



**Ministry
of Defence**

**JSP 822
Defence Direction and Guidance for Training and
Education**

Volume 5: Assurance of Training in Defence

Preface

How to use this Volume

1. JSP 822, Volume 5 sets out Defence Policy Direction and Guidance on the Assurance of Training in Defence¹. The volume contains the majority of Defence Learning and Development policies for the Assurance of Training in Defence; where Defence policy sits outside of Volume 5, it is clearly referenced throughout the volume, and in the Coherence section at Para 5 of Volume 1.

2. The volume is made up of Direction and Guidance:

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

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

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

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

b. **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.

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

4. JSP 822 is the authoritative policy that directs and guides Defence people to ensure that learning (training and education) in Defence 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 prior to JSP 822 and the TSLD Training Policy Team that manages JSP 822.

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 Ch 4 of JSP 755

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1 The Defence Learning Framework (DLF)

1. The DLF develops the Defence People Strategy's direction to maximise the talent of Defence People, providing a high-level framework encompassing the span of Defence individual and collective learning. The DLF provides key principles across ten component areas, covering all aspects of the Defence Learning Ecosystem. Detailed information on the DLF can be found in Volume 1.

Vision: Defence enables Joint Operational excellence through high quality learning that maximises the use of all the talent available to Defence.									
Mission: To enable the competent, efficient and effective delivery of UK Defence Strategic Objectives by FE@R through the provision of high quality, timely and relevant learning to Defence People.									
Key Components of Defence Learning									
Learning Governance:	Learning Design:	Learning Delivery:	Learning Environment:	Learning Culture:	Individual Skills Development (Professional):	Individual Skills Development (Personal):	Collective Skills Development:	Partnerships:	Learning Futures:
Effective governance structures exist with defined responsibilities and robust H2A mechanisms.	The DSAT QMS and DSAT policy and processes are applied effectively to all Defence Learning.	Modern, flexible learning delivery methods are employed to meet Defence and learner needs.	Modern learning environments and technologies engage the learner in achieving high quality learning outcomes.	A positive, proactive approach to Through Life Development (TLD) pan-Defence is embedded across the workforce	Identification, acquisition and recording of Defence Professional Skills is enabled & embedded pan-Defence.	Defence people are encouraged and enabled to attain personal Skills that maximise their talent (KSE-B)	Deliberate and targeted learning occurs that develops team effectiveness and operational capability.	Strong strategic, operational and tactical partnerships are nurtured to maximise Defence Learning outcomes and benefits.	Research, experimentation and innovation drives continuous improvement in Defence Learning.
Principles of Defence Learning									
1. Effective structures and responsibilities are implemented.	1. Learning meets documented requirements and supports the attainment of Skills.	1. Evidence-based methods are employed to achieve learning outcomes.	1. Physical and virtual learning environments are safe, engaging and accessible high-quality places.	1. Positive attitudes to learning are demonstrated at all levels of Defence.	1. WF Skills are captured and recorded in a single pan-Defence repository.	1. A personalised learning pathway, a Skills Passport, and coaching and mentoring provision is available for all.	1. Collective Training is focussed on the development of teamwork capabilities.	1. Collaboration with PAGs, UK Defence Allies and external organisations is harnessed to improve learning outcomes for the benefit of Defence.	1. Lesson exploitation and horizon scanning identifies opportunities and priorities for learning research.
2. Functional and Capability Sponsors are involved from the outset.	2. DSAT Analysis, Design & Evaluation functions are implemented.	2. Experiential Learning is integrated into the workplace.	2. Learning technology capabilities are developed iteratively in an 'evergreen' approach.	2. WF have the opportunity and support to undertake purposeful learning.	2. Defence Skills records are utilised to:	2. Individuals 'own' and 'value' their personal learning journey, supported with access to learning, qualifications, time and resources.	2. Methods and tools are used to accurately measure and assess teamwork capabilities and skills.	2. Collaboration with DfE influences Government learning policy for the benefit of Defence and its WF.	2. Research work in partnership with DST, DSTL and contracted partners is:
3. Learning Requirements are clearly articulated.	3. Design staff have the necessary Skills to maximise the efficacy of learning interventions.	3. A Blended Learning approach is adopted wherever relevant.	3. A pan-Defence Learning Management and Delivery System:	3. Learning achievement is rewarded and recognised.	a. Exploit workforce talents to meet Defence Strategic Objectives.	3. Individuals are encouraged to develop Skills and gain qualifications to prepare them for life beyond Defence.	3. Identify, measure and evaluate collective team & task outcomes at all levels.	3. Collaboration with partner organisations enables the delivery of apprenticeships, professional accreditation and intellectual development programmes.	a. based on agreed requirements;
4. Continuous improvement is driven across Defence Learning.	4. Interventions are modularised by default and access maximised.	4. Learning diagnostics are employed to establish WF Skills and enable a 'fixed mastery, variable time' approach.	a. Provides coherent information to enable evidence-based investment and policy decisions.	4. Informal learning opportunities are encouraged, supported and exploited.	b. Enable professional development and career progression.		4. A full mix of Live, Synthetic and Blended methods are used to provide Collective Training interventions.	4. Outsourced Defence Learning contracts are managed and assured effectively.	b. supported and exploited into practice.
5. Risk is managed, and resource prioritised to maximise Defence Learning outcomes.	5. Existing content is reused / repurposed to reduce duplication and maximise usage.	5. Delivery staff have the necessary Skills to achieve enhanced learning outcomes.	b. Enables coherent and efficient Governance, Design, Delivery, Assessment and Evaluation.	5. Duty of care and trainee welfare is prioritised in all learning environments.	3. Professional Skills Development is based on clear learning outcomes and recognition of accredited / prior qualifications & learning.				3. Opportunities to experiment and innovate are created, and outcomes are transferred into BaU where appropriate.
6. Robust H2A mechanisms provide assurance at all levels of Defence Learning.	6. Capability development addresses the Training DLoD coherently and in a timely manner	6. Learners have the necessary learning and technology Skills to achieve enhanced learning outcomes.	c. Enables immersive learning.	6. Learning design & delivery account for the learning needs of a neuro-diverse workforce.					

2 Defence Direction for the Assurance of Training

Policy Sponsor: TSLD, CDP

Assurance is an all-encompassing term used to describe a variety of activities including but not limited to audit and inspection of the training system. 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. 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

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 ([Annex A](#)) is directed for use with Individual Training with the principles also applicable to Collective Training.

2. Assurance activities provide confidence to all stakeholders² that training across Defence:

- a. is effective and meets the Defence requirement.
- b. is in accordance with endorsed Defence training policy.
- c. meets Defence's Care and Welfare policies and obligations.
- d. where appropriate, meet legal requirements and other standards.
- e. promotes a culture of continuous improvement.

3. All activities undertaken by the TRA, TDA and Training Provider 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 Defence Training Assurance Framework associated with their areas of responsibility.

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.

4. Assurance of training must be systematic, objective and documented and include evidence to determine the extent to which policy is met. For all training, assurance must be against the Defence Training Assurance Framework ([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, Chapter 2)
5. There are three levels of training assurance:
 - a. **1st Party Assurance (1PA).** 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 and is a key Continuous Improvement activity³. 1PA must be carried out annually.
 - b. **2nd Party Assurance (2PA).** Assurance activity conducted by Defence organisations⁴ 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.
 - c. **3rd Party Assurance (3PA).** Assurance activity conducted by organisations external to the MoD. Examples include [Ofsted](#) and governing or awarding bodies. Guidance on the preparation for common 3PA is included at [Annex C](#).

2.2 Direction – Assurance of Defence Training

6. This is the **direction that must be followed** for the assurance of Defence training:
 - a. All training must be assured against the Defence Training Assurance Framework.
 - b. All 1PA and 2PA must include assurance against the respective mandated elements of the Defence Training Assurance Framework.
 - c. Compliance against mandated elements and annually published Defence themes must be reported in 1PA and 2PA reports.
 - d. Reporting and its distribution of 2PA must be agreed prior to audit commencement and include all key stakeholders (CEB chair or equivalent, representatives of TRA/TDA/TP and TSLD).
 - e. A 2PA must be delivered against a confirmed audit programme⁵.
 - f. Auditors must complete the Defence training auditors course at the Defence Centre of Training Support (DCTS), (Defence Academy (DefAc) or a recognised equivalent⁶.

³ Examples of such activity are annual 1PA against the Defence Training Assurance Framework including the mandated elements, self-assessment, and policy compliance activities.

⁴ 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.

⁵ Notwithstanding amendments or requirements for short notice assurance activity.

⁶ Confirmation of equivalence should be sought from TSLD or sS 2PA/Assurance team.

2.3 Governance of Training Assurance

7. Due to the differences in structure and relationships between the TRA/TDA/TPs, the responsibility for assurance varies across Defence. The TRA is ultimately responsible for assurance against the Defence Training Assurance Framework and all assurance activity is reported through the CEB.

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

- a. **Customer Executive Board** – provides stakeholder engagement for all training/education requirements and agrees a suitable process for its assurance.
- b. **TLB Assurance Rep** – co-ordinates TLB assurance activity and provides all 2PA reports to TSLD.
- c. **Defence Training and Education Assurance Working Group (DTEA WG)** - chaired by TSLD H2A SO1 and informs/ratifies policy on Defence training assurance.
- d. **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.
- e. **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

9. The Defence Training Assurance Framework provides a co-ordinated 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 continuous improvement.

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 themes and supporting sections

10. The Defence Training Assurance Framework (Figure 1) comprises twelve sections, arranged under three themes:

a. **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 training system and Joint/contractual arrangements sections.

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

c. **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 and Welfare and accreditation of Defence training. It covers support to learners, personnel, management of pipeline and accreditation sections.

11. 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 and Volume 2) 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

12. Whilst specifically developed for 1PA and 2PA, the Defence Training Assurance Framework 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 and organisational needs to be defined by the scope of the assurance activity conducted.

13. For comparison and trend analysis, 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 must all be 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.

14. Guidance to support those conducting audits against the Defence Training Assurance Framework can be found at [Annex C](#) and an accompanying checklist at [Annex B](#).

2.6 Mandated Elements of the Defence Training Assurance Framework

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

- a. **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.

Mandated Element	Example of Non-Conformity
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.
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.
Training must be delivered iaw approved, accurate and fit for purpose documentation (which is available to training staff) & includes Risk Assessments.	Observed training delivered is not consistent with LSpec for that activity.
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 failure policy is missing.
Care & Welfare in training (iaw Defence Care & Welfare Framework - Volume 4).	Self-Assessment against Care & Welfare has not been completed and submitted to TLB assurance rep.

Table 1: Mandated Elements for 1PA

- b. **2PA.** These mandated elements should be checked at every audit. 1PA reports must be reviewed, and the robustness of supporting evidence should be confirmed.

Mandated Element	Example of Non-Conformity
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. CEB must produce RoDs/action grid and risk register at least annually.	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.
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.	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.
Maintain appropriate personnel records of education, training, skills and experience and security.	No records kept for personnel.
ExVal must be completed for all courses. Inc an ability for individual to report training gap via S3018 or similar.	No ExVal is completed and no regular communications with TRA and customer to discuss how trg meets requirements
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

16. **Additional Elements to be Assured.** Assurance must sample across the framework and is therefore not limited to the mandated elements. Each year the DTEAWG will issue a DIN which details any additional mandated elements to be covered by assurance activity conducted during that timeframe. Further elements can be included as necessary to meet local 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 Training Provider.

2.7 Assurance of Collective Training

17. Collective training should be assured prior to the participation of FEs or Components in higher tier activity. This assurance should be undertaken by the appropriate TRA and TDA during force generation. However it should also be considered a continuous process as part of force sustainment, particularly the assurance that generated forces remain ready for operations if not immediately deployed, or if their operational tasking changes. Therefore, the periodicity of specific assurance activity is to be determined by the TRA in consultation with the TDA via a risk management process and as endorsed by the collective training

CEB. It should be noted that the term 'assurance' in the collective training context also means operational assurance of the force, as well as assurance of the collective Training System.

18. The principles 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 elements of the framework can also be amended, in consultation with TSLD, for more effective application to the tier and structure of collective training conducted 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

19. All parties producing 2PA programmes should submit their agreed programmes to DTEAWG Chair (TSLD H2A SO1) to minimise and de-conflict the frequency of audits and inspections on Training Providers/organisations. Relevant external 3rd party inspection agencies ([Ofsted](#)) are provided with current programmes to better coordinate 3rd party inspections and ease the inspection load on training.

AUDITOR ACCESS

20. Information and documentation should be made available in a timely and effective manner to auditors conducting agreed assurance activity. Access should be provided to support preparation activities and during the audit and is subject to nominal security clearance⁷.

2.9 Reporting Assurance Activities

21. 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 non-conformities found. The audit team should compile and distribute the draft report within 3 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 be released to all key stakeholders (CEB chair or equivalent, representatives of TRA/TDA/TP, and all those actioned in the report). 2PA reports should also be distributed to TSLD. The reporting of any assurance activity must be recorded and should be made available upon request.

22. **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 (further guidance is provided in [Annex C](#)). Findings should be reported as either a 'non-conformity' or as an 'observation.'

⁷ This may be escorted or supervised access but should include all/any elements requested by the assurance team.

23. **Non-conformity.** A non-conformity is where clear evidence exists to show that there is a failure to comply with one or more of the elements within the Defence Training Assurance Framework. For example,⁸:

- a. No TrAD or CEB minutes/WG minutes that endorse the full authorisation of the training.
- b. Delivery of distributed training is not consistent with agreed training.
- c. EOs do not fully meet the Training Objective (TO) they are supporting.
- d. Care & Welfare provision which is assessed against the Care & Welfare Framework (Volume 4).

24. **Observation.** There are 2 types of observation:

- a. **Positive Observation:** Where good practice in a particular activity is observed⁹ (e.g. a unit may have developed a novel way of collating routine course feedback). This is known as a positive observation and auditors must identify these with the same diligence as they would look for non-conformities.
- b. **Negative 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. This type of observation should be reported with a similar level of evidence as a non-conformity.

25. **Recommendations.** Often during the identification and associated root cause analysis of non-conformities and observations (positive and negative) 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, recommendations should be made to assist the audited organisation in compiling an action plan.

2.10 Assurance Activity Follow up and Action

26. In order that an assurance activity is worthwhile and brings about continuous improvement, corrective action for identified non-conformities is required and recommendations addressed. The main stakeholder should provide an action plan outlining how any recommendations or non-conformities/negative observations 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.

27. A formal follow-up should be conducted within 3 to 6 months to provide further feedback on the action plan produced by the main stakeholder. A follow-up report should be generated in the same format as the initial report. The auditor/assurance team should continue to support the main stakeholder after the follow up visits are concluded (and the non-conformities and observations are addressed) to help ensure that the assurance

⁸ Please refer to the full Defence Assurance Framework at [Annex A](#) for all elements, these are examples and not exhaustive list.

⁹ For 2PA, 'Good Practice' may be reported as a separate occurrence to a negative observation.

process remains at the heart of a Continuous Improvement philosophy and is regularly informed by external Defence training assurance specialists.

2.11 Roles of the Auditor

28. 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 non-conformities, 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.

29. **Auditor training.** Auditors must complete the Defence Training Auditors Course at the Defence Centre of Training Support (DCTS), (Defence Academy (DefAc) or a recognised equivalent.

30. **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 risk to life is identified during training delivery, and/or where training shortfalls introduce unsupportable risk. Training stopped in this fashion may not recommence until the TRA and TDA have assessed the risk and determine 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.

31. Further Guidance on Audit and Inspection is provided at [Annex C](#).

3 Annexes

- A. Defence Assurance Framework
- B. Checklists for Auditors (1PA and 2PA)
- C. Audit and Inspection Guidance

Defence Assurance Framework

Management of Training	
Authorisation of Training The assurance of authorisation of all training under design, development, or delivery.	Governance (Customer Executive Board) The assurance of structured and recorded Governance of training is facilitated between all involved stakeholders including but not limited to the CEB.
<ul style="list-style-type: none"> • All training must have a TRA (distinct from the TDA). • All training managed/recorded & signed/agreed by TRA/TDA/TP. • A Lead TRA must be appointed for joint training, must take account of the requirements of the individual TRAs and prioritise in line with Defence needs. • All training delivered must have a current and endorsed TrAD. • TrAD must be reviewed (not exceeding 5 years), and (re-)endorsed (inc major change) via CEB. • Authorisation for accreditation of training must be confirmed on the TrAD. 	<ul style="list-style-type: none"> • CEB must have clear oversight of number, length, phase, throughput, wastage of all courses annually, and delivery (TP/distributed/franchised) & UCR requiring training. • CEB must produce RoDs/action grid and risk register for every meeting which must occur at least annually. • Management of Risk (inc explicit mention of all courses with Risk to Life) must be included and recorded at every CEB. • Agreement and signature of TrADs, SOTR/SOTT, new and changed requirements must be recorded. • Attendance must include representatives from all elements of TRAs/TDAs & TPs and applicable contractors and national governing bodies if possible.
Management of Training System The assurance of a structured and controlled Management of Training System which facilitates the documented development and maintenance of training	Joint/Contractual arrangements The assurance of any contracted elements of training are facilitated in accordance with Defence Training Policy and direction.
<ul style="list-style-type: none"> • MTS must direct management, governance and assurance activities mandated by policy. • MTS is established, documented, implemented and maintained (reviewed/updated every 3 years) inc TQM. • Methods to improve effectiveness of MTS through management review e.g. quality policy, audit results, corrective and preventative actions. • Any variance from the MTS must remain DSAT compliant with any exceptions having auditable trail (comply or explain). • All Distributed Training must have a governance & assurance structure clearly defined within the MTS. • MTS must provide sufficient/adequate staffing and resources for training activities (including training support). 	<ul style="list-style-type: none"> • Clear contract/MOU, outlining expectations and responsibility relating to any element of Training with roles and responsibilities of each organisation clearly articulated. • Change management controls should be in place for new training requirements, revisions and updates to existing training. • New contracts, or those undergoing significant contract amend only, must reflect changes of terminology in this JSP. • Commercial advice must be sought before beginning the process of contracting out DSAT activities, SC leads for training development should provide SME advice. • Quality management system of contractor. • All commercial courses to be governed by the CEB.□

DSAT Process and Documentation	
<p>Training Needs Analysis</p> <p>The Assurance of the Training Needs Analysis and subsequent Training Requirements are recorded and auditable.</p> <ul style="list-style-type: none"> • The requirement for new or amended training must be examined. • Trg requirement must be recorded and approved by TRA, TDA & TP and capability sponsor. • TNA should be governed by a dedicated Steering Group representing all stakeholders. • Trg Req Documentation must be reviewed and updated as necessary and evidenced iaw Defence Policy. • Through life funding of recommended training solution exists. 	<p>Training Design and Development</p> <p>The Assurance of the Design & Development of Training including process, authorisation, currency and maintenance.</p> <ul style="list-style-type: none"> • Training is properly designed and documentation is compliant with Defence Policy. • Trg and its design is reviewed and changes are verified, validated, approved and com • Assessments designed and established to provide verifiable results or quantitative evidence the trained output is achieved. • Training in the FTS must be agreed and clearly articulated how <u>all</u> parts will be managed and governed and risks captured where gaps exist. • Robust Training must be designed to deliver against the Role PS and must be conducted consistently and resourced appropriately. • New courses must be piloted and reported to the CEB prior to acceptance as agreed
<p>Delivery of Training</p> <p>The Assurance of the Training Delivery including Online and Distributed Training</p> <ul style="list-style-type: none"> • Training Delivery is consistent with course content and iaw training practices and delivered iaw with agreed timetable. • Completion of training by individuals, inc competencies, nominal rolls and Training Deficiencies recorded. • Training must be delivered iaw approved, accurate and fit for purpose documentation (which is available to training staff) & includes Risk Assessments. • All courses delivered on the DLE must be delivered iaw TEL ruleset (12 principle by Gov which facilities funding). • Distributed training must be consistent with the agreed training regardless of location and method. • Robust Training events must be delivered in accordance with the Defence Policy and in a safe, controlled and appropriately governed manner. 	<p>Evaluation of Training</p> <p>The Assurance of the Evaluation of training inc assessment of training, InVal and ExVal.</p> <ul style="list-style-type: none"> • Assessments must be valid, reliable and consistent in execution and management. • ExVal is must be completed for all courses. Inc an ability for individual to report training issues via S3018 or similar. • Evaluation of training is current and provides formal feedback for internal validation, training design, and role analysis (InVal). • Conduct effective recording, tracking and reporting of learner performance, and ensure data protection iaw the Data Protection Act 1998. • Feedback to trainee following assessments is timely and evidence based. • Evidence of evaluation data is used to drive change/improvement.

Personnel & Pipeline Management	
PERSONNEL The Assurance of education, training, skills and experience, and Continued Professional Development of Personnel.	Pipeline Management The Assurance of management of trainees to support pipelines and workforce generation.
<ul style="list-style-type: none"> • 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). • Provide training or take other actions necessary to satisfy these needs (formal courses, recognition of exiting quals etc, assessments). • Provide Continuous Professional Development. • Maintain appropriate personnel records of education, training, skills, experience, safeguarding and security. • Sufficient staffing to support output, including but not limited to hard and soft gapping. 	<ul style="list-style-type: none"> • Management of trainees held by unit but not engaged in formal programmed time for periods of 1 wk or greater (holdovers). • Remedial or developmental training for trainees who have been removed from training (back classed) due to injury or failure. • Monitoring and reporting of wastage rates to TRA/CEB (regardless of reason). • Communication between training unit and recruiting/subsequent/parent/ unit regarding trainees and associated issues.
Support to Learners The Assurance of education, training, and care and welfare to support learners.	Accreditation The Assurance of Defence training to meet accreditation schemes
<ul style="list-style-type: none"> • Care & Welfare in training (iaw Defence Care & Welfare Framework - Vol 4). • Learners with Specific Learning Differences (SpLD) are supported throughout training. • Provision of functional skills within apprenticeship programmes is iaw policy. • Meaningful training, education or employment is provided during Holdover or unprogrammed time. • Annual/mandated training & wider education (including but not limited to wellbeing/Prevent/nutrition) is provided. 	<ul style="list-style-type: none"> • Approval of new accreditation schemes via TESRR PAG . • External assurance of elements of training underpinned by accreditation by awarding body/organisation. • Effective recording, tracking and reporting of learner performance, and ensure data protection iaw the Data Protection Act 1998 to awarding body/organisation. • Support to accreditation schemes to provide/maintain sufficient staffing levels, structures and resources to provide an effective accreditation service prior to • There must be adequate support to the learner at all stages of the accreditation scheme. • Accreditation schemes must follow the Defence policy.

Checklists for Auditors (1PA and 2PA)

Currently being developed for JSP 822, Version 7.

Audit and Inspection Guidance

AUDIT AND INSPECTION GUIDANCE

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1 Assurance of Defence Training

1. The term Assurance is an all-encompassing term used to describe a variety of activities including but not limited to evaluation, audit and inspection of the training system. Whilst direction for the assurance of training is included in this volume, additional direction and guidance for the conduct of Evaluation of training (InVal and ExVal) is included in Volume 2, Chapter 6. Further clarification is provide by the following definitions;

a. **Evaluation** is the process of making a judgement as to the worth of training to Defence. It allows Defence to monitor the impact of training and assess what has been achieved, whether it was effective, efficient (i.e. represents VfM) and how it contributed to the achievement of Defence outputs. Further direction and guidance on Training Needs Evaluation, Evaluation Strategy and Internal Validation (InVal) and External Validation (ExVal) can be found in Volume 2 Chapter 6.

b. **Audit** is a systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which that evidence meets specified assessment criteria. A Defence training audit is conducted against the Defence Training Assurance Framework and in accordance with the mandated requirements of the MTS (outlined in Volume 1 and Volume 2) and the mandated requirements of individual training (Volume 2) An audit can be carried out by 1st, 2nd or 3rd party bodies.

c. **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. An inspection can be carried out by 1st, 2nd or 3rd party bodies.

2. The terms audit, inspection and evaluation are commonly confused with each other. Whilst the products of audit and inspection can be used to inform evaluation, it is important to appreciate that, in Defence terms, they are not the same thing. Table 1, below, outlines the key differences.

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
Checked against set criteria	More evaluative
Scope restricted to agreed areas	Scope areas against an agreed framework (such as Common Inspection Framework).
Done against a published standard (i.e. to a standard e.g. DSAT QMS or the key questions derived from the CIF)	Non-restricted
Auditors do not necessarily need to be 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 training in the QMS and in 1 st /2 nd /3 rd party assurance 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.

Table 1: Key Differences Between Audit and Inspection

3. Within Defence, significant emphasis is placed on the added value or 'performance improvement' that can be obtained from conducting any assurance activity, but most commonly, audit or inspection. Without it, the value would be reduced. It should also be remembered that an audit or inspection is a sampling or 'snapshot' of a part of the DSAT process at a specific time. An audit or inspection should never aim or claim that a system is 100% compliant.

2 Inspections within Defence

4. As a publicly funded department, training within Defence may be subject to external scrutiny which is known as, or may be referred to as 3PA activity. The most common format is an inspection conducted by organisations against their own criteria or framework. The decision regarding which training organisations to inspect is entirely independent of Defence and agreements between defence and the external agency is normally agreed within a Memorandum of Understanding (MOU) or contract setting out principles of the inspection format and regularity. Training organisations may receive little notice of an inspection (sometimes as little as 24/48 hours').

5. In preparation for any inspection it is useful to ensure that training is being delivered in accordance with JSP 822 and any agreements or expectations between the training organisation and the external agency. The following are common inspection activities which Defence is subject to:

a. **Ofsted – Commissioned Inspections of Care and Welfare.** The MoU between Defence and Ofsted outlines the agreed methodology for the Ofsted inspections concentrating on issues of Care and Welfare provision within Defence. Full details are available in the MOD Inspection Framework¹⁰ support and further guidance and actions following an inspection are at Volume 4, Chapter 6. All Training organisations are briefed by Ofsted at a Defence-facilitated Ofsted awareness day known as a 'Nominee Event' which normally occur in Sep and Jan (further details are available from TSLD). In addition, TSLD & Ofsted brief all Commanding Officers during the DCTS-run Commanding Officers of Training Establishments (COTE) Course.

b. **Ofsted – Statutory Inspection of Apprenticeships.** SCs draw down funding to support work-based learning provision that leads to nationally recognised qualifications, the most common of which is the level 2 or 3 Apprenticeships. These are often linked to phase 2 training and subsequent postings where they develop workplace competence; therefore statutory inspections will take place at both training schools and workplace. Quality assurance of apprenticeships (inc the work-based learning element) is a statutory requirement fulfilled by Ofsted¹¹. Reports are sent to Service Directors of Education (or equivalent), who draw down the funding, for appropriate action. Further guidance can be found at Volume 8.

c. **Awarding Organisations:** Many courses within Defence attract or have secured external accreditation (ie civilian qualifications for defence requirement based training). All training should still be based on and delivered in accordance with the Defence requirement which is established, documented and maintained iaw Defence training policy (ie DSAT). Requirements for evidence and documentation required from the awarding body should be sort directly from the organisation.

d. **National Governing Bodies.** National Governing Bodies often inspect training carried out by the Department (such as adventurous training, medical, accountancy) where external bodies are responsible for the content of training activities, qualification of staff and assessment Standards. Direction and guidance should be sort directly from the governing body.

¹⁰ Full title: [Handbook for inspecting initial training for the Armed Forces with reference to care and welfare.](#)

¹¹ <https://www.gov.uk/government/publications/further-education-and-skills-inspection-handbook-eif/further-education-and-skills-handbook>

3 Audits within Defence Training

6. JSP 822 Volume 5 mandates that assurance of training within in Defence is conducted at 2 levels which broadly relate to the internal and external nature, of the organisation. The most common assurance activity is that of audit.

7. **1PA** is assurance activity conducted for internal purposes by all parties for the DSAT activities they undertake themselves. 1PA is conducted to assure the respective Commanding Officer/Head of Training Establishment that training and related activities are being undertaken in accordance with the Defence Training Assurance Framework and that required improvements identified by the audit are implemented thereafter. The confirmation that the organisation conducting the audit has, and is compliant with its own documented MTS (based on Defence Policies) is central to any 1PA.

8. In general, 1PA is conducted when:

- a. It is a stipulated requirement (e.g. by Defence Policy, external funding, regulatory and awarding bodies, Investors in People, International Standards Organisation).
- b. It contributes to the overall assurance of Defence training and is utilised by the Chain of Command to develop a culture of Continuous Improvement and will ensure systematic improvement of the training organisation and/or Training System.
- c. To prepare for a 2PA / 3PA activity.

9. **2PA** should be conducted against the Defence Training Assurance Framework *which includes the requirement to assure against the Care & Welfare Framework (Read Volume 4, Chapter 6 for further direction and guidance). 2PA should include the mandated elements of the Defence Training Assurance Framework and assurance sample of elements across the framework to ensure whole the training system is represented. 2PA provide part of the higher level assurance activities to stakeholders that sub oragnisations within the training system (including main and distributed training organisations) are complying with Defence policy related to training. 2PA is conducted by a body that is external to the chain of command but still within Defence.

10. In general, 2PA of a training organisation:

- a. Provides evidence to stakeholders of compliance against the Defence Training Assurance Framework and its effectiveness. The published report is distributed via 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 training organisation, as well as the interactions between the TRA/TDA/TP for both inhouse/residential, online and distributed training. It identifies and reports on the effectiveness of the management to continuously improve the training activities, and the measures being undertaken to address areas for development.
- b. Utilises elements of the Care and Welfare Framework to assess the quality of the learning provided in a well-managed and safe environment.
- c. Provides evidence to the training organisation relating to their internal assurance processes.

4 Guidance for Conducting Audits

4.1 Principles of Audit

11. When conducting any audit, be that as part of 1PA or 2PA, it is often useful to use the following start points to shape the assurance activity:

- a. **Intent.** This is about providing assurance that the local polices and process are compliant with Defence Policy within this JSP and across the full spectrum of activities covered in the Defence Assurance Framework.
- b. **Implementation.** This is about providing assurance that the local polices and processes are actually being implemented.
- c. **Effectiveness.** This is about providing assurance that the effectiveness the local process and polices is sufficient, as well as the capacity to improve.

4.2 Conducting an Audit of Defence Training

12. Prior to an audit being conducted as part of an assurance process the format, frequency and reporting should be agreed with all stakeholders. This may be as part of a formalised programme or a one off event that is directed. Whilst all assurance activities should be based on the Defence Training Assurance Framework the exact scope or process of the audit is likely to differ depending on the size, structure and complexity of the assurance activity or audit. The processes for 1PA and 2PA are summarised at Figures 1 and 2.

Stage 1: Preparation

13. In the weeks leading up to an audit, meetings (formal and informal) and communications should be established between the auditor and the organisation. As well as reducing concerns of the training organisation, the expectations of the audit team and the processes to be undertaken should be shared in order to promote transparency. Production of the programme for the audit should be developed as far in advance as possible. The following information should be requested prior to audit commencement:

- a. Map/plan of the entire training organisation estate (noting that it could be more than 1 location).
- b. Organisational diagram with names and contact details of key staff who are likely to be involved in the audit/inspection.
- c. Size/structure of the organisation (such as, staff numbers and ToRs, number of training activities being delivered and trainees on each one (inc training targets and wastage rates (and inc any distributed training))).
- d. Current Management Plan including Self-Assessment Report, Training Plan and Quality Improvement Plan (and previous 1PA, 2PA and [Ofsted](#) reports & action grids).
- e. Access to current unit training orders/local policies (or equivalent – inc SCD & CRA).

- f. Minutes of most recent CEB and WG (or equivalent)- inc SOTR/SOTT or training directives.
- g. Special requirements (security requirements, shadowing, classifications and Health and Safety issues).

Stage 2: Conduct of the audit.

14. The audit team should convene an initial/opening meeting, during which the process for providing feedback to the training organisation during the audit should be confirmed. To ensure that mandated activities are audited, the audit team should create their own compliance questions using the Defence Training Assurance Framework as a basis. Any annotated checklist or auditor's notes should be maintained as a Quality Record. During the audit, evidence required for judgement on compliance should include:

- a. **Data Gathering** should include a combination of interviews, observations and review of documentation, the Data Gathering and Analysis Guide can be [found here](#). Often seeking to establish what the training organisation's greatest challenges or opportunities are can lead to significant insight and evidence for the reporting process.
- b. **Triangulation** is the process by which evidence is confirmed by means of multiple sources; this could include interviewing to gain direct reports, review of documentation, and observations of processes or procedure, or delivery/assessment of training.
- c. **Root Cause analysis** is the process by where the auditor seeks 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 the auditor report their findings and make recommendations accordingly. This proficiency is not inherent and should be developed through training and practice.

15. On completion of the audit, the auditor/team should present their preliminary findings to the training organisation, outlining the timescales and format for the publication of the audit report. Additionally, dependant on the original scope or engagement the auditor/team may offer any potential assistance that the audit team can render to the training organisation when developing its action plans to address any non-conformities or observations.

Stage 3: The audit report

16. The audit team should compile and distribute the report in a timely fashion (iaw agreed process, but typically not longer than 3 weeks after the visit). The report should include key findings and principal recommendations based on the management, analysis, design, delivery and quality control of training as well as a summary list of non-conformities, observations and any examples of good practice found against the elements of the Defence Training Assurance Framework. These are included as annexes within the audit report.

17. Once agreed by the team and signed off by the Lead Auditor, the report is sent to the training organisation to ensure that the report is factually accurate. Once the training organisation confirms the facts of the report, the final report is released to all key stakeholders (inc CEB chair or equivalent and representatives of TRA, TDA and TP). 2PA reports should be also distributed to TSLD.

Stage 4: Audit Follow Up

18. The training organisation should develop an action plan outlining how it intends to address non-conformities or negative observations. A formal follow-up visit is be arranged within 3 to 5 months to monitor progress and, if required, escalate outstanding actions. The action plan should be integral to and reviewed as part of the training organisation's standing process and captured as part of a QUIAP or Risk Register as appropriate. A follow-up report should be generated in the same format as the initial report.

19. The audit team should continue to support the training organisation after the follow up visits are concluded (and the non-conformities and observations are addressed) as required/appropriate. This may help ensure that the assurance process is an integral part of the training organisation's continuous improvement process and is regularly informed by external Defence training assurance specialists.

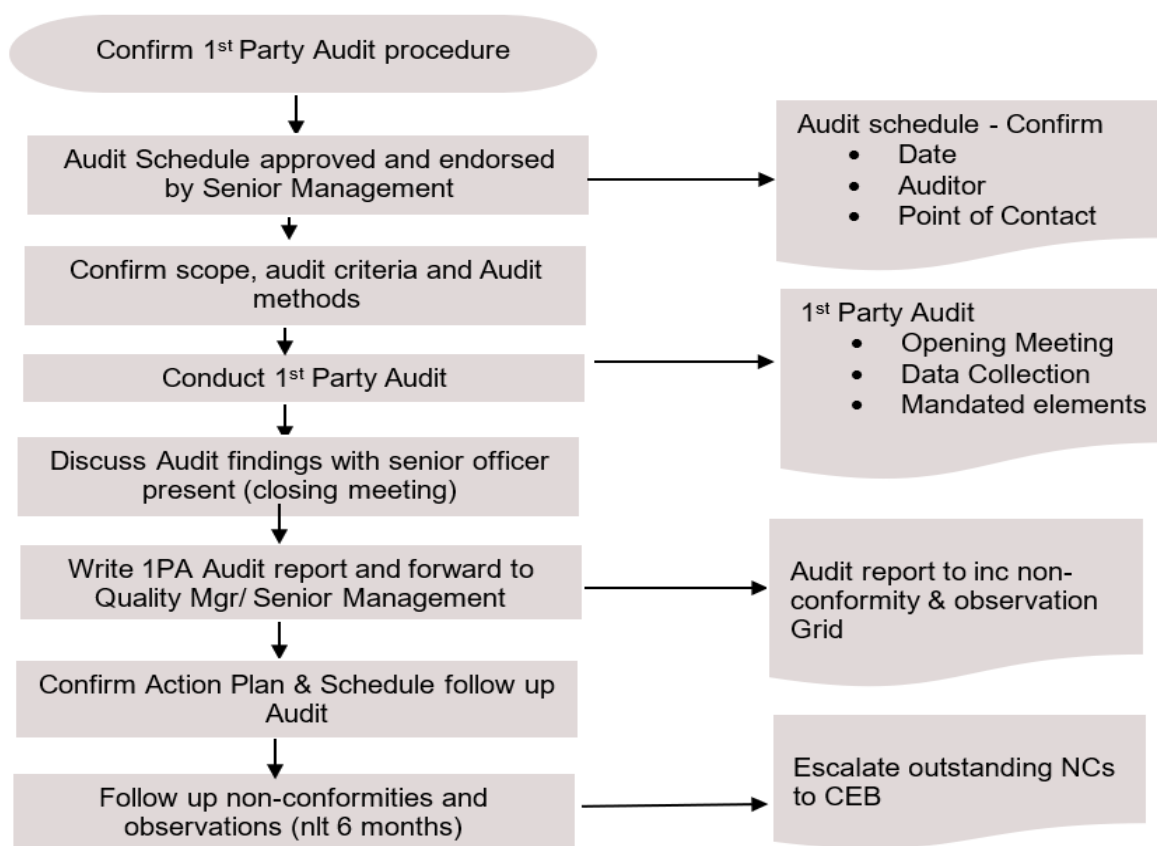


Figure 1: 1PA Process

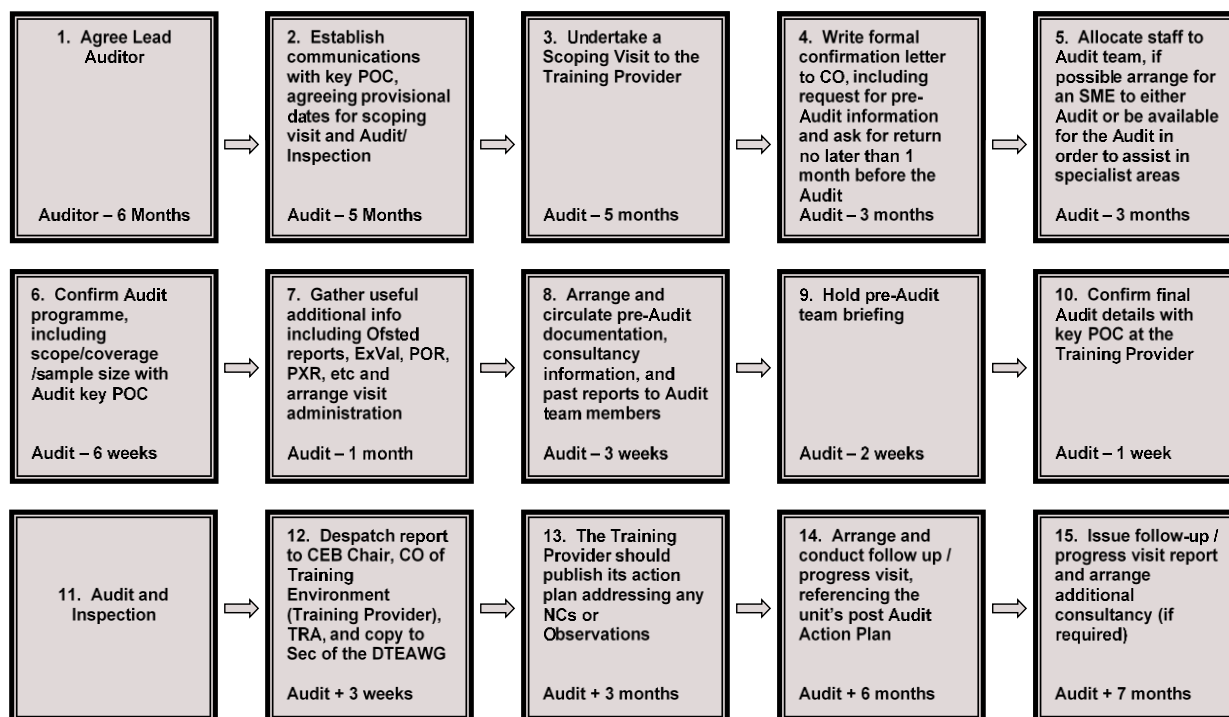


Figure 2: 2PA Process

5 The Auditor

20. **Personal qualities.** Primarily an auditor should be honest, unbiased and objective, reporting everything seen, but nothing felt or suspected. The auditor should always be polite and helpful to fellow team members and both staff and students of the training organisation. They should be industrious in the conduct of the audit, always being punctual in arrival for meetings and interviews. They should always have a positive demeanour, and be communicative with the audit client, regardless of how the audit may be going or how many non-conformities are found. They should be totally principled and have the moral courage to defend their position and findings in an assertive way when challenged by others. Finally, the auditor should always be professional working towards a common aim: conformity and performance improvement in Defence training.

21. **Auditor competences.** To be successful, an auditor requires competence in several diverse areas. The following list of competences should be seen as the minimum requirement:

- a. **Auditing proficiency.** This proficiency is not inherent and should be developed through training and through practice, and continuous professional development (CPD).
- b. **Legal requirements.** In certain training areas there may be legal requirements that the auditor has to meet, or professional standards with which they have to comply (e.g. all auditors involved in ISO 9001 accreditation must be registered with the International Register of Certificated Auditors (IRCA)).
- c. **Understand the process.** The auditor should have a full understanding of how the training/quality process works and how their function as an auditor affects that process. They should have a sound knowledge of the application of the Defence Training Assurance Framework.
- d. **Understand the culture.** If the auditor is to make pragmatic suggestions for corrective action, they should have a full understanding of the culture of the training organisation (e.g. a recommendation to develop comprehensive or exhaustive written procedures may be seen by engineers as attention to detail, while others may view the same recommendation as over-bureaucratic).
- e. **Effective communicator.** An auditor needs to be an effective 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 their findings, in both written and verbal form.

1PA/2PA AUDIT REPORT ANNEX SUGGESTED FORMAT

Organisation/Department/Section Audited:	Audit/Ref Number:	
Procedures Audited:	Audit Date:	Auditor:

Area Audited	Defence Training Assurance Framework Element	Record of observations/evidence sighted to support non-conformity or observation	NCR/Observation reference