sponsor complaints. 	8.2	<ul style="list-style-type: none"> - Are approved documented Customer Supplier Agreements or equivalent in existence and maintained (for either training provided or received) where required? - Are CSAs or equivalents reviewed periodically to confirm the requirement for training provided or received? - Are procedures in place to ensure the effective communication of information between the organisation and CEB or equivalent? - Do procedures ensure information on potential over-training is passed to CEB or equivalent? - Does the TRA communicate the results of external validation of the training in the lead subject? - Does the SOTT detail for each course the capacity, throughput and planning intentions? - Does the organisation ensure that training for which it has responsibility receives civilian accreditation where appropriate? - Is training purely for civilian accreditation clearly identified and authorised by CEB or equivalent? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Review of requirements related to the trained output:	8.3		
Does the organisation review the operational/workplace performance requirement at intervals deemed appropriate by the organisation to ensure that the training remains focused on the operational/business need?	8.3.1	<ul style="list-style-type: none"> - Are Post Project Evaluations (PPEs) being carried out as specified by the TNA Final Report following acquisition of training equipment? - Are all courses/training events included in the approved SOTT? - Does the SOTT meet the SOTR? - Are all courses in the SOTR approved by CEB or equivalent? - Is the SOTR reviewed to ensure the continued requirement of all courses? - Is there a systematic approach to course reviews? 	
Are the operational/workplace requirements defined?	8.3.1a	- Is a valid OPS provided by the TRA?	
Have changes to the operational/workplace performance requirements been incorporated in the agreed training requirements?	8.3.1b	- Are amendments to the Training Plan documented and approved by CEB or equivalent?	
Does the organisation have the ability to meet the agreed training requirements, which have been derived from the operational/workplace requirements?	8.3.1c	- Have all Needs Analyses been preceded by a Scoping Exercise?	
Does the organisation maintain records of the results of the review of actions arising from the review of operational/workplace requirements?	8.3.2	- Are Needs Analyses reports and associated documentation (OPS, TNA, FTS etc) retained by the Training Design Organisation as quality records?	
Where the TRA provides no documented statement of requirement, does the organisation determine and confirm the customer requirements?	8.3.3		
Where the operational/workplace requirement and training requirements are changed does the organisation ensure that the relevant documents are amended and the relevant personnel are made aware of changed requirements?	8.3.4		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIE S Y/N
Training design and development planning.	9.1		
Does the organisation plan and control the design and development of training?	9.1	- How is progress and agreement with the TRA monitored?	
During training design and development planning does the organisation: a. Determine appropriate training design and development stages? b. Determine the review and validation procedures that are appropriate to each training design and development stage?	9.1.2a 9.1.2b	- Is design and development conducted by suitably trained and experienced personnel? - Is design and development conducted by appropriate numbers/levels of personnel? - Does the establishment have a nominated individual (s) to control and verify the design and development of training, at key stages?	
During training design and development planning does the organisation determine the responsibilities and authorities for training design and development?	9.1.2c	- Is design and development conducted by suitably trained and experienced personnel? - Is design and development conducted by appropriate numbers/levels of personnel? - Does the establishment have a nominated individual (s) to control and verify the design and development of training, at key stages?	
Does the organisation manage the interfaces between different groups involved in the design and development of training to ensure effective communication and clear assignment of responsibility?	9.1.3	- Where instructional groups produce ISPECs, is the production Quality Assured by the Training Design section? - Where instructional groups produce ISPECs does the TD section monitor that time allocated is not excessive?	
Is the training design and development planning output updated, as appropriate, as the training design and development progresses?	9.1.4	Where are the updates to trg design and development output recorded?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Training Design and Development Inputs.			
Does the organisation determine and maintain records for the inputs relating to operational/workplace performance requirements which include: a. Core and functional performance requirements? b. Applicable statutory and regulatory requirements? c. Where applicable, information derived from previous similar training design and development activities? d. The organisational requirements essential for training design and development?	9.2.1	<ul style="list-style-type: none"> - Is all training design based upon job analysis? - Where no job analysis exists, is appropriate EQC carried out to ensure over-training is not taking place? - Are scalars retained by the training design Organisation as a quality record? - Are in-date, correctly approved OPS or Competency Frameworks held for all courses? - Do OPS or Competency Frameworks contain a list of operational duties and tasks (with Training Categories) or core and functional competencies? - Are OPS or Competency Frameworks training categories derived from the results of DIF & training analysis? - Is DIF Analysis used when appropriate to make training as efficient as possible? - Are OPS training categories based on the outcomes of DIF and Training Analysis? - Are OPS accompanied by a statement of operational conditions and standards? 	
Are these inputs reviewed periodically for continuing validity, such that operational/workplace performance requirements are complete, unambiguous and not in conflict with each other?	9.2.2		
Training Design and Development Outputs.			
Does the organisation provide outputs of training design and development in a form that enables validation against the training design and development inputs? Are they approved prior to release?	9.3.1	<ul style="list-style-type: none"> - Are all courses executed through recognised, approved and in date course documentation? - Is all training documentation reviewed and approved for suitability and accuracy prior to issue? - Is training documentation reviewed to ensure that the most efficient methods and media are being employed? - Is training documentation comprehensive, accurate and fit for purpose? 	
Do training design and development outputs provide appropriate information for the acquisition of training solutions, the delivery of training, the assessment of the trainee, accreditation of the training and the evaluation of the training design and development process?	9.3.1a		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Do training design and development outputs contain the agreed training objectives (agreed between the TRA and the training provider)?	9.3.1b	<ul style="list-style-type: none"> - Has the TAD been approved by all stakeholders? - Does each course have an in-date, approved FTS? - Does each FTS contain TOs which are written as Performance, Conditions and Standards statements? - Are Conditions and Standards as close to job conditions and standards as the training environment will allow? - Are Conditions and Standards appropriate to the Training Category? 	
Do training design and development outputs specify (where appropriate) the pre-requisites required by the trainee prior to the commencement of the training activity (trainee entry standards)?	9.3.1c		
Do training design and development outputs specify the competencies of the trainee on completion of the training activity?	9.3.1d	<ul style="list-style-type: none"> - Is there an auditable trail for the development of TOs? - Are Enabling Objectives and Key Points derived from the results of Task Analysis (or competency frameworks) where applicable? - Does course design include, where appropriate, the opportunity to obtain relevant civilian qualifications? - Does the attainment of civilian qualifications compromise the achievement of military training objectives? - Are all additional training requirements for the purpose of civilian qualifications approved by CEB or equivalent and recorded in the training documentation? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Methods and Media Selection.	9.4		
<p>Does the organisation ensure that during the selection of methods and media the following are taken into account:</p> <ul style="list-style-type: none"> a. TOs, EOs and Key Learning Points to be achieved. b. Characteristics, locations and numbers of trainees. c. The availability of suitably qualified instructors. d. The availability of training resources. e. The applicability of emerging technologies. f. The training effectiveness of the methods and media. g. Costs. 	9.4	<ul style="list-style-type: none"> - Are selected methods and media determined from the results of a methods and media analysis? - Are selected methods and media the most efficient for the delivery of the training? - For any Technology Based Training: <ul style="list-style-type: none"> a. Has a media analysis been carried out and have statements of requirement, been developed to enable the design and development? b. For in house authoring, have the most suitable development tools been identified? Has cost effectiveness been considered when deciding between COTS/bespoke solutions & has the availability of existing CBT/CAI solutions which may meet the training media requirement been considered? c. Does software configuration control of CBT/CAI products occur? d. Is the training of the instructor provided and documented? 	
Control of Assessment Methods and Media.	9.5		
Where applicable, does the organisation determine the assessment to be undertaken and the assessment methods and media needed to provide evidence that the trained output has achieved the standards specified in the Training Objectives?	9.5.1		
Has the organisation established processes to ensure that assessment can be carried out in a consistent manner?	9.5.2		
When used for assessment purposes, has the ability of computer based/synthetic training systems to satisfy the intended application been verified prior to initial use and confirmed as necessary?	9.5.3	- Is there an individual designated to be the focal point for CBT/CAI information and provide liaison with the TBT Group at DCTS?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Control of Assessment Methods and Media.	9.5		
<p>Where necessary and in order to ensure valid results, are assessment methods and media:</p> <p>a. Validated at specific intervals and/or prior to use, against those standards stated in the Training Objectives?</p> <p>b. Updated iaw changes to TOs?</p> <p>c. Adjusted or re-adjusted as necessary (refers to eqpt based assessment media)?</p> <p>d. Subject to document control (refers to document [paper or electronic format] based assessment media)?</p> <p>e. Identified to enable calibration status to be determined (refers to eqpt based assessment media)?</p> <p>f. Safeguarded from unauthorised access that would invalidate the assessment results?</p> <p>g. Protected from damage and deterioration during handling, maintenance and storage (eqpt based media)?</p>	9.5.4	<ul style="list-style-type: none"> - Are the validity, reliability and integrity of all tests held in the test bank verified on a regular basis? - Is comparison of test results or individual trainees based upon appropriate statistical techniques (eg Z scores & T scores)? - Is test item analysis applied to all multiple-choice and other test items as appropriate? - Do the balance of topic coverage and allocation of marks reflect job requirements? - Have documented procedures for reviewing all tests of training objectives and associated test software and hardware been established and maintained? - Is the review/calibration status of testing equipment documented in quality records? - Is the review and calibration status of all testing software and hardware clearly indicated on the item and documented in quality records? - Is the test bank established, managed and maintained in such a way as to ensure the integrity of tests? 	
Training Design and Development Review.	9.6		
<p>Does the organisation conduct systematic reviews of the training design and development process at intervals (stated in the organisation plan) in order to:</p> <p>a. Evaluate the ability of the results of the training design and development to meet the requirements specified in the TOs?</p> <p>b. Identify problems/issues and propose necessary remedial action?</p>	9.6.1	<p>How is the review of trg design and development recorded?</p> <p>What processes are in place to ensure remedial actions from review activity are completed and closed?</p>	
<p>Do participants in the review of training design and development include representatives of the functions concerned with the training design and development stage(s) being reviewed.</p> <p>Are records maintained of the results and any necessary actions?</p>	9.6.2	See above	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Training Design and Development Verification.			
Does the organisation verify that the training design and development outputs have met the training design and development requirements? Are records maintained of the verification and actions resulting from the review?	9.7		
Training Design and Development Validation.			
Is training design and development validation undertaken in planned arrangements (where practicable prior to delivery or implementation of the training activity) to ensure that the resulting training activity is capable of meeting the requirements for the specified application or intended use and are records maintained of the verification and actions resulting from the review?	9.8	<ul style="list-style-type: none"> - Are all newly designed courses piloted before final design approval is given? - Are pilot courses assessed to ensure timings are not excessive? - Is CBT/CAI courseware that is of a fixed nature subjected to QA during development and is the verification and validation of the CBT/CAI design recorded? 	
Control of Training Design and Development Changes.			
Does the organisation identify and record training design and development changes?	9.9.1	- Does the appropriate authority review, verify, validate and approve the changes prior to implementation?	
Does the review evaluate the effect of the changes on the related training design and development activities and/or related training outputs already being delivered?	9.9.1	- How does the unit ensure additional accreditation or qualifications do not compromise the achievement of Defence TOs?	
Are records maintained of the review and any necessary actions resulting from the review of training design and development?	9.9.2		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
10.1. Control of Training Delivery			
Does the organisation plan and carry out the delivery of training under controlled conditions?	10.1	<ul style="list-style-type: none"> - Are all courses uniquely identified by name, number and year of training? - Are all records associated with courses (minimum content to be as detailed in JSP 822 Part 5 Chapter 1) clearly linked to the relevant course by reference to the course identification and retained as quality records? 	
Does the organisation ensure that training activities are conducted in accordance with approved Training Documentation?	10.1a	<ul style="list-style-type: none"> - Is Training delivered in accordance with an authorised TAD? - Is Training Delivered in accordance with the FTS? - Are in-date, correctly approved ISPECs held for all courses? - Is all training executed using the controlled information contained in the ISPECs? - Do ISPECs contain the minimum prescribed content iaw JSP 822 Part 5 Chapter 1? 	
Does the organisation ensure that the delivery of training activity is undertaken by suitably trained, qualified and experienced personnel?	10.1b	<ul style="list-style-type: none"> - Is all instruction of trainees undertaken by suitably trained and experienced personnel? - Is all instruction of trainees undertaken by appropriate numbers/levels of personnel (iaw DOC supervision ratios)? - Are instructor assessments carried out by designated personnel who hold the appropriate qualification (iaw JSP 822 Part 3 Chapter 4)? - Are all instructors supervised and assessed, with suitable frequency? - Are records of instructional staff assessment maintained? 	
Does the organisation ensure that appropriate equipment, personnel, resources and environment are to be provided in accordance with approved Training Documentation?	10.1c	<ul style="list-style-type: none"> - Is the training environment conducive to the learning process? - Are there documented procedures for cleaning and maintenance of training equipment? - Is there a catalogue of training videos? - Are all items of training equipment, from whatever sources, accounted for? - When funding is required for maintenance or replacement of training equipment is there a through life support plan? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation ensure that training activities are programmed/time-tabled to take account of the need to maximise the effectiveness of the media used, to cater for trainees of differing abilities and to remain within local resource constraints?	10.1d		
Does the organisation ensure that where assessment has been identified as a requirement, trainees are assessed for achievement of the TOs in accordance with the Assessment Strategy and Assessment Specification (ASpec)? Does the organisation ensure that where training is not assessed then a statement to that effect, including the reason(s) for not assessing, is produced?	10.1e	<ul style="list-style-type: none"> - Have documented procedures for the assessment and testing of all trainees on all courses been established and maintained? - Do these procedures ensure over testing does not take place? - Do final assessments and tests assess TOs as specified on the FTS? - Do ASpecs specify assessment of all Training Objectives? - Are there established and maintained procedures for assessment and testing of trainees to verify that all training objectives specified on the FTS for all courses have been met? 	
Does the organisation ensure that documented procedures for the assessment of trainees are established and maintained?	10.1e(1)	<ul style="list-style-type: none"> - Are trainees assessed or tested in accordance with the ASpec and training programme? - Are in-date, correctly approved ASpecs held for all courses? - Do ASpecs ensure that over-testing does not take place? - Do ASpecs define all testing activities to ensure all TOs on a training event are met? - Do ASpecs detail: <ul style="list-style-type: none"> Timing of tests Marking criteria Pass/fail criteria Consequences of failure - Does the Pass/Fail criteria on the ASpec reflect the Standard detailed in the TPS? - Does an ASpec exist for workplace training TOs? <ul style="list-style-type: none"> - Are tests detailed in the ASpec valid? 	
Does the organisation ensure that trainees are assessed in accordance with the Assessment Strategy and ASpec and the Training programme/timetable?	10.1e(2)	<ul style="list-style-type: none"> - Are test banks, established and maintained for use throughout the establishment? - Are all tests in the test bank approved iaw the Training System and in accordance with the ASpec? 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the organisation ensure that records of trainee assessment results are established and maintained to show clearly whether the trainee has passed or failed the assessment according to the criteria specified by the Assessment Strategy and ASpec?	10.1e(3)	- Is the trainee failure reporting procedure documented?	
Does the organisation ensure that appropriate remedial action, including re-assessment of students deemed to have failed, has been instigated in accordance with documented procedures?	10.1e(4)	<ul style="list-style-type: none"> - Are the consequences of failure specified on the Test Spec applied to all trainees failing assessments or tests? - Is each module or course failure reviewed as an individual event and decisions regarding the trainee's future recorded? - Are remedial training solutions attempted prior to course/module failure? 	
Does the organisation ensure that the management of assessment marking is in accordance with the Assessment Strategy and ASpec, and any other pertinent regulations?	10.1e(5)	- Are records of trainee assessment and test results established and maintained?	
Does the organisation ensure that the assessment and recording of results for externally accredited training is conducted in accordance with the regulations of the Awarding Body?	10.1e(6)	Is an individual/unit responsible for ensuring accreditation is undertaken correctly?	
Does the organisation ensure that certification of results is sent to the relevant authorities and to trainees indicating any restrictions on employability arising from trainee failure or where TOs have not been assessed?	10.1e(7)		
Does the organisation conduct After Action Review of the training delivery (through Post Course Discussion and/or questionnaire) and documented, and are any resulting recommendations relating to the conduct of training and training content, considered in order to ensure the continuing efficiency and effectiveness of the training activity?	10.1.f	<ul style="list-style-type: none"> - Are all QC reports (internal and external) maintained as a quality record? - Do these reviews ensure that training activities meet the needs of the Training Plan, Quality Policy, TDA Orders etc? - Do these reviews ensure that training is delivered as efficiently as possible? - Is all appropriate QC information reported to the CEB or equivalent? - Does this include evidence of over-training or nugatory training? - Do course reports incorporate appropriate data gathering techniques (eg of questionnaire results, course discussion feedback, instructor comments) and use appropriate analysis methods (including statistical techniques) and are conclusions and recommendations supported by quantified statistics? (iaw JSP 822 Part 5 Chapter 4). 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Risk Assessment			
Do processes or procedures exist to carry out Health and Safety risk assessments of the training environment and all training activities and is this assessment documented and maintained as a quality record available at the point of training delivery?	10.2.1	<ul style="list-style-type: none"> - Have risk assessments been conducted for the training environment and all training activities? - Does training documentation include information regarding the Risk Assessment iaw JSP 822 Part 5 Chapter 1? 	
Are trainees informed of the risks associated with a particular training activity or training environment prior to entering the training environment or the training activity taking place?	10.2.2	<ul style="list-style-type: none"> - Do instructors make trainees aware of the risks associated with particular training activities or environments? 	
10.3 Trainee Management			
Does the organisation have procedures for the management of trainees which are maintained iaw statutory legislation including Health and Safety, Equal Opportunities & Diversity, the Data Protection Act, FOIA and other applicable directives? Do records exist to confirm whether or not a trainee attended a particular training activity and the results of any pertinent assessments?	10.3.1	<ul style="list-style-type: none"> - Have trainee records been established and maintained? - Are there documented procedures for management of trainees? - Have procedures been established and maintained to document and update the assessment and/or test status of all trainees? - Is a valid supervisory care directive being adopted across the organisation? - Is there a valid under-18's policy for the unit? 	
Does the organisation identify a particular trainee throughout the training activity and the status of the trainee with respect to their achievement of the requirements of the training activity?	10.3.2	<ul style="list-style-type: none"> - Is a standardised Test Result form for recording each trainee's mastery of individual questions, trainee's total performance mark and the school's response on failures employed and maintained as a quality record? - Is trainee 'success' at the end of a course notified to the relevant authorities? - Are procedures in place to prevent any trainee who has failed a module/course from being employed in a capacity that requires successful completion of that module/course? - Are training shortfalls (failure to achieve TPS through no fault of trainee) documented and reported to the trainee's establishment. 	
Are training activity entry requirements documented and provided to all relevant authorities preparing or controlling trainees being sent to the organisation?	10.3.3		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Do procedures which are documented and maintained exist to verify that trainees have the required pre-requisites and how are they?	10.3.3	- Are checks made to verify that trainees meet the appropriate pre-requisite qualifications for the courses that they are attending?	
Is there an established appropriate induction programme for trainees, providing welfare, pastoral and learning support? Additionally, where applicable does this include catering and accommodation facilities which are provided to prescribed standards?	10.3.4	- Is a valid supervisory care directive being adopted across the organisation? - Is there a valid under-18's policy for the unit?	
Background	11.1		
Does the organisation ensure that training activities are focused towards the achievement of the business/operational goals of the Department? (All training provided must be cost-effective; focused on business/operational needs, necessary appropriate, effective, efficient).	11.1	- Is external feedback obtained using an appropriate range of techniques? - Does external feedback seek evidence of over-training or nugatory training?	
Scope of Evaluation	11.3		
Does the organisation evaluate all Individual Training?	11.3.1	- Is Evaluation conducted iaw JSP 822 Part 5 Chapter 4?	
Does the organisation's Evaluation Strategy include the evaluation stages listed in the DSAT QS or provide rationale for a decision not to apply a specific evaluation stage?	11.3.2	- Is Evaluation conducted iaw JSP 822 Part 5 Chapter 4? - Is internal feedback obtained using an appropriate range of techniques? - Is there a standardised, well-publicised, accepted, understood and working Internal QC reporting system for all courses? - Is external feedback actively collected and presented in a way to enable recommendations? - Have documented procedures been established and maintained for evaluation of training through the conduct of Internal and External QC?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Does the Evaluation Strategy ensure that the training needs are identified and reviewed against the business/operational goals?	11.3.3	<ul style="list-style-type: none"> - Is there a system of feedback to ensure that the processes and products of training meet operational requirements? - When job supervisors render feedback on particular former trainees, is the customer feedback retained as a quality record? - Do external QC reports contain a mechanism to ensure effective implementation of recommendations? - Are external QC reports retained as quality records and for evaluation of their effect? 	
Does the evaluation involve all relevant stakeholders at the appropriate levels?	11.3.4	<ul style="list-style-type: none"> - Is information collected from both trainers and trainees during and after all training to control course progress (and provide for prompt remedial action), to measure course success and to identify course weakness? - Does this information seek evidence of over-training or excessive instructional time? - Is the FTS evaluated using QC techniques to verify suitability? - Is all specific customer feedback investigated and replied to? 	
Does the Evaluation Strategy identify the roles and responsibilities of those involved with the evaluation process?	11.3.5		
Does the Evaluation Strategy include Key Targets/Performance Indicators pertinent to training activities?	11.3.6	<ul style="list-style-type: none"> - Do both internal and external (TRA) organisations collect and report Key Target/Performance Indicator customer satisfaction data in an appropriate manner? 	
Does the Evaluation Strategy ensure that all training activities are necessary (ie that the desired op/workplace performance could not be achieved more effectively by another means)?	11.3.7		
Is the Evaluation Strategy responsive and targeted to the needs of the business?	11.3.8	<ul style="list-style-type: none"> - Is there a documented link between the evaluation strategy and the Business Pls/KTs. 	
Is the currency and validity of all Individual Trg maintained by the application of the results of evaluation?	11.3.9	How is the currency and validity of Evaluated trg reported eg Validation Reports (InVal and ExVal)?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Monitoring and Measurement of Process Outputs.	11.4		
Does the organisation monitor and measure (during the Analysis of the Training Requirement, Training Design and Development, and Training Delivery processes) the characteristics of outputs of the DSAT process to verify that output requirements are met?	11.4.1	<ul style="list-style-type: none"> - Does QA investigate and report the causes whenever the success rates in training fall below the range of historical averages, or if success rates fail to achieve the success rate specified in the HLB Holder's Business Plan targets? - Does QA investigate and report causes (eg excessive training time, over-training) whenever success rates exceed the range of historical averages? - Have procedures been established and maintained to ensure that all test results are passed to the Quality Controller for analysis? - Are all instances of success rates in training falling below historic averages or TDA targets investigated? - Are the results of all tests evaluated, recorded and maintained as a quality record? - Is there a documented procedure for review of Training Plans, Training Documentation, Published Course Information or any contract to provide training developed within the Training System? - Does the procedure ensure that the review identifies possible areas of over-training and attempts to reduce the UTS/HTQ/ITB or equivalents? - Are appropriate statistical techniques employed? 	
Does the organisation maintain evidence of conformity with the process output requirements?	11.4.2	<ul style="list-style-type: none"> - Does the data evaluated by the appropriate CEB verify the suitability of the OJT materials and programmes? 	
Do arrangements exist to ensure that trained output release and/or training delivery have been satisfactorily completed and, where not, approval by a relevant authority, customer/sponsor is given?	11.4.3	<ul style="list-style-type: none"> - Is any training that deviates from the approved specification subject to review prior to issue of completion certificates? - Is documented, corrective/preventive action initiated where training provided is not going to meet the design intent? - Is documented, corrective/preventive action initiated where training provided exceeds the design intent? - Is all appropriate external QA information reported to the CEB or equivalent? - Is evidence of over-training or nugatory training reported to CEB? 	
TRA Satisfaction.			
Does the organisation seek feedback from customers/sponsors as to whether the organisation has met the customer/sponsor training requirement?	11.5	<ul style="list-style-type: none"> - Who is responsible for the gathering and analysis of customer/sponsor feedback Data. 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
THE ACQUISITION OF TRAINING SOLUTIONS			
Acquisition Process.			
Does the organisation ensure that the acquisition of all training solutions is conducted in accordance with stated principles?	12.1.1	<ul style="list-style-type: none"> - Have procedures for procurement of training equipment been established and documented? - Do these procedures ensure the procurement of the most cost-effective training equipment? - Does the Invitation to Tender (ITT) clearly define the training solution? - Is the acceptance criteria for selecting a supplier and, subsequently, the training solution clearly defined? - Is the output required from the contract clearly stated? - Has post project evaluation of the training solution been carried out? 	
Is the Statement of Requirement, which includes the Training Objectives, clearly defined?	12.1.1a	- Has a TNA been conducted to identify the Training Requirements for new Operational Equipment.	
Are the acceptance criteria clearly defined?	12.1.1b		
Are the requirements for the qualification of personnel clearly defined?	12.1.1c		
Are the requirements for the management and support of the training solution clearly defined?	12.1.1d		
Does the organisation ensure stakeholder endorsement of the requirements prior to their communication to the supplier?	12.1.2		
Training Solution Acceptance.			
Does the organisation establish and implement the inspection or other activities necessary for ensuring that the training solution meets the specified requirements?	12.2.1	<ul style="list-style-type: none"> - Is training equipment procurement carried out iaw JSP 332 and MoD Local Purchase Regulations? - Are their processes for accepting the training solution in accordance with the criteria agreed to in the Tender Response? - Within the ITT, the organization should request information on how the supplier intends to demonstrate compliancy with the requirements and how it is going to release the training solution. Note: If the supplier does not satisfy the organization's requirements at this stage, further negotiations should take place till the organization is satisfied. 	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
<p>Does the organisation evaluate and select suppliers based on their ability to supply products in accordance with the organisation's requirements? Are the criteria for selection, evaluation and re-evaluation of suppliers, established and documented and are records maintained for the evaluation and necessary actions resulting??</p>	12.2.2		
<p>Where the organisation or its customer performs verification at the supplier's premises, are the verification arrangements and method of product releases in the acquisition information?</p>	12.2.3		
<p>Is acceptance of the training solution dependent on the successful demonstration that all training requirements have been met?</p>	12.2.4	Has the organization established and implemented inspection or other activities necessary for ensuring that the training solution meets the specified requirements?	
<p>Post Project Evaluation.</p>	12.3		
<p>Does the organisation conduct Post Project Evaluation following the implementation of the training solution?</p>	12.3	- Is there any documentary evidence the PPEs have (provided?) occurred?	
<p>Customer Property.</p>	12.4		
<p>Does the organisation exercise care of customer property while it is under the organisation's control or being used by the organisation? Does the organisation identify, verify, protect and safeguard customer property provided for use or incorporated into a training activity? Do reporting mechanisms exist if any customer/sponsor property is lost damaged or otherwise found to be unsuitable for use?</p>	12.4		

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
TRAINING SYSTEMS AUDIT	Section 13		
General.	13.1		
Does the organisation plan, document and implement the training audit processes and procedures?	13.1.1	- Are 1 st Party training audits conducted against the requirements of DSAT QS and iaw JSP 822 Part 5 Chapter 6.	
Do the training audit processes and procedures ensure conformity of the MTS with the Quality Standard?	13.1.1a		
Do the training audit processes and procedures enable continual improvement of the effectiveness of the MTS?	13.1.1b	- Are the requirements for a CI process documented? - Does the range of first party assurance activities generate a QIP (or equivalent)? Is the QIP reviewed?	
Does the organisation retain the Training Audit Reports as quality records?	13.1.2		
Monitoring and Measuring of Process.	13.2		
Does the organisation apply suitable methods for monitoring and, where applicable, measurement of the MTS processes? Do these methods demonstrate an ability of the processes to achieve planned results? When planned results are not achieved is corrective action taken and how does the organisation ensure conformity of the MTS and its effective contribution to the achievement of the trained output?	13.2	- Does the training audit review the management, analysis, design, execution and QC activities? - Do training audits seek evidence of inefficiency in training?	
Continual Improvement.	13.3		
Does the organisation strive to continually improve the effectiveness of the MTS through the quality policy, Performance Indicators and Key Targets, audit results, analysis of data, corrective and preventative actions and management review?	13.3	- Does the unit conduct CI activity? Does the unit generate a SAR utilising data from assurance activities (DSAT, DITC and Ofsted)? - Does the unit generate and update a resulting QIP? Are the results of internal audits made available to 2nd party auditors and vice versa? - Are the outcomes of investigations that are undertaken in relation to non-conformities, retained as a quality record? Is there a mechanism to ensure effective implementation of any recommendations? - Are the outcomes of investigations undertaken in relation to over-training retained as a quality record? Is there a mechanism to ensure the removal of such over-training?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
First Party (Internal) Audit.	13.4		
Does the unit conduct First party audits? Is there a formal 1st Party Audit Plan?	13.4.1	- Is there a set timetable of audit activity and is this included in the plan? - Are internal training audits conducted at regular intervals?	
Does the plan conform to the requirements of the DSAT QS and the MTS requirement established by the organisation? Is the plan effectively implemented and maintained?	13.4.1a	- Are the procedures for conduct of the internal training audit documented in the Training Organisation Quality Manual?	
When planning a first party audit, is consideration is given to the status and importance of the processes and areas to be audited, as well as the results of previous audits? Are the audit criteria, scope, frequency and methods of audit defined? Does the selection of the individual auditors ensure the audit process is both objective and impartial? How does the unit ensure that the conduct of the audit is both objective and impartial?	13.4.2	- Are internal training audits managed by an appropriately trained and experienced person, ie the officer responsible for ensuring that the requirements of the DSAT QS are implemented and maintained?	
Are the responsibilities and requirements for planning and conducting audits, and for reporting results and maintaining records documented?	13.4.3	- Is a written report of the internal training audit forwarded to the Training Management for Management Review? - Are internal training audit reports maintained as a quality record?	
Does the management responsible for the area being audited ensure that the actions are taken without delay, thus eliminating detected non-conformities and their causes? Is it verified that actions are taken without undue delay to eliminate detected non-conformities and their causes?	13.4.4	- Do the procedures ensure that the effectiveness of corrective action can be verified and recorded? - Are the results of the internal training audit recorded and brought to the attention of the officers responsible for the areas audited to enable corrective action to be taken?	
Preventive and Corrective Action.	13.5		
Does the organisation take action to determine and eliminate the causes of potential and actual non-conformities in order to prevent occurrence/reoccurrence?	13.5.1	- Are the recommendations of 2nd Party Audits/Ofsted/DITC inspections implemented? - Is a formal action plan to rectify 2nd Party Audit non-conformities and Observations produced and managed to completion and/or are they included in the unit's QIP?	

QUESTIONS	DSAT QS REF	POSSIBLE SUBORDINATE AND SUPPORTING QUESTIONS	COMPLIES Y/N
Are preventative and corrective actions applied appropriately to the effect of potential problems and the non-conformities encountered?	13.5.1	- Have changes to documented training procedures resulting from corrective and preventive action been implemented and recorded?	
Do documented procedures exist for: a. Reviewing non-conformities? b. Determining potential non-conformities and their causes? c. Determining the cause of actual non-conformities? d. Evaluating the need for action to prevent occurrence of non-conformities? e. Evaluating the need for action to ensure that non-conformities do not recur? f. Determining and implementing action needed? g. Recording the results of action taken? h. Reviewing corrective action taken?	13.5.2	- Has the Organisation established and maintained documented procedures for implementing corrective and preventive action? - Has the Organisation established and maintained documented procedures for implementing continuous improvement against Ofsted/DITC observations? - Is the auditing authority informed of progress to rectify 2nd Party Audit non-conformities within 6 months of the audit?	
Analysis of Data.	13.6		
Does the organisation determine, collect and analyse appropriate data to demonstrate the suitability and effectiveness of the MTS? Does the organisation determine where continual improvement of the effectiveness of the MTS can be made? Does data include that generated as a result of auditing and evaluation and from other relevant sources?	13.6.1.	Does the data include PIs, results from peer review and self assessment activities? Does the QIP (or equivalent) reflect the improvements required and is it reviewed regularly? Has the results of ExVal or Ofsted and DITC inspections been included in any applicable SAR or QIP? Are the findings from Second Party Audit of the DSAT QS included?	
Does analysis of data provide information relating to: a. TRA satisfaction? b. Achievement against Key Targets? c. Achievement of Training Objectives? d. The efficiency of the training system? e. Characteristics and trends of processes and products including opportunities for preventive action? f. Supplier performance?	13.6.2		

DEFENCE TRAINING AUDIT CHECKLIST

CROSS REFERENCE OF DSAT QS CLAUSES TO OFSTED COMMON INSPECTION FRAMEWORK WITH SUPPORTING QUESTIONS

Note on Use:

This checklist is intended for use by second party auditors as an aide memoire when carrying out assessment of the learner and the learning environment. Failure to comply or limited attainment against the CIF should be appropriately recorded in the audit report

CIF / DSAT QS QUESTION MATRIX

Questions for Instructors / Staff	Questions for Students	
Overall Effectiveness - how effective are the provision and services in meeting the range of learners needs? What steps need to be taken to improve the provision further?	Overall Effectiveness - how effective are the provision and services in meeting the range of learners needs? What steps need to be taken to improve?	DSAT QS Ref
Do you have the necessary resources in the provision of your training? <i>staff / infrastructure / finance</i>	n/a	6.6a
How are any issues raised from audits or inspections implemented to promote improvement? <i>quality circles / forums</i> Is there capacity to make further improvements? <i>Management Review</i> How effective are the steps taken to promote improvement since the last inspection? <i>Management Review</i> What links are there with other organisations which have improved the well-being of the learners (where appropriate)? <i>LSC?</i>	n/a	13.6.1 6.5.3e/ 13.3 -
(1) Achievements & Standards - how well do learners achieve?	(1) Achievements & Standards - how well do learners achieve?	
How are the students assessed and where are the results recorded? <i>training objectives / tests / continual assessment</i>	n/a	10.1e
Are the results used for trend analysis over a period of time? <i>analysis of results / continual improvement</i>	n/a	8.1.2d
Are the training success rates showing improvement or being maintained at a high level? <i>student records/unit data analysis</i>	n/a	13.6.2

Are qualification success rates for different groups of learners including gender and ethnic groups, showing equally high standards of performance, or moving towards parity? <i>student records/unit data analysis</i>	n/a	13.6.2
Are the students finding it easy or difficult to complete the course? <i>What are the reasons for this? core competencies / entry qualifications</i>	Are you finding the course easy or difficult to complete? What are the reasons for this?	11.3.4
Are there any significant variations in achievement between groups of learners? <i>analysis of results / entry standards / ethnic factors / student backgrounds</i>	Is the course meeting your expectations, i.e. does the training match the objectives and provide you with the learning you need or were expecting?	11.4.1
To what extent are the students enjoying the course? <i>met expectations / course applicability / validity</i>	To what extent are you enjoying the course?	11.3.4
(2) <u>The Quality of Provision</u> - <i>how effective are teaching, training and learning?</i>	(2) <u>The Quality of Provision</u> - <i>how effective are teaching, training and learning?</i>	
How are the different needs of learners provided for? <i>special facilities / special needs / communication</i>	n/a	8.2, 9.4, 10.1
	What are the instructors like at teaching the course? How are the course administration and your welfare aspects catered for?	6.7, 10.1b, 10.3.4
How do you ensure that you meet the needs of the TRA and the learner? <i>InVal/ExVal / other course feedback / stn visits / ceb meetings</i>	How was your feedback regarding the course and its deliver gathered by the School?	11.1
What is the procedure for ensuring instructors are fully trained and kept up to date with the latest developments in their area of teaching? <i>instructor assessment / records / skills / experience</i>	n/a	6.7, 10.1b

How is the student's progress monitored throughout the course? <i>tests / assessment methods & media</i>	How is your progress monitored throughout the course?	9.5
What is the procedure if a student is having difficulty struggling with an aspect of the course? <i>remedial action / reassessment</i>	What happens if you are struggling with an aspect of the course?	10.1e 4
(3) The Quality of Provision - how well do programmes and activities meet the needs and interests of learners?	(3) The Quality of Provision - how well do programmes and activities meet the needs and interests of learners?	
Does the course meet the students' expectations? <i>inval / other course feedback</i>	Did the course meet your expectations?	11.5
Is there any prior learning (i.e. extra reading or other courses) required for this course? If so, how is it advertised? <i>training activity entry requirements / procedures / pre-requisites</i>	Did you need to do any prior learning (i.e. extra reading or other courses) before starting this course? Were you made aware of this or not?	10.3.3
What mechanisms are in place to amend course programmes in response to changes in external requirements or customer feedback? <i>evaluation / stn visits / other feedback mechanisms</i>	n/a	11.1
Does the course meet any external qualification certification? If so, was it difficult to achieve accreditation? <i>records / regulations of awarding body</i>	Will you (or have you) received a civilian accredited qualification when you have completed your training?	10.1e 6
Have any extra lessons been added to the course purely for the student to gain the external qualification? If so, is it worthwhile from a time / cost perspective and is the military need still being met? <i>records/ training objectives</i>	n/a	9.3.1d
How do you acquire feedback from customers on the quality of the trained personnel you provide? <i>evaluation / stn visits</i>	n/a	11.1
(4) The Quality of Provision - how well are learners guided and supported?	(4) The Quality of Provision - how well are learners guided and supported?	
What support services are available to students to safeguard welfare, promote personal development and promote high standards? <i>care of trainees / pastoral care / learning support</i>	What support services (i.e. welfare and admin) are offered to you and how would you rate them?	10.3.4
Are details of the courses taught readily accessible?	Are details of the course readily accessible to you (i.e. its objectives, programme, timetable etc)?	6.9.3

Do the courses taught fit into a career profile?	Do you know how the course fits into your overall carer profile?	10.3.4
(5) <u>Leadership & Management</u> - how effective are leadership and management in raising achievement and supporting all learners?	(5) <u>Leadership & Management</u> - how effective are leadership and management in raising achievement and supporting all learners?	
Is there a Quality Assurance process that covers all parts of the training school? <i>MTS / quality manual / procedures / TORs</i>	Are you aware of a Quality Assurance process within the training school?	5.2.1, 6.1.1b4
How does the quality system monitor and measure the school's processes in order to provide 'continuous improvement?' <i>first party audits / key targets / quality circles / traffic light scheme / quality review meetings</i>	n/a	13.2, 13.3
How do you offer suggestions to improve the course? <i>post course discussions / questionnaires</i>	Do you know the procedures for offering suggestions for improvement or making complaints?	10.1f
Is there management buy-in to ensure students receive the highest quality care, education and training? <i>establishment of training quality policy</i>	Are you confident that you have received the highest quality support in terms of welfare, education and training?	6.1.1
Is there an Equal Opportunities policy and is it followed? <i>records / documentation</i>	Are you all treated equally or are you aware of any discrimination?	10.3.1
What recruitment and training processes are in place to ensure that learners are taught by sufficient numbers of competent staff? What are the processes for training staff? <i>establishments / TORs / job specs / instructor monitoring</i>	n/a	6.6a, 6.7.1
What are the training facilities and equipment like? <i>Infrastructure</i>	What are the classrooms and training equipment like?	6.8, 10.1c
What are the support facilities (eg accommodation and messes) like? <i>Infrastructure</i>	What are the support facilities (i.e. accommodation and messes) like?	6.8, 10.1c
Are resources used effectively (i.e. do you have enough equipment or too little, and does it work)?	n/a	6.6 10.1c

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SECTION 7 – ANNEX E

AUDIT REPORT – SUGGESTED STANDARD FORMAT

Unit Title

**SECOND PARTY TRAINING QUALITY AUDIT
REPORT**

DATE

CONDUCTED BY xxxxx

EXECUTIVE SUMMARY

UNIT NAME – SECOND PARTY TRAINING QUALITY AUDIT REPORT - DATE

Reference:

- A. JSP 822 Part 4 – DSAT QS

INTRODUCTION

1. The purpose of the second party training audit is to measure **** compliance with the DSAT QS and to assess the quality of the training and education delivered against the CIF. The report contains comments on the management, analysis and design, delivery and quality control of training along with recommendations. In order to assist in the improvement process, a detailed list of non-conformities, observations and good practices against Reference A and required corrective actions is included at Annex A (sample template provided below).

AIM

2. The aim of this report is to present the findings of the Training Audit of ****, conducted between **-**-** Dates**.

AUDIT CONDUCT

SCOPE

3. The audit assessed the intent in the management of training at ***, together with its implementation and effectiveness (but does not cover). A list of sites or subordinate establishments should be included.

AUDIT TEAM

4. The Audit Team comprised:
- ** (Lead Auditor - Training Management)
 - ** (Analysis and Design)
 - ** (Quality Control)
 - ** (Training Execution)
 - ** (Training Execution)

AUDIT FINDINGS

5. Comment on the findings of the audit (measure of compliance). The report should focus on areas requiring development or citing good practice. Detailed findings will be

found in the Annexes to the summary and may be broken down by areas inspected. The areas may be broken down by function such as:

- a. General Observations.
- b. MTS Structure.
- c. The Management of Training (including first party assurance).
- d. Training Documentation.
- e. Training Design and Development.
- f. Delivery of Training.
- g. Comments Against the CIF – The Experience of the Learner.

6. Each of the summaries should refer to evidence such as Non-Conformities Observations or Examples of Good Practice. Non-Conformities and Observations should be listed utilising the format below but using the methodology outlined in Section 6 of this Chapter.

RECOMMENDATIONS

7. A suggested way forward including potential support or follow up actions.

M Y Name
[Rank]
Lead Auditor

Annexes:

A. Audit Issues identified (Non-Conformities/Observations/Good Practice) during audit of unit or sub unit – Date.

B. Summary of Audit Issues identified during audit of unit or sub unit – Date (as required).

TEMPLATE FOR WRITING AN ANNEX TO AN AUDIT REPORT

**ANNEX A TO
FILE REF XX
DATED XX**

(Area) AUDIT: (Date)

Areas / Personnel Consulted	Auditor

GENERAL COMMENTS

General comments on the good and bad points found during the audit.

NON-CONFORMOTIES RAISED

Serial Number	NON-CONFORMOTIES	DSAT QS or Other Document Reference
*/NC/01		

OBSERVATIONS RAISED

Serial Number	OBSERVATION	DSAT QS or Other Document Reference
*/OBS/01		

GOOD PRACTICES

Serial Number	GOOD PRACTICE
*/BP/01	

** Insert an appropriate abbreviation explaining the location / school*

COMMENTS ON CIF REQUIREMENTS (if applicable)

General Statement

How well do learners achieve? *Statement*

How effective are teaching, training and learning? *Statement*

How well do programmes and activities meet the needs and interests of learners?

Statement

How well are learners guided and supported? *Statement*

How effective are leadership and management in raising achievement and supporting all learners? *Statement*

