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JSP 822

Part 3: Chapter 3

Training Management Policy

The Assurance of Individual Training and Education



Training Education Skills and Resettlement Division

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INTRODUCTION

1. The purpose of evaluation, inspection and audit of individual training and education is to: ensure the quality of delivery and content; verify that the output matches the customers' requirement; and confirm adherence to endorsed policy. In the context of Defence Individual Training and Education, the terms evaluation, inspection and audit are often used interchangeably even though they have precise meanings and application. This has inevitably led to confusion over the roles and responsibilities of single Service and Defence organisations involved in these processes. Evaluation, inspection and audit can be grouped together under one overarching term, "assurance", which will be used as the generic term to describe these activities for the remainder of this policy.

AIM

2. The aim of this chapter is to outline the policy framework for providing assurance to Defence of its Individual Training and Education.

SCOPE

3. This chapter applies to all Individual Training and Education delivered across Defence to Regular and Reserve Forces, and MOD Civil Servants, whether delivered from within the MOD or by a Contractor. Individual Education includes that which provides the knowledge and understanding that underpins individual training; develops ethos; and expands cognitive skills as part of career development. This policy does not include assurance of any elective education or that associated with resettlement.

DEFINITIONS

4. For the purpose of this chapter, the following definitions will be used, with their relationship illustrated in Figure 1:

a. **Assurance.** Assurance activities provide confidence to the Chain of Command that Individual Training and Education across Defence is conducted such that:

(1) Key stakeholders, at all levels, are satisfied that the learning is effective and it meets the operational/business requirement.

(2) It is conducted in accordance with endorsed Defence and single Service Individual Training and Education policies.

(3) It meets the Department's care and welfare obligations.

(4) Where appropriate, it meets the requirements of UK legislation and other national standards.

(5) A culture of Continuous Improvement facilitated by regular self assessment exists in all Defence individual training establishments.

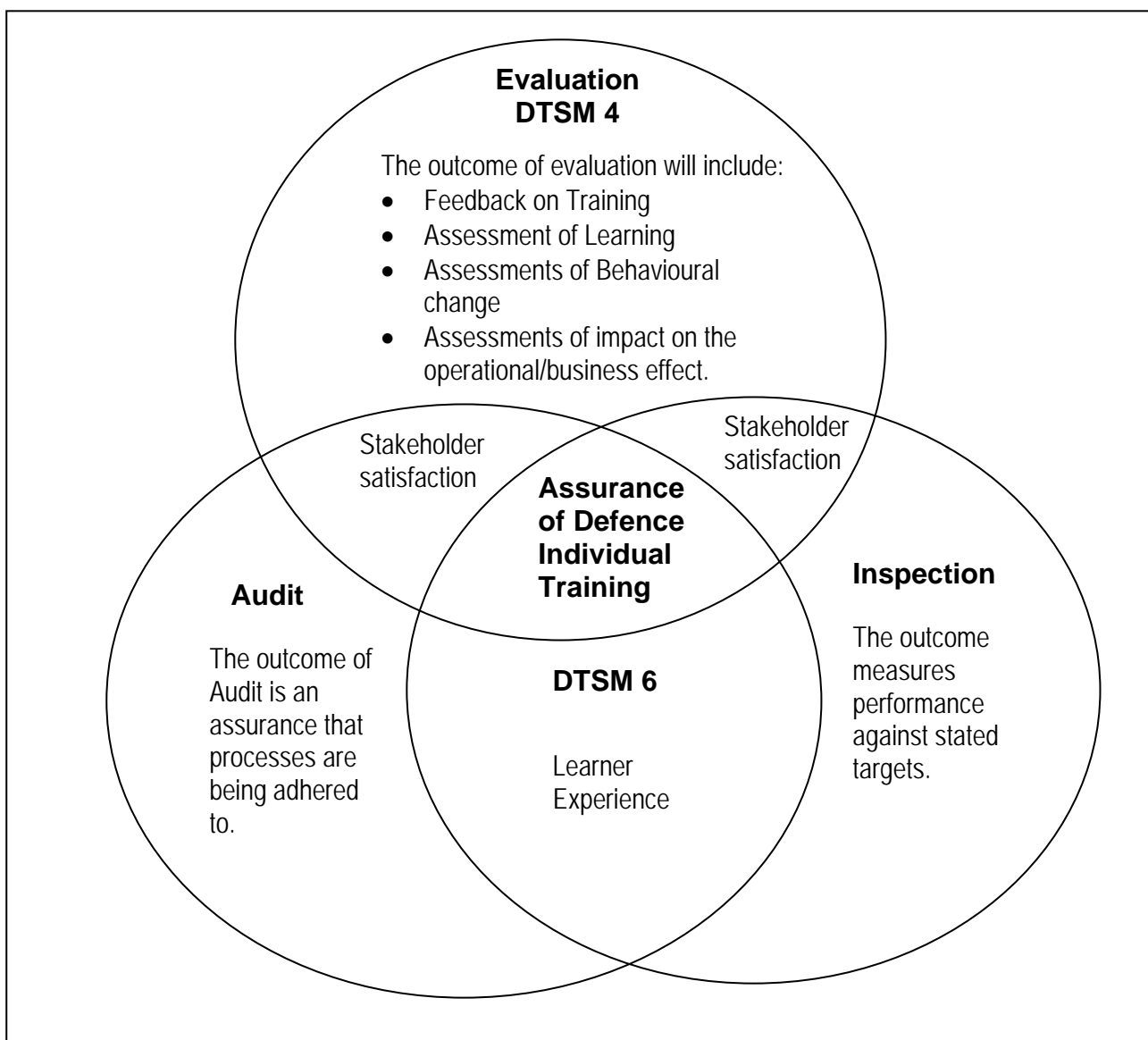
b. Assurance activities comprise:

(1) **Evaluation.** Evaluation is the process of making a judgement as to the worth or value of training and education. It examines the impact of training and education policies, assessing what has been achieved, the effectiveness of the policies and whether this has contributed to the achievement of goals and targets. A specific subset of evaluation is the process of validation, which examines whether or not the processes and products of training meet Defence/single Service requirements. Validation is divided into Internal Validation¹ (InVal) and External Validation² (ExVal).

(2) **Inspection.** Inspection is a formal examination or review of training performance and outputs to determine adherence with regulations, assess effectiveness and to ensure fitness for purpose.

(3) **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 set assessment criteria³.

Figure 1 – The Assurance Relationship



¹ Conducted by the training organisation.

² Conducted by the Training Requirements Authority (TRA).

³ Such as those laid out in the Defence Systems Approach to Training Quality Standard (DSAT QS).

5. Assurance activities take place at a number of different levels as follows:

a. **First Party.** Assurance activity conducted on all parts of the DSAT cycle (whether the responsibility of the TRA or TDA) for internal purposes⁴, which can form the basis of an organisation's self-declaration of conformity and provide the basis for continuous improvement:

(1) Continuous Improvement is defined as recurring assurance activities that contribute to identifying improvements in the effectiveness and efficiency of individual training.

(2) Self-Assessment is defined as the methodologies⁵ to review the processes, learning environment and management systems an organisation utilises to meet the requirements of all its stakeholders.⁶ Consequently the organisation should articulate its findings and plan accordingly to address areas of the organisation requiring development.

Examples of such activity are first party audits against the DSAT QS and self-assessment activities such as peer review⁷.

b. **Second Party.** Assurance activity conducted by, or on behalf of, parties having an interest in the training organisation, including the Training Delivery Authority (TDA)⁸, customers and higher authorities and the Directorate of Individual Training Capability (DITC) inspections. Examples of such activities are the Defence second party audits against the DSAT QS, Common Inspection Framework (CIF) Key Questions and care and welfare provision.

c. **Third Party.** Assurance activity conducted by external organisations. Examples being the Ofsted inspections examining care and welfare and Skills Funding Agency provision.

6. **Evaluation.** Across Defence the resources to conduct detailed and targeted evaluations of specific areas of individual training and education are limited. Therefore, it is usual that a more detailed evaluation is undertaken only when there is an indication from InVal, ExVal or some other source that there is an issue that requires specific examination. Note that InVal and ExVal are considered to be 1st and 2nd party activity respectively and

⁴ i.e. all aspects of the SAT process for which the TRA or TDA is responsible, (e.g. JA, SOTR and ExVal for TRA; training design, development, delivery and InVal for TDA). This includes audits conducted by different parts of the *same* organisation (e.g. different Schools within a College).

⁵ Self Assessment and Quality Improvement Planning (QIP) are examples of such methodologies through which continuous improvement is delivered. It provides a comprehensive framework for looking at the business of training, working out how to do it better, implementing the necessary changes and measuring the improvement.

⁶ More detail information on the self-assessment process can be found in the Inspection Toolkit on the Ofsted Internet Website: www.ofsted.gov.uk/Ofsted-home/Forms-and-guidance/Education-and-skills/Learning-and-skills/Toolkit-contents.

⁷ Details of Service specific direction on self-assessment and activities such as peer review can be found on the DITC site via the Defence Intranet.

⁸ 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.

are conducted in JSP 822 Pt 5 Ch 4. InVal is owned by the TDA and ExVal by the TRA. The process for the evaluation of Individual Training (including the conduct of InVal and ExVal), is directed in JSP 822, Part 5, Chapter 4. The Customer Executive Board (CEB) or equivalent is to maintain an analysis of any trends from InVal and the results of an ExVal and react to them as appropriate.

7. **Audit.** In the Defence Individual Training and Education environment, audit is conducted against the requirements of the DSAT QS.

a. **First Party Audit.**⁹ The DSAT QS requires all parts of the training organisation (whether within the TRA or TDA) to have a Management of Training System (MTS) that covers the scope of their responsibilities within the DSAT process; these responsibilities are detailed in JSP 822, Part 3, Chapter 2, Annex A. First party audit is conducted to provide their Chain of Command with internal assurance that the training and related activity conducted by the organisation is done in accordance with the DSAT QS and that improvements identified by this process are implemented. Guidance on the conduct of first party audit is contained in DTSM 6.

b. **Second Party Audit.** Second party audits against the requirements of DSAT QS are carried out by, or on behalf of, parties having an interest in the training organisation¹⁰. Second party training audits are conducted in accordance with JSP 822 Pt 5 Ch 6. The report of a second party audit is to be directed to the chair of the CEB or equivalent to determine who is responsible for taking any actions arising and for oversight that such actions have been completed satisfactorily.

c. **Third Party Audits.** Third party audits are conducted by organisations independent of the MOD. The DSAT QS is certified and registered as a private standard with the BSI.

8. **Inspection.** As a publicly funded department, Defence training may be subject to internal and external scrutiny. The following inspection activities are undertaken:

a. Directorate of Individual Training Capability (DITC). DITC conducts a continuing programme of assurance inspections and evaluations in accordance with the care and welfare requirements¹¹. DITC is responsible to Hd TESR, then to DTE and finally DCDS(Pers & Trg). Details of the endorsed DITC role are at Annex A.

b. Care and Welfare Inspections. In March 2008, Ofsted was appointed by the Minister of State for the Armed Forces to continue independent external inspections of training¹². The Memorandum of Understanding (MoU) outlines the agreed methodology for the Ofsted inspections concentrating on issues of care and welfare support and examination of the self-assessment process. For such inspections the

⁹ Sometimes known as internal audit.

¹⁰ 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.

¹¹ That principally came about from the DHALI/Blake (Directorate of Op Capability; House of Commons Defence Committee; Adult Learning Inspectorate/Nicholas Blake QC) Reports.

¹² MOU signed by MIN AF and Director Learning and Skills, 19 March 2008

CIF is to be used¹³. In addition, single Services may wish to conduct their own second party inspections and, for convenience, these may be conducted concurrently with second party audits. Reports of these inspections are to be sent to the TDA for appropriate action. An overview of the CIF and supporting detail can be found on the Ofsted website and JSP 822, Part 5, Chapter 6, contains sample CIF questions cross referenced with the respective DSAT QS clauses.

c. Skills Funding Agency (SFA) Inspections. All Services draw down funding from the SFA, to fund work based learning provision that leads to nationally recognised qualifications such as Apprenticeships. The SFA is required to have quality assured¹⁴ the work based learning for which its funding is drawn down. These third party Inspections are carried out utilising the CIF and the Framework for Excellence (FfE)¹⁵ and reports are sent to Service Directors of Education (or equivalent), who draw down the SFA funding, for appropriate action.

d. Inspection by other national governing bodies. This applies to some training carried out with the Department (e.g. adventurous training, medical, accountancy), where external bodies are responsible for the content of courses, qualification of staff and assessment standards.

ASSURANCE OF CONTRACTED OUT TRAINING DELIVERY OR PRODUCTS (E.G. TNA)

9. Any training delivery or other training products delivered by an external contractor are to be subject to the same assurance activity detailed in this policy as those delivered internally. The MOD authority responsible for contracting out training or training products is to ensure such arrangements are provided for within the Contract and the MOD Authority subsequently response for accepting the products being delivered by a contractor are to ensure that they are part of relevant assurance activity, noting that many providers will be subject to their own systems of assurance (e.g. Quality Assurance Agency for Universities) that may fulfil part of this remit.

TRAINING OF ASSURANCE STAFF

10. Training to support the conduct of assurance activities is provided to Defence personnel by the Defence Centre of Training Support (DCTS). This training is provided to support InVal and ExVal, first and second¹⁶ party auditing, and second party lead auditor¹⁷ training.

ROLES AND RESPONSIBILITIES

11. **TESR**. TESR are responsible for:

¹³ Details of the CIF and inspection methodology can be found in the Ofsted publication – [OfSTED's Common Inspection Framework for Further Education and Skills 2009 and its related handbook](#).

¹⁴ This policy does not cover the requirement to have in place financial assurance of the funding drawn down from the National Employment Service.

¹⁵ From 2009. Details of the FfE can be found on the Skills Funding Agency website.

¹⁶ After being trained, second party auditors are to shadow an experienced auditor on an audit, before carrying out an audit as a qualified audit team member.

¹⁷ Lead auditors must have carried out at least one audit as a qualified team member before assuming the role of lead auditor on a future audit.

- a. Provide Chair and Secretariat for the Defence Individual Training Assurance Group (DITAG).
- b. Collating information from and the results of second (not ExVal) and third party assurance activities.

12. **DITAG.** Accountable to the Training & Education Policy Group (TEPG), the DITAG is responsible for:

- a. The working level focal point for matters relating to the assurance of Defence Individual Training and Education policies.
- b. Analysis of outputs from second (but not ExVal) and third party assurance activities in order to identify and address significant issues which have implications across Defence.
- c. Maintenance of JSP 822, Part 5, Chapters 4 and 6 (Evaluation of Training & 1st/2nd Party Audit DTSMs).
- d. Identifying the Lead Auditor for Defence second party audits of Defence Training Establishments/Schools.¹⁸

The ToRs for the DITAG are at Annex B.

13. **Role of Single Services/TLBs.** Single Services/TLBs are responsible for:

- a. Having in place mechanisms, through the ongoing conduct of assurance activities, to assure the TEPG, through the DITAG, that endorsed Individual Training and Education policies have been implemented in that single Service/TLB.
- b. Conducting second party assurance activities (including ExVal) of single Service/single TLB training establishments.
- c. Provision of team members to second party audits of Defence Training Establishments.

14. **Role of Organisations responsible for aspects of the DSAT Cycle.** All Organisations (TRA and TDA) involved with the management and delivery of training are responsible for the conduct of first party assurance activities.

¹⁸ The Lead Auditor for second party assurance may be drawn from TESR staff, TDAs, or the single Services. His/her identity will be determined by the nature of the Defence Training Establishment/School to be audited. The audit team members will be drawn from single Service resources under the auspices of the DITAG.

Chapter 3

Annex A: The Directorate of Individual Training Capability (DITC) Role

BACKGROUND

1. The DITC role was originally endorsed by the DTR report¹⁹ which stated that DGTE will be supported by a central capability to ensure centrally set defence individual training and education standards are being met. The DITC will provide this capability through a continuous programme of assurance activities and by conducting discrete studies as necessary.

STUDIES

2. The need for a study into an aspect of Defence individual training or education may arise from any source, including:

- a. Single-Service audits and/or requests
- b. External studies or inspections, including Directorate of Operational Capability, House of Commons Defence Committee and Ofsted.
- c. Issues identified within the TEPG, Service Personnel Board (SPB) and Vice Chief of the Defence Staff's (VCDS) direction.

3. Having established the need, Director ITC will agree study TORs with the relevant stakeholders. Progress will be reported through the TEPG and/or any temporary fora established for the purposes of the study.

ASSURANCE ACTIVITIES

4. DITC will conduct a continuing programme of assurance activities to assess departmental policy development through to implementation by single Service and Defence training organisations, to establish whether correct and consistent outcomes are being achieved. All aspects of the training process fall within the DITC ambit and the DITC will draw on a range of assurance methods and techniques to achieve its aim. Visits to individual training establishments will be arranged through the relevant TDA and de-conflicted through the Defence Individual Training Assurance Group (DITAG). If a need for an un-announced visit is identified, it will be cleared, in advance, with the relevant TDA.

5. Results will be reported to the subject establishment and its HQ in the first instance, with any relevant information/trends to be communicated, subsequently, to the DGTE led DITAG or the appropriate policy forum, to ensure wider dissemination of good practice.

GOVERNANCE

6. The Director ITC is accountable to, and tasked by, the DGT&E who will promulgate a 6 monthly work programme following relevant consultation. Proposals for DITC studies may be submitted to Director ITC at any time.

¹⁹ Modernising Defence Training.

Chapter 3

Annex B: Terms of Reference for the Defence Individual Training Assurance Group (DITAG)

PURPOSE

1. The purpose of the Defence Individual Training Assurance Group²⁰ (DITAG) is to act as the Defence focal point for matters relating to the Assurance of Defence Individual Training and Education.

ACCOUNTABILITY

2. The Chair of the DITAG is accountable to the TEPG through Hd TESR.

MEMBERSHIP

3.

TESR CO DCTS/DDITC	Chairman
FLEET FOST DACOS TA	
CGS Deputy Army Inspector	
LF DTrgA Trg Dev AD	
22 (Trg) Gp SO1 Trg Policy and Assurance	
TESR DCTS SO1 Assurance & Franchise	
TESR Coherence C1	
TESR DCTS SO2 Assurance & Franchise	Sec

If required and receive agendas and RoDs:

DISC SO1 TPMD
JMC DMSTG DMTDW COS

SPECIFIC TASKS

4. Specific tasks include:
- To act as the working level focal point for matters relating to the assurance of Defence Individual Training and Education.
 - Following collation by TESR of second (but not ExVal) and third party assurance activities, analysis of information in order to determine and then spread good practice.
 - Identify policy issues arising from assurance activity, in order to make recommendations for resolution or policy development as appropriate.
 - Act as the editorial board for JSP 822 Pt 5 Ch 4 – The Evaluation of Training.

²⁰ The DITAG replaces and supersedes the Defence Audit Co-ordination Committee.

e. Act as the editorial board for JSP 822 Pt 5 Ch 6 – First and Second Party Audit of Defence Individual Training.

f. Develop, coordinate and de-conflict the Defence second and third party training assurance programme. The routine planning of assurance activity will take place according to the following hierarchy, observing a minimum three month gap²¹ between visits to the same unit.

- (1) The 2 year rolling programme of Defence Training Establishment DSAT audits.
- (2) The DITC visit programme - published 12 months in advance.
- (3) Single Service assurance programmes.

AUTHORITY

5. The DITAG is authorised to liaise with other MOD departments and Service Establishments in pursuance of its primary purpose.

FREQUENCY OF MEETINGS

6. The DITAG will meet at approximately 4 monthly intervals or at the discretion of the Chairman, as required.

²¹ Where possible, DITAG members will seek to achieve a 12 month gap between visits to the same unit.