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## 1 Preface

**How to use this Volume**

- JSP 822, Volume 5 sets out Defence Policy on Assurance of Training in Defence[1]. The volume contains the majority of Defence Learning and Development policies for Assurance of Training in Defence; where Defence Learning and Development policy sits outside of Volume 5, it is clearly referenced throughout the volume, and in the Document Information chapter in Volume 1.

- The volume is made up of Policy Direction and Policy Guidance:

  o **Policy Directives** provides the Direction that must be followed in accordance with statute or policy mandated by Defence or on Defence by Central Government.

  o **Policy Guidance** provides the Guidance and best practice that will assist the user to comply with the Directives.

- The volume employs '**must**', '**should**' and '**could**' language as follows:

  o **Must**: indicates that the policy direction is a legal or key policy requirement and is **mandatory**.

  o **Should**: indicates the policy guidance is a **recommendation**. Although not compulsory, if a decision is made that any part of this policy cannot be complied with, then the Senior Responsible Owner who is ultimately responsible for that decision must thereby own and manage the inherent risks that arises.

  o **Could**: indicates that the policy guidance is good practice and encouraged.

- JSP 822 is the authoritative policy that directs and guides Defence people to ensure that Defence Learning (training and education) is appropriate, efficient, effective and, most importantly, safe. Organisations across Defence have their own policy documents which local policy teams populate and manage, based on their interpretation of the policy contained within JSP 822.

- Users should consult those policies and policy teams, within their organisation (see below), prior to JSP 822 and the TSLD Training Policy Team that manages JSP 822.

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[1] Note that Organisational Learning is captured under the Defence Organisational Learning Structure (DOLS) Framework owned by Joint Warfare in STRATCOM and is not within the scope of JSP 822. The Pan Defence Skills Framework (PDSF) currently sits in Chapter 4 of JSP 755
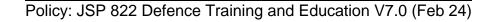
| | |
|---|---|
| **RN** | BRd 3 (Volume 1) - Navy Personnel Management - Part 9 – Press here <br><br> • NAVY PEOPLE-TMG TGA SO1 |
| **Army** | ACSO 4001 Part 1 – The Policy for Army Assurance – Press here <br><br> • ARITC-TrgAssr-SO1 <br> • Army StratCen-Exec-Trg-SO1 |
| **RAF** | AP3379 - RAF Manual of Training – Press here <br><br> • 22Gp-CTS-OC Assurance Wg |

**Defence Training Support Manuals**

- To support the understanding and implementation of the policy contained within this volume, Defence Training Support Manuals (DTSMs) have been developed to provide additional advice and information.

- Although DTSMs will likely repeat the policy (direction and guidance) contained in JSP 822, they are not to be used when quoting policy. The role of the DTSM is as a tool to help users understand the policy contained within JSP 822, and not as a Defence policy document. Using the DTSMs is entirely optional, and users may find there are alternative resources available, to help them understand and implement the policy contained in JSP 822.

- **MOD External stakeholders and contractors accessing DTSMs, and internal hyperlinks referenced within JSP 822.** JSP 822 is published on gov.uk . If the Authority (customer) requires a supplier to have access to additional documentation that is not available on gov.uk, this should be captured within the contract and the onus is with the Authority to ensure that the provider has access to that documentation in accordance with the Information Security policy in JSP 440. If in doubt as to whether documents can be shared with external audiences, the owner of the document must be consulted.

## 2 Defence Direction for the Assurance of Training

**Policy Sponsor: TSLD, CDP**

Assurance is an all-encompassing term used to describe the practice of improving the quality of information or its context and to reduce the risk associated with unreliable information. Within the training system, assurance focusses on the continuous activity of monitoring, evaluating, maintaining, and improving all training and training processes and is provided by a variety of activities including but not limited to audits and inspections. These activities are conducted by stakeholders internal to the training system as well as by bodies external to it.

The assurance of Defence training is key to ensuring effective, efficient, and safe training is delivered to the right people at the right time to the right standards. Assurance activities must be conducted in accordance with the Defence Training Assurance Framework (DTAF). The framework provides a structured approach and focuses on the training system as a whole, including the authorisation of training, all DSAT processes and the supporting elements of personnel and pipeline management.

This policy directs the mandated elements to be assured in every audit and when, where, and how often, assurance should be undertaken.

### 2.1 Introduction

2.1.1 The principles of the assurance activity directed in this volume relate to all training within Defence and to the associated processes directed in all volumes of this JSP. The application of the Defence Training Assurance Framework (DTAF) (Annex A) is directed for use within Individual Training with the principles also applicable to Collective Training.

2.1.2 Assurance activities provide confidence to all stakeholders[2] that training across Defence:

- is effective and meets the Defence requirement.

- is in accordance with endorsed Defence training policy.

- is managed ~~appropriately~~ with associated risks identified.

- meets Defence's Care and Welfare policies and obligations.

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[2] Stakeholders include the TRA, TDA and TP as well as any external accreditation or regulatory bodies such as Ofsted, universities or awarding organisations. They will be a mix of service personnel, civil service, contractors and third-party personnel.

- where appropriate, meets legal requirements and other standards.

- promotes a culture of continuous improvement (CI).

2.1.3  <u>All</u> activities undertaken by the Training Requirements Authority (TRA), Training Delivery Authority (TDA) and Training Provider (TP) must be assured in accordance with an agreed programme.  All those responsible for the management of training should be aware of the requirements of the DTAF associated with their areas of responsibility.

2.1.4  There are 3 lines of training assurance[3]:

- **1st Party Assurance (1PA).** Also called internal audits this is assurance activity conducted as part of quality/performance improvement internal to the organisation. This will form the basis of an organisation's self-declaration of compliance/conformity, should inform further assurance work such as 2PA and is a key CI activity[4].  1PA **must** be carried out annually.

- **2nd Party Assurance (2PA).** Assurance activity conducted by Defence organisations[5] external to the activities that are within the scope of the audit or inspection.  2PA must capture the whole Training System including sample elements of all TRA/TDA and TP activities.   2PA **should** be carried out at least every 3 years but not more than 5 years.

- **3rd Party Assurance (3PA).** Assurance activity conducted by an independent third-party organisation such as <u>Ofsted, National Audit Office (NAO)</u>, governing, awarding bodies or regulatory bodies external to Defence and the Defence Safety Authority (DSA), The Army Inspector and Defence Internal Audit (DIA) internal to Defence.

2.1.5  Assurance of training must be systematic, objective and documented and include evidence to determine the extent to which policy is met.  It should communicate transparently to all stakeholders, including those responsible for the management of training, providing clear information in support of decision-making.

2.1.6  For all training, assurance must be against the DTAF (Annex A) **which** includes the mandated requirements of the Management of Training System (MTS) (outlined in Volume 1) and the mandated requirements of individual training (outlined in Volume 2).

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[3] These are consistent with the 3 Lines of Defence Assurance (LoDA)
[4] Examples of such activity are annual 1PA against the Defence Training Assurance Framework including the mandated elements, self-assessment, and policy compliance activities.
[5] sS/TLB assurance teams including but not limited to RN Assurance, RAF AW, CITAT, LWC AW and JITAT as well as RAF Group HQs and Reserve HQs.  sS HQs may direct other HQs such as Operations Group HQs in the Army TLB to deliver 2PA where complex training systems are in place.

## 2.2 Direction – Assurance of Defence Training

2.2.1 This is the **direction that must be followed** for the assurance of Defence training:

- All individual training must be assured against the Defence Training Assurance Framework.

- All 1PA and 2PA must include assurance against the respective mandated elements of the Defence Training Assurance Framework.

- Compliance against mandated elements and annually published Defence themes must be reported in 1PA and 2PA reports.

- Reporting and distribution of 2PA reports must be agreed prior to audit commencement and include all key stakeholders (CEB chair or equivalent, representatives of TRA/TDA/TP and TSLD).

- A routine 2PA must be delivered against an approved audit programme[6], the content of which must be agreed in line with sS specified timeframes.

- Lead auditors[7] of 1PA and 2PA must complete the Defence Training Auditors Course (DTAC) at the Defence Centre of Training Support (DCTS), Defence Academy (DefAc). Where directed sS Lead Auditors may be required to complete an industry ~~externally~~ recognised qualification[8] as an alternative

- Those individuals conducting audits at 1PA level or acting as an audit team member under a lead auditor must have a thorough working knowledge of JSP 822 Vol 5 and should look to complete the DTAC as directed by sS assurance leads.
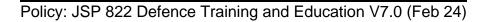
## 2.3 Governance of Training Assurance

2.3.1 Due to the differences in structure and relationships between the TRA/TDA/TPs, the responsibility for assurance varies across Defence. In the majority of cases[9] the TRA is ultimately responsible for assurance against the Defence Training Assurance Framework and all assurance activity is reported through the CEB.

2.3.2 The following governance layers, in ascending order, exist for the reporting of training assurance.

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[6] Approved by sS stakeholders and notwithstanding amendments or requirements for short notice assurance activity or changes due to 3PA activity.
[7] As confirmed by the sS 2PA leads.
[8] Such as the International Organisation for Standardisation (ISO) 9001 quality management system standard
[9] It is understood that this may differ for some TLBs, sS Assurance leads can advise as required

- **Customer Executive Board** – provides stakeholder engagement for all training/education requirements and agrees a suitable process for its assurance.

- **TLB Assurance Rep** – co-ordinates TLB assurance activity and provides all 2PA reports to TSLD.

- **Defence Training and Education Assurance Working Group (DTEA WG)** - chaired by TSLD H2A SO1 and informs/ratifies policy on Defence training assurance.

- **TSLD Policy Advisory Group (TSLD PAG)** - chaired by Hd TSLD and provides strategic direction on training policy design and implementation and is the principal forum for governance and assurance of Defence training.

- **People Leadership Team (PLT)** – 3* / 2* Defence level Board chaired by the Chief of Defence People (CDP) and is the highest-level governance body for Defence Individual training strategic performance and risks.

## 2.4  Defence Training Assurance Framework

2.4.1  The DTAF provides a coordinated Defence wide approach to assurance activities and seeks to promote consistent, comprehensive, and effective assurance at all levels. It provides a structure and scope to assurance activities which, with the collection of appropriate evidence, provides the assurance that training is compliant with Defence policies and standards.  It promotes maintenance of the quality and standards of Defence training and supports its CI.

| Defence Training Assurance Framework | | | |
|---|---|---|---|
| Management of Training | | | |
| Authorisation of Training | Governance of Training (CEB) | Management of Training System | Joint/Contractual arrangements |
| DSAT Process & Documentation | | | |
| Training Needs Analysis | Training Design and Development | Delivery of Training | Evaluation of Training |
| Personnel & Pipeline Management | | | |
| Support to Learners | Personnel | Management of Pipeline | Accreditation |

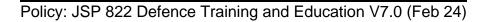Figure 1: Defence Training Assurance Framework (DTAF) themes and supporting sections.

2.4.2  The DTAF (Figure 1) comprises 12 sections, arranged under 3 themes:

- **Management of Training** – assurance of robust governance, system management and authorisation arrangements for training. It covers authorisation of training, governance of training (CEB), management of the training system and Joint/contractual arrangements sections.

- **DSAT Process and Documentation** - assurance of the processes and documentation from the need for a training activity through to the measure of its effectiveness at meeting the training need once delivered. It covers training needs analysis, training design and development, delivery of training and evaluation of training sections.

- **Personnel and Pipeline Management -** assurance of the support to all personnel involved in training and their management to support workforce generation and satisfy Defence policies such as Care & Welfare and accreditation of Defence training. It covers support to learners, personnel, management of pipeline and accreditation sections.

2.4.3  In turn, each section includes up to 6 elements, each directly relating to policy requirements contained in the various volumes of this JSP.   The mandated requirements of Defence training policy (outlined in Volume 1, Volume 2 and Volume 4) will contribute to validating that the outputs of the training activities are delivered correctly to meet the Defence Policy.


**2.5   Application of the Framework**

2.5.1  Whilst specifically developed for 1PA and 2PA, the DTAF provides a useful benchmark for anyone who is involved in conducting assurance activities such as debriefs, reviews, evaluations, and inspections of training.  The framework offers flexibility of application through its structure and grouping of elements, allowing Defence, single Service, TLB and organisational needs to be defined by the scope of the assurance activity conducted.

2.5.2  For comparison and trend analysis[10], all audits must include some mandated elements, but auditors are free to draw from elements across the framework reporting by exception.  A consistent approach means that the scope, structure, or sample size of all audits should be aligned to the size, complexity, and capacity to perform assurance activity of the Defence training organisation rather than all audits being identical.  In all cases assurance should provide a clear picture of the quality of performance and drive improvement both locally and at wider Service and Defence level.

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[10] Comparison and trend analysis should be conducted internally by the single service TP, TDA and TRA utilising 1PA and 2PA reports. TSLD will conduct Defence level trend analysis across sS 2PA and 3PA reports.

2.5.3 Guidance to support those conducting audits against the Defence Training Assurance Framework can be found at DTSM 6.

### 2.6 Mandated Elements of the Defence Training Assurance Framework

2.6.1 **The following elements must be reviewed and reported for all assurance activity regardless of the level of compliance found:**

- **1PA**. These elements can be checked via random sampling or an agreed selection with sS/TLB Assurance teams and key stakeholders. Reporting of compliance should have robust supporting evidence that demonstrates the effective implementation, management, and maintenance of these elements.

| Defence Training Assurance Framework (DTAF) | | | |
|---|---|---|---|
| *(Reference Numbers Cross-reference to DTAF serials in Annex A)* | | | |
| **Theme** | **Section** | **1PA Mandated Element** | **Example of Non-Conformity (NC)** |
| 1. Management of Training | 1.1 Authorisation of Training | 1.1.4 All training delivered must have a current and endorsed TrAD | No TrAD or CEB minutes/WG minutes that endorse the full authorisation of the training. |
| 2. DSAT Process and Documentation | 2.2. Training Design and Development | 2.2.1 Training is properly designed, and documentation is compliant with Defence Policy | Mandated DSAT documentation is missing or does not have an auditable trail from analysis through to assessment. |
| 2. DSAT Process and Documentation | 2.3 Delivery of Training | 2.3.1 Training Delivery is consistent with course content, iaw training practices, managed against identified risks and delivered iaw agreed timetable. | Observed training delivered is not consistent with LSpec for that activity. |
| 2. DSAT Process and Documentation | 2.4 Evaluation of Training | 2.4.1 Assessments must be valid, reliable and consistent in execution and management | Sampled assessments do not have any analysis of results and are not implemented in a controlled manner or a failure to apply policy is missing |
| 2. DSAT Process and Documentation | 2.4 Evaluation of Training | 2.4.3 Evaluation of training is current and provides formal feedback for internal validation, training design, and role analysis (InVal) | No robust InVal process is in place. InVal data is not utilised correctly or effectively to determine the efficiency or effectiveness of training. |
| 3. Personnel and Pipeline Management | 3.3 Support to Learners | 3.3.1 Care & Welfare in training (iaw Defence Care & Welfare Framework - Vol 4) | Self-Assessment against Care & Welfare has not been completed and submitted to TLB assurance rep. The Supervisory Care Directive does not demonstrate that risk to protected characteristics within the workforce has been addressed. |

Table 1: Mandated Elements for 1PA

- **2PA**. These mandated elements should be checked at every audit. 1PA reports must be reviewed, and the robustness of supporting evidence should be confirmed.
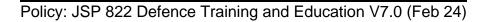
| **Defence Training Assurance Framework (DTAF)** |
| | *(Reference Numbers Cross-reference to DTAF serials in Annex A)* | | |
| **Theme** | **Section** | **2PA Mandated Element** | **Example of Non-Conformity (NC)** |
|---|---|---|---|
| 1. Management of Training | 1.2 Governance | 1.2.1 CEB must have clear oversight of number, length, phase, throughput, wastage of all courses annually and delivery (TP/distributed/franchised) & Urgent Capability Requirement requiring training. | No CEB or similar stakeholder group to manage the training CEB are not addressing all key areas in their TORs No RoDs/action grid and risk register. |
| 1. Management of Training | 1.2 Governance | 1.2.2 CEB must produce RoDs/action grid and risk register at least annually. | |
| 1. Management of Training | 1.3 Management of the Training System | 1.3.5 All distributed Training must have a governance & assurance structure clearly defined within the MTS. Distributed training must be consistent with the agreed training regardless of location and method with all associated risks identified and managed. | No governance or assurance identified for Distributed Training to ensure its consistency. No observation by TDA of delivered distributed training as part of TDA assurance. Delivery of distributed training is not consistent with agreed training. |
| 2. DSAT Process and Documentation | 2.4 Evaluation of Training | 2.4.2 ExVal must be completed for all individual training requirements[11]. Including a mechanism through which individuals can report training gaps and deficiencies e.g RN S3018 | No ExVal is completed or is not completed in accordance with TRA direction[12]. No regular communications with TRA and customer to discuss how training meets requirements. |
| 3. Personnel and Pipeline Management | 3.1 Personnel | 3.1.4 Maintain appropriate personnel records of education, training, skills and experience and security. | No records or significant gaps in records for training staff and trainee-facing personnel. |
| 3. Personnel and Pipeline Management | 3.3 Support to Learners | 3.3.1 Care & Welfare in training (iaw Defence Care & Welfare Framework - Volume 4). | Self-Assessment against Care & Welfare has not been completed and submitted to single Services. |

Table 2: Mandated Elements for 2PA

2.6.2 **Additional Elements to be Assured**. Assurance must sample across the DTAF and is therefore not limited to the mandated elements. Periodically the DTEAWG will issue a DIN[13] which details any additional mandated elements to be covered by assurance activity. Further elements can be included as necessary to meet local

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[11] Exval is a mandated DSAT assurance activity for ALL individual training requirements (JSP822 Vol 2)
[12] It is the responsibility of TRA to conduct ExVal. The TRA may employ an ExVal team for the planning, coordination and implementation of the ExVal and for the dissemination of the results (JSP 822 Vol 2)

[13] **DIN2022DIN07-149**

requirements or to support particular themes appropriate for a time or organisation e.g. audit of the implementation of new policy, introduction of new trg equipment/practice/course or a review after a change in TP.

## 2.7 Assurance of Collective Training

2.7.1 Whilst the principles of individual training assurance are applicable to Collective Training and can be used in the wider context to support collective training policy (e.g. NATO Standards), team processes and specific documentation, the design, delivery and assurance of collective training up to and including Tier 2 is a function of the lead sS, with Chief of Joint Operations (CJO) responsible for Tier 3 and DCDS Military Strategy and Operations (MSO) responsible for Tier 4. The elements of the framework can also be amended by each sS / assurance lead, in consultation with TSLD, for more effective application to the tier and structure of collective training conducted by them and requiring assurance. The framework is not suitable for validation or certification of collective training which is directed in Volume 3 and is to be agreed by the TRA.

## 2.8 2PA and 3PA Programme

2.8.1 All parties producing 2PA programmes covering Initial Training[14] within a TLB should submit their agreed programmes to DTEAWG Chair (TSLD H2A SO1) annually by 31 Dec to minimise and de-conflict the frequency of audits and inspections on Training Providers/organisations [15] . In addition to their 2PA programmes all parties should include, for all Initial Training establishments under their assurance remit, updated Ofsted Nominee lists and a clear breakdown of when 3PA should not be undertaken (Annual leave, trainee exercises away from assigned unit, Open Days, VVIP visits etc). Relevant external 3rd party inspection agencies (Ofsted) are provided with current programmes and relevant leave/exercise information to better coordinate 3rd party inspections and ease the inspection load on training.

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[14] Initial Training encompasses all Phase 1 and Phase 2 training.
[15] Likewise where additional 2PA is being carried out by assurance teams within HLB and/or BLB areas these must be cleared with the TLB assurance lead for deconfliction.

**AUDITOR ACCESS**

2.8.2    Information and documentation is to be made available in a timely and effective manner to auditors conducting agreed assurance activity. Access is to be provided to support preparation activities and during the audit and is subject to nominal security clearance[16].

**2.9    Reporting Assurance Activities**

2.9.1    Assurance reports should provide a clear record of the objectives, scope, findings and recommendations of the activity and must include comment on all mandated elements of the assurance activity.  It will be read and used by people who were not at the audit and have no other information about the audit.  Therefore, it is important that the report gives a balanced picture of the whole audit and not just the NCs found.  The audit team should compile and distribute the draft report within 4 weeks of the visit.  Once agreed by the team and signed off by the Lead Auditor, the report is sent to the main stakeholder to ensure that the report is factually accurate.  Once confirmed, the final report must be released to all key stakeholders (CEB chair or equivalent, representatives of TRA/TDA/TP, and all those actioned in the report).  2PA reports by TLB assurance teams should also be distributed to TSLD.

2.9.2    **Audit findings.** It is important that audit findings, regardless of the level of compliance found, are reported with supporting objective evidence. This evidence can be observational, documentary, verbal (if given by the person responsible for a particular activity) or it can be a product (eg training documentation). Where possible evidence should be triangulated and a root cause identified. Findings should be reported as either a 'non-conformity (NC)','observation (OBS).' or Good Practice (GP) and should be aligned with the 4 Safe System of Training pillars: Safe Equipment, Safe Person, Safe Place and Safe Practice[17] to enable better trend analysis and assist prioritisation.

2.9.3    **Definitions.**  Consistency between 1PA and 2PA reporting enables Defence to assess trends both within and across the single service commands, triangulating it with other evidence and data to understand whether greater scrutiny is required. Consistent use of audit language using common and coherent definitions across 1PA and 2PA enables this.

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[16] This may be escorted or supervised access but should include all/any elements requested by the assurance team.
[17] Further information on Safe System of Training can be found in JSP 822, Volume 1.

|  | 1PA | 2PA |
|---|---|---|
| **Non-Conformity** | No demonstrable evidence of compliance with one or more of the mandated elements within the Defence Training Assurance Framework. | No demonstrable evidence of compliance with one or more of the mandated elements within the Defence Training Assurance Framework and / or those mandated elements contained within current individual training policy directives. |
| **Observation** | A level of compliance is evident but additional action is required. | A level of compliance is evident but additional action is required. Non-conformities could develop if timely action to mitigate identified training / care and welfare risks is not taken. Opportunities exist to develop areas of good practice. |
| **Good Practice** | The level of compliance to DTAF is such that it encourages CI and innovative practice. | Clear evidence exists of compliance to the DTAF. Evidence is indicative of a culture that encourages CI and encompasses areas of innovative practice that should be considered for wider adoption. |

2.9.4 **Non-conformity.** A NC is where clear evidence exists to show that there is a failure to comply with one or more of the elements of mandated individual training policy. For example within the DTAF[18]:

- No TrAD or CEB minutes/WG minutes that endorse the full authorisation of the training.

- Delivery of distributed training is not consistent with agreed training.

- EOs do not fully meet the Training Objective (TO) they are supporting.

- Care & Welfare provision is not assessed against the Care & Welfare Framework (Volume 4).

2.9.5 **Observation.** Where compliance with the framework is evident, but additional action is required e.g. where a course has training deficiencies reported but there is no confirmed rectification plan. OBS can be significant enough to lead to NCs if not addressed in a timely manner and this should be reported with a similar level of

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[18] Please refer to the full Defence Training Assurance Framework at Annex A for all elements, these are examples and not exhaustive list.

evidence as a NC. Likewise, where OBS represent opportunities to develop areas of GP or where the possibilities to reduce risks to ALARP are overlooked, appropriate comments should also be made.

2.9.6 **Good Practice**. Where good practice in a particular activity is observed[19] (e.g. a unit may have developed a novel way of collating routine course feedback) auditors must identify these with the same diligence as they would look for NCs. The identification of GP is key to feeding back to the audited unit where areas of success have been seen, identifying, and supporting a CI culture and providing evidence of practices and procedures that may have wider applicability across Defence.

2.9.7 **Recommendations.** Often during the identification and associated root cause analysis of NCs and OBS it is possible for the auditor, in conjunction with those involved in the audit, to identify a suitable course of action to remedy or secure current practice. Where appropriate, and not withstanding that the chosen course of action lies with the commander of the audited organisation, recommendations from the auditor should be made to assist the audited organisation in compiling an action plan.

## 2.10 Assurance Activity Follow up and Action

2.10.1 In order that an assurance activity is worthwhile and brings about CI, corrective action for all audit findings is required and recommendations must be addressed. The lead audited organisation should provide an action plan outlining how any recommendations or NCs and OBS will be addressed. The action plan should be confirmed with the auditor and have realistic and achievable timeframes. The action plan should form part of a wider Quality Improvement Action Plan (QIAP).

2.10.2 A formal follow-up should be conducted within 1 3 to 6 months to provide further feedback on the action plan produced by the lead audited organisation. A follow-up report should be generated. Once satisfied that the main stakeholder has concluded all follow up actions and addressed the NCs and OBS assigned to them in the action plan the lead auditor should issue a closedown report to the lead audited organisation. All NCs and OBS assigned to other organisations that remain open should continue to be tracked by the assurance team. The auditor/assurance team should continue to support the main stakeholder to help ensure that the assurance process remains at the heart of a CI philosophy and is regularly informed by external Defence training assurance specialists.

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[19] For 2PA, 'Good Practice' should be reported as a separate occurrence to an observation.

### 2.11  Roles of the Auditor

2.11.1 The auditor can be employed in many roles, depending on the type of audit that is being conducted and the culture of the main stakeholder/Training Provider/organisation. When checking against the Defence Training Assurance Framework the auditor's role is to measure the extent to which Defence's policies are being implemented. Having identified NCs, the auditor should discuss possible corrective actions with the appropriate authority, and having suggested change, the auditor may also have a responsibility to advise on the implementation of their recommendations. Finally, the auditor is often an interface between many of the stakeholders in the Training System being audited.

2.11.2 **Authority of Auditors to stop training**.  Assurance activity must examine the risk to trainees and staff during the delivery of Defence education and training, and in the transfer of skills to the job role. TLBs should ensure that auditors are empowered to stop training immediately where a significant and imminent risk to life is identified during training delivery, and/or where training shortfalls introduce risk that is not tolerable. Training stopped in this fashion may not recommence until the TRA and TDA have assessed the risk and determined that any necessary recovery plan has been successful.  All risks identified by assurance activity are to be recorded by the appropriate Customer Executive Board (CEB) and managed through the CEB process.

2.11.3 Further audit guidance is provided in DTSM 6.

## 3   Annexes

A.  Defence Training Assurance Framework (DTAF)

**Volume 5: Assurance of Training in Defence**
Volume version 3.0 (Feb 24)

| 1. Management of Training | | | | |
|---|---|---|---|---|
| **1.1 Authorisation of Training** | | **1.2 Governance (Customer Executive Board)** | | |
| The assurance of authorisation of all training under design, development, or delivery. | | The assurance of structured and recorded Governance of training is facilitated between all involved stakeholders including but not limited to the CEB. | | |
| 1.1.1 | All training must have a TRA (distinct from the TDA). | 1.2.1 | CEB must have clear oversight of number, length, phase, throughput, wastage of all courses annually, and delivery (TP/distributed/franchised) & UCR requiring training. | |
| 1.1.2 | All training managed/recorded & signed/agreed by TRA/TDA/TP. | 1.2.2 | CEB must produce RoDs/action grid and risk register for every meeting which must occur at least annually. | |
| 1.1.3 | A Lead TRA must be appointed for joint training, must take account of the requirements of the individual TRAs and prioritise iaw with Defence needs. | 1.2.3 | Management of Risk (incl explicit mention of all courses | |
| 1.1.4 | All training delivered must have a current and endorsed TrAD | 1.2.4 | Agreement and signature of TrADs, SOTR/SOTT, new and changed requirements must be recorded. | |
| 1.1.5 | TrAD must be reviewed (not exceeding 5 years), and (re-)endorsed (inc major change) via CEB | 1.2.5 | Attendance must include representatives from all elements of TRAs/TDAs & TPs and applicable contractors and national governing bodies if possible. | |
| 1.1.6 | Authorisation for accreditation of training must be confirmed on the TrAD. | | | |
| **1.3 Management of Training System** | | **1.4 Joint/Contractual Arrangements** | | |
| The assurance of a structured and controlled Management of Training System which facilitates the documented development and maintenance of training | | The assurance of any contracted elements of training are facilitated in accordance with Defence Training Policy and direction. | | |
| 1.3.1 | MTS must direct management, governance and assurance activities mandated by policy | 1.4.1 | Clear contract/MOU, outlining expectations and responsibility relating to any element of Training with roles and responsibilities of each organisation clearly articulated. | |
| 1.3.2 | MTS is established, documented, implemented, and maintained (reviewed/updated every 3 years) incl TQM. | 1.4.2 | Change management controls should be in place for new training requirements, revisions, and updates to existing training. | |
| 1.3.3 | Methods to improve effectiveness of MTS through management review e.g., quality policy, audit results, corrective and preventative actions. | 1.4.3 | New contracts, or those undergoing significant contract amend only, must reflect changes of terminology in this JSP. | |
| 1.3.4 | Any variance from the MTS must remain DSAT compliant with any exceptions having auditable trail (comply or explain). | 1.4.4 | Commercial advice must be sought before beginning the process of contracting out DSAT activities, SC leads for training development should provide SME advice. | |
| 1.3.5 | All Distributed Training must have a governance & assurance structure clearly defined within the MTS. | 1.4.5 | Quality management system of contractor. | |
| 1.3.6 | MTS must provide sufficient/adequate staffing and resources for training activities (including training support). | 1.4.6 | All commercial courses to be governed by the CEB | |

## 2. DSAT Process and Documentation

| 2.1 Training Needs Analysis | | 2.2 Training Design and Development | |
|---|---|---|---|
| The Assurance of the Training Needs Analysis and subsequent Training Requirements are recorded and auditable. | | The Assurance of the Design & Development of Training including process, authorisation, currency and maintenance. | |
| 2.1.1 | The requirement for new or amended training must be examined | 2.2.1 | Training is properly designed, and documentation is compliant with Defence Policy |
| 2.1.2 | Trg requirement must be recorded and approved by TRA, TDA & TP and capability sponsor. | 2.2.2 | Trg and its design is reviewed, and changes are verified, validated, approved and communicated |
| 2.1.3 | TNA should be governed by a dedicated Steering Group representing all stakeholders. | 2.2.3 | Assessments designed and established to provide verifiable results or quantitative evidence the trained output is achieved. |
| 2.1.4 | Trg Req Documentation must be reviewed and updated as necessary and evidenced iaw Defence Policy. | 2.2.4 | Training in the FTS must be agreed and clearly articulated how all parts will be managed and governed and risks captured where gaps exist. |
| 2.1.5 | Through life funding of recommended training solution exists. | 2.2.5 | Robust Training must be designed to deliver against the Role PS and must be conducted consistently and resourced appropriately. |
| | | 2.2.6 | New courses must be piloted and reported to the CEB prior to acceptance as agreed training. |
| **2.3 Delivery of Training** | | **2.4 Evaluation of Training** | |
| The Assurance of the Training Delivery including Online and Distributed Training | | The Assurance of the Evaluation of training incl assessment of training, InVal and ExVal. | |
| 2.3.1 | Training Delivery is consistent with course content and iaw training practices and delivered iaw with agreed timetable. | 2.4.1 | Assessments must be valid, reliable, and consistent in execution and management. |
| 2.3.2 | Completion of training by individuals, inc competencies, nominal rolls and Training Deficiencies recorded. | 2.4.2 | ExVal must be completed for all courses. Inc an ability for individual to report training issues via S3018 or similar |
| 2.3.3 | Training must be delivered iaw approved, accurate and fit for purpose documentation (which is available to training staff) & includes Risk Assessments. | 2.4.3 | Evaluation of training is current and provides formal feedback for internal validation, training design, and role analysis (InVal). |
| 2.3.4 | All courses delivered on the DLE must be delivered iaw TEL ruleset (12 principle by Gov which facilities funding). | 2.4.4 | Conduct effective recording, tracking, and reporting of learner performance, and ensure data protection iaw the Data Protection Act 1998 |
| 2.3.5 | Distributed training must be consistent with the agreed training regardless of location and method | 2.4.5 | Feedback to trainee following assessments is timely and evidence based |
| 2.3.6 | Robust Training events must be delivered in accordance with the Defence Policy and in a safe, controlled and appropriately governed manner. | 2.4.6 | Evidence of evaluation data is used to drive change/improvement |

| 3. Personnel and Pipeline Management | | | |
|---|---|---|---|
| **3.1 Personnel** | | **3.2 Pipeline Management** | |
| The Assurance of education, training, skills and experience, and Continued Professional Development of Personnel. | | The Assurance of management of trainees to support pipelines and workforce generation. | |
| 3.1.1 | The necessary competence/requirements for all personnel performing work affecting the management, analysis, design & development, delivery, and evaluation of training are recorded (e.g.TORs). | 3.2.1 | Management of trainees held by unit but not engaged in formal programmed time for periods of 1 week or greater (holdovers). |
| 3.1.2 | Provide training or take other actions necessary to satisfy these needs (formal courses, recognition of exiting quals etc, assessments). | 3.2.2 | Remedial or developmental training for trainees who have been removed from training (back classed) due to injury or failure. |
| 3.1.3 | Provide Continuous Professional Development. | 3.2.3 | Monitoring and reporting of wastage rates to TRA/CEB (regardless of reason). |
| 3.1.4 | Maintain appropriate personnel records of education, training, skills, experience, safeguarding and security. | 3.2.4 | Communication between training unit and recruiting/subsequent/parent/ unit regarding trainees and associated issues. |
| 3.1.5 | Sufficient staffing to support output, including but not limited to hard and soft gapping. | | |
| **3.3 Support to Learners** | | **3.4 Accreditation** | |
| The Assurance of education, training, and care and welfare to support learners. | | The Assurance of Defence training to meet accreditation schemes | |
| 3.3.1 | Care & Welfare in training (iaw Defence Care & Welfare Framework - Vol 4) | 3.4.1 | Approval of new accreditation schemes via TSLD PAG |
| | | 3.4.2 | External assurance of elements of training underpinned by accreditation by awarding body/organisation |
| 3.3.2 | Learners with Specific Learning Differences (SpLD) are supported throughout training | 3.4.3 | Effective recording, tracking, and reporting of learner performance, and ensure data protection iaw the Data Protection Act 1998 to awarding body/organisation. |
| 3.3.3 | Provision of functional skills within apprenticeship programmes is iaw policy | 3.4.4 | Support to accreditation schemes to provide/maintain sufficient staffing levels, structures, and resources to provide an effective accreditation service prior to commencement |
| 3.3.4 | Meaningful training, education or employment is provided during Holdover or unprogrammed time. | 3.4.5 | There must be adequate support to the learner at all stages of the accreditation scheme. |
| 3.3.5 | Annual/mandated training & wider education (including but not limited to wellbeing/Prevent/nutrition) is provided | 3.4.6 | Accreditation schemes must follow the Defence policy. |

## 4    Document Information

### 4.1    Document Coverage

This Policy supersedes all previous MOD Policy on Assurance of Training in Defence.

### 4.2    Document Information

| | |
|---|---|
| Filename: | Assurance of Training in Defence Policy |
| Document ID: | JSP 822, Volume 5 |
| Owning Function / Team: | Talent, Skills, Learning and Development (TSLD) |
| Service Owner (1*): | People-TSLD-Hd OF6 |
| Approving Authority: | 1* TSLD Policy Assurance Group (TSLD PAG) |

### 4.3    Document Versions

| Version | Pub. Date | Revised pages |
|:---:|:---:|:---:|
| 3.0 | February 2024 | Press here |
| 2.0 | October 2023 | Press here |
| 1.0 | September 2022 | Press here |

MOD will formally review this Policy in three years, or when changes to legislation or best practice dictates.

## 5 Applicability

The policy contained in this Volume applies to the Whole Force which encompasses Regular and Reserve personnel[20], MOD Civil Servants, and civilians, including the Ministry of Defence Police and contractors. It is noted that training sourced through the pan-Governmental 'Civil Service Learning / Government Campus' is not subject to the policies in this document. Any other Civil Service training must be compliant with the policies in this document.

The policy in this document does not apply to training deemed 'Informal' or 'On-the-Job'.

Organisational Learning is captured under the Defence Organisational Learning Strategy (DOLS) Framework owned by Joint Warfare in UKStratCom and is not within the scope of JSP 822.

## 6 Diversity and Inclusion

MOD respects and values people of all backgrounds. The Assurance of Training in Defence policy is designed to ensure all employees are treated in a fair, transparent, and consistent manner. All those involved in the management of MOD employees must abide by legislation and should adhere to MOD policy.

For more information on diversity and inclusion, please see the MOD Diversity & Inclusion Pages on MODnet.

This policy has been subject to an Equality Impact Assessment (EA).

| Document | Date | Owner |
|---|---|---|
| Equality Assessment | 05/02/2024 | People-TSLD-Trg Policy HEO |

## 7 Glossary

The Glossary of Definitions, Terms and Acronyms can be found on the Defence Training and Education Policy and Guidance Sharepoint site.

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[20] This includes UTCs, and military personnel (Regular & FTRS) that instruct Cadets and CFAVs. This does not include non-military personnel that instruct Cadets and CFAVs.