



ESSEX FIRE AND RESCUE AUTHORITY

HR Training and Development

FINAL

Internal Audit Report: 2.16/17

6 January 2017

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Debrief held	8 November 2016	Internal Audit team	Dan Harris, Head of Internal Audit Suzanne Lane, Senior Manager
Draft report issued	14 December 2016		Lee Hannaford, Assistant Manager
Responses received	6 January 2017		Hollie Sheppard, Internal Auditor
Final report issued	6 January 2017	Client sponsor	Mark Stagg, Director of Transformation Claire Budgen, Learning and Development Manager
		Distribution	Mark Stagg, Director of Transformation Adam Eckley, Acting Chief Fire Officer

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1 EXECUTIVE SUMMARY

1.1 Background

A risk based review of training and development processes in place at Essex County Fire and Rescue Authority was undertaken as part of the approved internal audit plan for 2016/17. The objective of the review was to ensure that support staff and Firefighters have been appropriately trained and developed to deliver their roles competently and without injury to themselves or the public.

Currently there is no central learning management system which records all staff, their job roles, the required training (Including mandatory training) according to their individual roles vs current training undertaken, or notifications when training has expired. At the time of the audit the Service was procuring a new learning management system which is planned to be implemented by October 2017.

The Service manages and monitors firefighter training using manual spreadsheets for each individual core training course which are maintained by learning and development (L&D) officers.

The workforce's qualifications and training are recorded on the Training Events Management system (TEM) but the systems functionality is limited as it does not record the required training by individuals, or flag when core training is due to expire. On expiry, training is automatically removed by the system off an individual's training record.

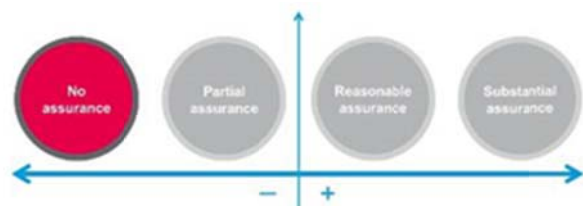
1.2 Conclusion

We are unable to provide assurance that the Service has effective and comprehensive systems to monitor staff / officers compliance in meeting competencies and training objectives. We were also unable to establish if staff had been adequately trained as incomplete records had been retained and core and mandatory training had not been defined.

Internal Audit Opinion:

Taking account of the issues identified, the Authority cannot take assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied or effective.

Urgent action is needed to strengthen the control framework to manage the identified risk(s).



1.3 Key findings

The key findings from this review are as follows:

Quality Assurance Framework & Professional Development Programme for 2016/17

Essex County Fire & Rescue Service (ECFRS) introduced a Quality Assurance Framework for Training in July 2016 which applies to all training and covers each stage of the development process from Training Needs Analysis (TNA), product design and delivery to evaluation and review of training. The framework was designed to produce ongoing self-assessment to improve the quality of provision and learner experience and on review we found the document covered the key areas of learning and development which was consistent with the processes being undertaken by the Service at the time of the review.

We reviewed the Professional Development Programme for 2016/17 which was developed as part of the organisational development plan. The programme includes a compendium of short courses and e-learning run internally to support continuous professional development and a schedule of course dates. We reviewed the staff intranet and confirmed both documents were available to all staff via the intranet.

Departmental Training Plans

We reviewed the summary departmental training plan which details all the additional training needs identified as part of the individual departmental training plans submitted to L&D. Through discussion with the L&D Manager we were advised that 14 plans should have been submitted to include all service lines. We were advised that 12 had been submitted via using the departmental plan template document and the L&D Manager confirmed verbally with the remaining two service lines (property and occupational health) any training requirements.

We identified the following areas of weakness which resulted in four high and three medium priority management actions being agreed.

We have also agreed three **low** priority management actions which are detailed in sections two and three of this report:

Training needs assessments

Within the Fire Fighter level there are three main phases for development, these are:

- Phase one – Acquisitions;
- Phase two – Development; and
- Phase three – Maintenance.

Core and mandatory training had not been defined for general support staff or firefighters according to their job roles. For clarity in staff training requirement and Line Management expectations the Service should document key training requirements for their workforce. **(Medium)**

Line Managers should also be identifying training needs as per person specifications and also the appraisal process. We reviewed five person specifications (job competencies) across five different service lines for general support staff and confirmed they did not include training requirements. In three cases we also found the specifications had not been reviewed in the last 12 months. If job competencies are not reviewed periodically there is a risk that core requirements will be out of date and Line Managers cannot accurately identify training needs. **(Medium)**

Monitoring completion of training – All staff

There is no central learning management system which records all staff, their job roles, the required training according to their individual roles vs current training undertaken, or notifications when training has expired. In relation to Firefighters this has specifically led to two instances where required training had not being effectively completed; more detail can be found in section three of this report.

If the Service cannot measure training requirements against training completion there is a risk that they cannot effectively monitor that staff are appropriately trained and training needs are being identified and addressed. If Line Management is not effective in developing their staff and this cannot be easily monitored there is a risk staff will not receive appropriate training leading to knowledge gaps, low levels of staff retention and poor succession planning within the organisation. Also, when firefighter training compliance cannot be effectively monitored there is a potential significant risk to staff and public safety when core training is not completed or maintained. **(High)**

Completion of initial basic training – firefighters

Firefighters have to complete initial basic training; it is one element of training we have been able to establish that all firefighters should have completed. We therefore reviewed a report of all firefighters from SAP and for a sample of 10 and requested evidence that their Phase one training had been completed. We identified six exceptions whereby, in three cases, no evidence had been retained by the Service to demonstrate the completion of initial Firefighter training. In the remaining three cases, incomplete evidence had been retained by HR to evidence the completion of this training. We have raised a management action as there is a risk that staff / officer records may not be updated appropriately and are not accurate. Also, if serious incidents occur (leading to death), the Service may be unable to provide evidence to demonstrate that staff / officers have received the correct level of training required for their role. **(High)**

Monitoring and completion of refresher training for firefighters

The phase three refresher training is completed throughout the year and we tested the completion of phase three TASK books for year end 2015/16 as each TASK book must be completed in full. For a sample of five firefighters (full time and retained) across five different stations we obtained reports from TASK and found in all cases the TASK books had not been fully completed. We also found in three of the five cases the Training had not been reviewed / verified by the Station Manager via automatic workflow. In the remaining two cases we found the respective Station Managers had only verified half of the TASK book. If the refresher training is not fully completed and monitored by Station Managers there is a risk that firefighters will not be sufficiently trained to remain competent. Where competence is low there are potential impacts on the safety of officers and the public. **(High)**

Reporting on training compliance

Due to the lack of a central learning management system and defined core training requirements the Service are unable to report on training compliance and currently no reporting is undertaken. Without adequate and timely reporting, management cannot effectively and reliably monitor the organisations compliance with core training. Training gaps may not be identified which could ultimately lead to staff / officers being unable to effectively carry out their duties. This has a potential impact on the safety of Officers and the public. **(High)**

Feedback for firefighter training

There are different methods of feedback used depending on the course. Without a more standardised process for feedback on courses for firefighters there is a risk that the Service will be unable to monitor competence and compliance effectively leading to uncertainty in the compliance of training across the workforce **(Medium)**.

1.4 Additional information to support our conclusion

Area	Control design*	Compliance with controls*	Agreed actions		
			Low	Medium	High
HR Training and Development	9 (11)	1 (11)	3	3	4
Total			3	3	4

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

2 ACTION PLAN

Categorisation of internal audit findings

Priority	Definition
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

The table below sets out the actions agreed by management to address the findings:

Ref	Findings summary	Priority	Actions for management	Implementation date	Responsible owner
Risk: HR Training and Development					
1.1	The Learning and Development Policy had not been reviewed since April 2015.	Low	An annual review of the Learning and Development Policy will be undertaken.	April 2017	Mark Stagg
1.2	The 2016/17 organisational development plan had not been formally approved and evidenced as such.	Low	Annual review and approval of the annual organisational development plan will be formally evidenced.	April 2017	Mark Stagg/Collette Black
1.3a	Training needs for general support staff are identified according to their person specifications. In two cases the person specifications had not been reviewed since March and June 2015.	Medium	All person specifications will be updated to include the date of next review and will be reviewed annually.	December 2017	Collette Black

Ref	Findings summary	Priority	Actions for management	Implementation date	Responsible owner
1.3b	<p>Core training has not been defined for general staff according to their job roles.</p> <p>There is no central learning management system which records all staff, their job roles, the required training according to their individual roles vs current training undertaken, or notifications when training has expired.</p> <p>We have therefore been unable to test whether key training for general staff has been undertaken as we were unable to confirm what training should have been undertaken as part of their roles.</p> <p>Each Learning and Development Manager maintains a manual excel spreadsheet for a specific core training course to monitor completion as there is no central learning management system.</p> <p>For a sample of eight trainers/instructors, six cases did not have a complete record of their qualifications on TEM or their HR personnel files.</p>	High	<p>Key training requirements will be identified by employee for all staff/ officer roles.</p> <p>In addition the procurement and implementation of a new learning management system to effectively record workforce training will continue.</p>	<p>April 2017</p> <p>September 2017</p>	<p>Mark Stagg</p> <p>Mark Stagg</p>
1.4	The Service has not documented the core training requirements through the ranks.	Medium	The Service will implement a document outlining the key training requirements through the ranks and the regular mandatory training which must be completed.	September 2017	Mark Stagg

Ref	Findings summary	Priority	Actions for management	Implementation date	Responsible owner
1.6	Command is creating a manual central spreadsheet of all firefighters, their individual training requirements and record of current training. This spreadsheet is a work in progress. This exercise has highlighted training data on TEM and the manual excel spreadsheets does not reconcile.	Low	<p>The central command training record spreadsheet will be reviewed by an independent officer to ensure the input is accurate.</p> <p>On completion, the spreadsheet will be signed off by management as complete and accurate.</p>	April 2017	Mark Stagg
1.7	In three of 10 cases sample tested, supporting documentation had not been retained to evidence the completion of the Phase one firefighter training.	High	Comprehensive records will be maintained detailing the qualifications and training records of all staff.	December 2017	Collette Black
1.8	<p>For a sample of five firefighters (full time and retained) across five stations we found in all cases their 2015/16 TASK books had not been fully completed.</p> <p>In four cases the Station Managers had not reviewed their TASK books for completion.</p> <p>In one case the TASK book had been verified, even though it had not been fully completed.</p>	High	<p>Line Managers will be reminded of the importance for firefighters to complete their phase three TASK books fully on an annual basis.</p> <p>Compliance should be monitored and reported on by station in a periodic performance scorecard or report to the relevant governance forum.</p>	February 2017	Mark Stagg
1.10	<p>There is no reporting on training compliance.</p> <p>Firefighter TASK books for Phases Two and Three can be updated automatically via SAP but the data within SAP is not relied upon. Currently this process is manual and dependent on timely notifications of staff changes from Station Managers to ensure TASK books and training is accurate.</p>	High	<p>Once the new system is introduced and base line data can be relied upon, a process of monthly reporting will be implemented on training compliance for Firefighters and general staff.</p> <p>Management will also review the new systems capacity to be linked to TASK.</p>	September 2017	Mark Stagg

Ref	Findings summary	Priority	Actions for management	Implementation date	Responsible owner
1.11	There are different methods of feedback for firefighters used depending on the core course.	Medium	A standardised process for feedback on key courses for firefighters will be implemented to ensure feedback is delivered and can be monitored effectively.	June 2017	Mark Stagg

3 DETAILED FINDINGS

This report has been prepared by exception. Therefore, we have included in this section, only those risks of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
Risk: HR Training and Development						
1.1	<p>Policies and Procedures</p> <p>Essex County Fire & Rescue Service (ECFRS) have in place an overarching Learning and Development Policy (the policy) which sets out:</p> <ul style="list-style-type: none"> • Framework for Learning and Development; • The strategic aims of learning, training and development; • The roles and responsibilities of both the organisation and individuals; • How development programmes will be developed; • How records will be maintained; • Monitoring and evaluation of Learning and Development; and • The induction process. <p>The policy is available on the staff intranet but had not been reviewed since April 2015.</p>	Yes	No	<p>We reviewed the ECFRS Learning and Development Policy and noted the document had last been reviewed in April 2015. The date of next review or frequency of review had not been detailed within the Policy.</p> <p>We were advised by the Learning and Development Manager that the Policy is updated when amendments are made to policies and procedures, there is no periodic review process.</p> <p>On review of the Policy we found it covered the key areas of learning and development and was consistent with the processes being undertaken by the Service at the time of the review.</p> <p>There is a risk that the Policy and procedure documents available to staff are not up to date and fit for purpose and this could result in the failure of the Service to adequately inform staff of their roles and responsibilities.</p>	Low	An annual review of the Learning and Development Policy will be undertaken.
1.2	<p>Planning Learning and Development</p> <p>On an organisational level, staff</p>	Yes	No	We were advised by the L&D Manager that the TNA for 2016-17 was developed with the Deputy Director of HR and Organisational Development playing an active	Low	Annual review and approval of the annual organisational development plan will be

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
	<p>development needs that meet a corporate need are identified by the Learning and Development Department in December each year. This covers an assessment of the core training required to meet role related competencies and health and safety requirements for each role within the Service. It will take account of likely changes in workforce, organisational policy and demand for services.</p> <p>On a departmental level, needs are identified by Heads of Department when developing their Service Business Plans and agreeing Development Goals. These will cover all known learning and development requirements for the next financial year and will be submitted to the Learning and Development Business Team in December each year.</p> <p>The L&D Team have a complete view of next year's training needs by January each year in order to prospectively plan the following year's programme and to plan the allocation of course fees.</p> <p>The Training Needs Analysis (TNA) is approved by the Director of HR OR Deputy Director of HR.</p>			<p>part and was approved by her verbally as the TNA was completed.</p> <p>Therefore we cannot provide assurance that the 2016/17 training plan had been appropriately approved to ensure it meets the needs of the organisation.</p> <p>We reviewed an email from the L&D Manager sent on 14 March 2016 to Departmental Heads requesting that Line Managers be nominated to complete a departmental training plan.</p> <p>We reviewed the summary departmental training plan which details all the additional training needs identified as part of the individual departmental training plans submitted to L&D. Through discussion with the L&D Manager we were advised that 14 plans should have been submitted to include all service lines. We were advised that 12 were submitted to L&D and the L&D Manager confirmed verbally with the remaining two service lines; property and occupational health their training requirements.</p>		formally evidenced.
1.3a/b	<p>Training needs assessments and monitoring completion of training – General Staff</p> <p>There is no central learning management system which records all staff and their job roles, the required</p>	No	N/A	<p>We have been unable to test whether key training for general staff has been undertaken as we were unable to confirm what training should have been undertaken as part of their roles as this has not been formally agreed or documented.</p> <p>Line Managers should be identifying training needs as</p>	<p>Medium</p> <p>High</p>	<p>All person specifications will be updated to include the date of next review and will be reviewed annually.</p> <p>Key training requirements will</p>

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
	<p>training according to their individual roles vs current training undertaken, or notifications when training has expired.</p> <p>In addition, core training has not been defined for general staff according to their job roles.</p> <p>Line Managers' are responsible for identifying individual employee training needs according to the employee's job description. The job description details high level skills for staff and specific qualifications for specialist roles.</p> <p>Line Managers can use the Professional Development Programme document to see what courses are available to their staff in the current financial year.</p> <p>Individual training needs are identified through the appraisal meetings or direct consultation with the individual's line manager (all staff) at any time in the year and followed up by a Learning and Development Request Form which is sent to the Mailbox - Learning and Development.</p> <p>Core training is offered in line with the demand forecast by the Training Plans submitted each year in December. Individuals and managers do not need to request this training if provided internally, but instead they need to ensure they are booked to attend all mandatory training relevant to their job. The core training available to staff internally is documented within the</p>			<p>per person specifications and also the appraisal process. We reviewed five person specifications (job competencies) across five different service lines and confirmed they did not include training requirements. On review of the person specifications we found they only contained high level personal skills.</p> <p>We reviewed the following person specifications and were advised they had been last updated on the following dates (as competencies do not detail the date of review).</p> <ul style="list-style-type: none"> • HR - Pensions Support Officer - 15/07/2016 • L&D - Driver Trainer - 30/06/2015 • Performance - Assistant Director Performance and Business Planning - 08/07/2016 • Finance - Payroll Assistant - 18/03/2015 • IT - Network and Security Support Officer - 19/10/2016. <p>If job competencies are not reviewed periodically there is a risk that core requirements will be out of date and Line Managers cannot accurately identify training needs.</p> <p>Through discussion with the L&D Team we were also advised that whilst TEM records current training and qualifications held by individual staff member. If training expires the system does not flag when training is due. The training record on TEM is automatically removed by the system on expiry. Therefore, if training expires the Service cannot monitor what training should be recorded for that particular role.</p> <p>Currently, the Service relies on Line Managers to effectively identify training needs. The current process in place does not allow the Service to effectively</p>		<p>be identified by employee for all staff/ officer roles.</p> <p>In addition the procurement and implementation of a new learning management system to effectively record workforce training will continue.</p>

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
	<p>Professional Development Programme for 2016/17 and is available on the staff intranet.</p> <p>For a range of specific courses, nominations are submitted to the Learning and Development Business Team by Commands.</p> <p>A record of individuals training history is recorded on the Training Events Management system (TEM). TEM is updated by the L&D Team on receipt of the attendance list from trainers (for internal courses) and if relevant results of a pass or fail on particular courses. External qualifications are also uploaded on TEM by L&D following the receipt of a certificate.</p> <p>TEM does not have the ability to flag when training expires. When training expires on an individual's profile it will automatically be deleted from their profile on TEM.</p>			<p>monitor current training completion against required training.</p> <p>If the Service cannot measure training requirements for support staff against training completion there is a risk that they cannot effectively monitor that staff are appropriately trained and training needs are being identified and addressed.</p> <p>If Line Management is not effective in developing their staff and this cannot be easily monitored there is a risk staff will not receive appropriate training leading to knowledge gaps, low levels of retention and poor succession planning within the organisation.</p>		
1.4	<p>Core training document</p> <p>Areas of required training are set based on the employee's level of working within the organisation and the location of where they are stationed (e.g. if there is special/different equipment at a station, or geographical risk within the area they work). Within the Fire Fighter level there are three main phases for development, these are:</p> <ul style="list-style-type: none"> Phase one – Acquisitions; 	No	N/A	<p>We reviewed a historic Career Progression and Development document for Officers which was in use around five years ago, but is out of date. The document clearly details the Services Strategy and the career path of Firefighters to Brigade Managers.</p> <p>We found the document included flow charts of training through phases and development programmes required to exceed through the ranks.</p> <p>For clarity in training requirements staff and Line Management expectations the Service should have a similar guidance document as previously used.</p>	Medium	The Service will implement a document outlining the key training requirements for Officers through the ranks and the regular mandatory training which must be completed.

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
	<ul style="list-style-type: none"> Phase two – Development; and Phase three – Maintenance. <p>There is no document which outlines the required training at each phase.</p>					
1.5	<p>Monitoring the completion of required training</p> <p>There is no central learning management system which records all staff / officers and their job roles, the required training according to their individual roles vs current training undertaken, or notifications when training has expired.</p> <p>Manual spreadsheets are maintained by learning and development (L&D) for each individual core training course where an L&D Officer is responsible for monitoring the expiry of the specific courses for firefighters.</p> <p>TEM is designed to record all employees training history. TEM does not have the ability to flag when training expires and therefore L&D relies on the manual spreadsheets to manage training. When training expires on an individual's profile it will automatically be deleted from their profile on TEM.</p>	No	N/A	<p>Each L&D Manager maintains a manual excel spreadsheet for a specific core training course, for example Breathing Apparatus (BA) and Incident Communication Verification (ICV). The L&D Manager is responsible for monitoring the completion of their specific core training course for firefighters. Monitoring the expiry is critical as training can have expiry dates which need to be updated in line with National Occupational Standards. On review of the BA and ICV spreadsheets we found they have the capacity to flag when training has expired.</p> <p>Through discussion with L&D we were unable to confirm what the core courses are and how many manual spreadsheets exist or should be in existence.</p> <p>In addition, we have found that this process has been ineffective in the past for ensuring key training is undertaken and kept up to date for firefighters.</p> <p>In the last year gas safety suits for retained firefighters training had not been included as part of the required training therefore there were retained firefighters working without required qualifications.</p> <p>In addition, there is an internal requirement for Breathing Apparatus (BA) training to be completed every 18 months (National Guidance is every two years). As the internal timeframe had not been checked by management on the L&D Managers BA monitoring spreadsheet the Service found there were a high number of Firefighters whose BA training had</p>		Note - We have also raised a high management action in 1.3b for the implementation of an improved system.

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
				<p>expired and was in breach of the internal timescale.</p> <p>The Team have spent the past 12 months ensuring training was updated and are still working through the backlog. On review of the BA spreadsheet at the time of the audit we found there were still 39 Firefighters whose BA training had expired and breached the internal 18 month requirement. We also found there was one case where training had breached the 24 month national requirement whose training expired on 30 July 2016.</p> <p>On review of the ICV spreadsheet we found 48 Firefighter without confirmation of ICV training on the log.</p> <p>There is a risk that firefighter training compliance cannot be effectively monitored by the Service and therefore they are unable to confirm their workforce is appropriately trained. There is a significant risk to staff / officer and public safety, in addition to potential reputational and financial impacts to the Service. We have a raised a high management action for this in point 3.</p>		
1.6	<p>Central Command Spreadsheet</p> <p>Command is creating a manual central spreadsheet of all firefighters, their training requirements and current training. This spreadsheet is a work in progress and the Service has not yet updated the spreadsheet for any core courses e.g. Breathing Apparatus.</p> <p>The spreadsheet is planned to hold a record of all current firefighters, their training requirements, current training and flag when training is compliant or</p>	No	N/A	<p>We reviewed the central excel spreadsheet which is being developed so Command has a central record of all firefighters, their training requirements and the expiry date of key training. On review we found it had not been completed.</p> <p>As the spreadsheet has been developed the Station Officer in Command has identified the training records on the TEM system did not reconcile to the training records held on the core training spreadsheets by L&D officers.</p> <p>The Station Officer in Command therefore plans to reconcile TEM and the manual excel core training</p>	Low	<p>The central command training record spreadsheet will be reviewed by an independent officer to ensure the input is accurate.</p> <p>On completion, the spreadsheet will be signed off by management as complete and accurate.</p>

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
	not.			<p>spreadsheets to gather the most reliable training data to input into the central command spreadsheet.</p> <p>Through discussion with the Station Officer in Command that is responsible for developing the central spreadsheet we were advised there was no planned date for completion.</p> <p>The central command spreadsheet will be used by Command to monitor and control firefighter training and compliance and the data will be manually input into the spreadsheet. Therefore the Service should ensure that the data being relied upon is checked by an independent officer for accuracy and signed off by management.</p>		
1.7	<p>Completion of Phase one induction training</p> <p>Since 2012, the Assistant Divisional Officer in L&D receives a firefighters Phase one paper TASK book on completion of the training and signs off to verify the training has been completed and sends a memorandum to the Station Manager and HR as notification. The Phase one paper TASK books are then sent back to the firefighters to retain. A copy of the memorandum is retained by the Assistant Divisional Officer.</p> <p>Prior to 2012, a letter was sent by HR to the firefighter and Station Manager as a record that Phase one training is complete.</p>	No	N/A	<p>We reviewed a report of all firefighters from SAP and for a sample of 10 requested evidence that their Phase one training had been completed.</p> <p>In three cases post 2012 we received the memorandum held by L&D to the Station Manager and Firefighter that Phase one training had been completed. These three in the sample should also have a hardcopy of their signed Paper phase one TASK book at their station. We have requested this evidence but this was not received during our audit.</p> <p>In three cases we found a final report of training had been signed off by an assessor to confirm completion, this information was held on the individuals personnel files within HR.</p> <p>In a further four cases evidence had not been retained by the Service to demonstrate initial Firefighter training had been completed.</p> <p>We have agreed a management action as there is a risk that staff records may not be updated appropriately and are not accurate. In addition if</p>	High	Comprehensive records will be maintained detailing the qualifications and training records of all staff.

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
				serious incidents occur (leading to death), the Service may be unable to prove that officers are competent and qualified appropriately.		
1.8	Monitoring and completion of refresher training for firefighters For Phase three of training, firefighters complete their individual electronic TASK book which is checked and signed off on completion by the individuals Line Manager via automatic workflow. Phase three firefighters have refresher / training updates which are set within their TASK books. Phase three must be fully completed throughout the year and a new TASK book is issued at the beginning of each year. Station Managers should monitor the completion of this training by reviewing their Teams TASK book.	No	N/A	<p>As Phase three training is completed throughout the year we have tested the completion of Phase three TASK books for year end 2015/16 as each TASK book must be completed in full.</p> <p>For a sample of five firefighters (full time and retained) across five different stations we obtained reports from TASK on the completion of TASK books for 2015/16 and found in all cases the TASK books had not been fully completed.</p> <p>In three cases six of eight sections for core operational skills training had been completed.</p> <p>In one case five out of eight sections of core operational skills training had been completed.</p> <p>In the final case two of eight sections of core operational skills training had been completed and only five of the eight sections had been completed for risk critical training (training specific to location).</p> <p>On review of the TASK reports for our sample of five we found three cases where the training had not been reviewed / verified by the Station Manager. In the remaining two cases we found the respective Station Managers had only verified half of the TASK book.</p> <p>If the mandatory refresher training is not fully completed and monitored by Station Managers there is a risk that firefighters will not be sufficiently trained to remain competent. Where competence is low there are potential impacts on the safety of staff and the public.</p>	High	<p>Line Managers will be reminded of the importance for firefighters to complete their phase three TASK books fully on an annual basis.</p> <p>Compliance should be monitored and reported on by station in a periodic performance scorecard or report to the relevant governance forum.</p>

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
1.9	<p>Trainer qualifications</p> <p>As per the Learning and Development Policy, trainers/instructors, responsible for the design and delivery of learning and development programmes are responsible for ensuring they meet the minimum requirements for quality assurance.</p> <p>The minimum qualification for Trainer or Instructor will be the Preparing to Teach in the Lifelong Learning Sector (PTLLS) Level three, or equivalent.</p> <p>An individual's qualification certificates are sent to L&D to confirm qualification is held and added to the individuals profile on TEM. Copies of qualification certificates are then retained in employee personnel files in HR.</p>	No	N/A	<p>We reviewed a list from Payroll of all trainers and instructors on SAP and found there were 24 individuals within a training role including those who are on a casual or secondary contract.</p> <p>We also reviewed a list maintained by L&D of all individuals who currently provide training and found there was a total of 94 staff.</p> <p>Through discussion with L&D we were advised that some individuals may provide training as part of their role but their main role may not be a trainer or instructor which is why L&D hold a more comprehensive list.</p> <p>As the Policy states the minimum qualification for a Trainer or Instructor is the Preparing to Teach in the Lifelong Learning Sector (PTLLS) Level three, or equivalent we took a sample of 10 from the L&D list of trainers and found:</p> <ul style="list-style-type: none"> • In two cases the individuals worked in the Community Safety and do not provide any training. They are responsible for undertaking presentations within the community on safety and therefore do not need the qualification. • In five cases we confirmed the relevant qualification had been recorded on the TEM system. • In the remaining three cases we found the trainer/instructors did not have a level three qualifications or equivalent recorded on TEM. Through discussion with the L&D Team, we confirmed one out of three of these cases were an L&D officer who advised they had the required qualification but had not submitted copies of their qualifications to L&D or HR since commencing 		Please refer to management action 1.3 for maintaining records.

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
				<p>their role.</p> <p>We requested evidence of qualification certificates from HR for the eight individuals with Training/ instructor duties and found:</p> <ul style="list-style-type: none"> • In two cases the certificates were held on the individuals personnel file in HR; • In two cases the certificates were only held by L&D and not on the individuals PRF file in HR; and • In the remaining four cases the certificates were not held on the individuals' personnel files in HR or L&D. <p>If evidence of trainer/instructor qualifications are not held centrally or qualifications are not possessed by those training there is a risk that these individuals within the Service are administering training in breach of the Learning and Development Policy. Therefore training could be given by inappropriately qualified staff leading to insufficient training of training attendees.</p>		
1.10	<p>Reporting on training compliance</p> <p>There is currently no training compliance reporting carried out for general staff and firefighters.</p> <p>A quarterly report has been developed by Learning and Development to show all courses the Service will run each quarter in comparison to the actual number of courses delivered within the same period for firefighters.</p> <p>The data that informs the report is from</p>	No	N/A	<p>We reviewed the latest report developed for the Quality Assurance of Training firefighters for quarter two 2016. We were advised by the Learning and Development Manager that a draft of this report was sent to the Director of Transformation but feedback on the content and scope of this report is still required before it can be issued to the Service more widely.</p> <p>On review of the report we found it detailed the courses planned by subject area, the number of bookings and number of days training to be held against the actual number of courses delivered and levels of attendance.</p>	High	<p>Once the new system is introduced and base line data can be relied upon, a process of monthly reporting will be implemented on training compliance for Firefighters and general staff.</p> <p>Management will also review the new systems capacity to be linked to TASK.</p>

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
	<p>the TEM system.</p> <p>The first report covered the period of July-September 2016. The report is still being developed and but once complete will be reported to the Service Leadership Team to provide an overview of the number of courses were delivered against plan.</p>			<p>TASK reporting capabilities</p> <p>We reviewed the TASK system reporting capabilities with the Assistant Divisional Officer in L&D. We found locally Line Managers at Stations have the ability to run basic reports by individual employee on their training compliance within TASK.</p> <p>The system does not have the capacity to calculate the overall training compliance of the workforce. The L&D team would have to run a report by station and import the data into excel to get a percentage of compliance.</p> <p>Through discussion with L&D and the Head of Performance and Data we confirmed there is no reporting to Senior Management on training compliance for firefighters or general staff.</p> <p>Due to the lack of a central learning management system and defined core training requirements for general staff the Service are unable to report on compliance with training.</p> <p>Without reporting the Service and its management cannot effectively and reliably monitor the organisations compliance with core training. Training gaps will not be identified and lead to staff being incompetent. With regards to operational staff this has potential impacts on the safety of staff and the public.</p> <p>Further TASK system functionality issues</p> <p>Through discussion with the Assistant Divisional Officer in L&D we were advised and identified further system functionality issues with TASK. SAP has the capacity to be linked to TASK and update firefighter TASK books and line managers when they commence employment or transfer to other stations. However, the Service have stopped using the facility as the data on</p>		

Ref	Control	Adequate control design (Yes/No)	Controls complied with (No/N/A)	Audit findings and implications	Priority	Actions for management
				<p>SAP was found not reliable and had caused workbooks to be incorrect.</p> <p>An element of the TASK books and training are specific to the firefighter's location due to the risk factors within their geographical area. As firefighters complete training on TASK a notification is sent to their Line Managers via automatic workflow to sign off and verify that the employee training is complete.</p> <p>As SAP is not relied upon to inform TASK books, the Assistant Divisional Officer in L&D is required to manually update and ensure TASK books are correct. Apart from the increased resource this method relies upon Station Managers to provide an update to L&D on any changes in a timely manner. Should up to date information not be provided to the Assistant Divisional Officer in L&D there is a risk that firefighters will not have the correct TASK books and will not undertake the required training.</p> <p>Whilst we understand the SAP system will be replaced the Service should consider the new systems capacity to be linked to TASK to ensure that TASK books are accurate according to their grade and location.</p>		
1.11	Feedback for firefighter training There are different methods of feedback used depending on the core course. Feedback on the courses is managed and monitored by the responsible L&D Manager for that particular course. This information is not used for any form of reporting.	No	N/A	<p>There are different methods of feedback used depending on the course.</p> <p>Without a more standardized process for feedback on courses for firefighters there is a risk that the Service will be unable to monitor competence and compliance effectively leading to uncertainty in the compliance of training across the workforce.</p>	Medium	A standardised process for feedback on key courses for firefighters will be implemented to ensure feedback is delivered and can be monitored effectively.

APPENDIX A: SCOPE

Scope of the review

To evaluate the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion. The scope was planned to provide assurance on the controls and mitigations in place relating to the following risks:

Objective of the risk under review

To ensure that the services staff and Firefighters have been appropriately trained and developed to deliver their roles without injury to themselves or the public.

When planning the audit, the following areas for consideration and limitations were agreed:

Areas for consideration:

The training and development of fire service staff and Firefighters is pivotal to the success of the Authority in delivering a safe service to the local population. This review will look at the following, for both fire staff and firefighters:

- Policies and procedures are in place which set out the training requirements of all staff and include the roles and responsibilities of the individual, line managers and HR in ensuring compliance;
- A review of training needs assessments at each level of the Service and how these are used to build training programmes and courses. This will include the review of use of personal training assessments and how these are monitored to ensure the assessment and the training is completed. As part of this we will sample test to ensure records of personal training needs are up to date;
- Review of how mandatory training needs are identified and approved to ensure these meet the needs of the organisation;
- Compliance with mandatory training and refresher training, and how they are assessed and monitored, by selecting a sample of records across areas to ensure those records of training completed and due are accurate and evidenced. This will also include interviews with a sample of Managers;
- A sample review of the assessment of new recruits for their operational skills and knowledge and identification of training requirements, including the completion of required training;
- A review of the assessment of the competence of trainers within the Training Dept. and at Stations;
- Review of methods for evaluating the adequacy and effectiveness of the training provided;
- Review of reporting covering training needs and completion of mandatory training have been completed, using sample testing to review the accuracy of those reports;

In addition to this, we will review how competencies are documented and how well the Authority is able to evidence the continued development of Firefighters including the use of 360 degree feedback to ensure that additional training needs are identified and actioned.

Limitations to the scope of the audit assignment:

The following limitations apply to the scope of our work:

- This review did not comment on whether individual training risks were appropriately managed, the organisation Testing was conducted on a sample basis only based on records and reporting completed in the last 12 months.
- We have not commented on the type, appropriateness or quality of the training delivered; only note the progress that has been recorded against training plans in place.
- We have not commented on the competence of trainers, only that a process is in place to assess completeness and from the review of a sample that the process had been followed.
- We have not carried out a review of 360 degree feedback on training due to the number of issues identified during the review.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

APPENDIX B: FURTHER INFORMATION

Persons interviewed during the audit:

- Claire Budgen, Learning & Development Manager
- Wendy Marshall, Learning & Development Officer
- Marie Russell, Learning & Development Officer
- Carl Pullen, Station Officer
- Steve Hart, BA Training Manager
- Moira Bruin, Divisional Officer Training & Development Manager
- Mark Huggins, Assistant Divisional Officer Operational Training Manager
- Sarah Rapley, Assistant Divisional Officer / Operational Training Officer
- Kerry Peterson, Learning & Development Support Team Leader
- Sean Howard, HR Assistant
- Wendy Fautley, Resource Co-ordinator
- Michelle Kent, Resource Co-ordinator

Benchmarking

We have included some comparative data to benchmark the number of management actions agreed, as shown in the table below. In the past year, we have undertaken a number of audits of a similar nature in the sector.

Level of assurance	Percentage of reviews	Results of the audit
Green (substantial assurance)	0%	-
Amber Green (reasonable assurance)	50%	-
Amber Red (partial assurance)	50%	-
Red (no assurance)	0%	✓
Management actions	Average number in similar audits	Number in this audit
	5	10

FOR FURTHER INFORMATION CONTACT

Suzanne Lane – Senior Manager

Suzanne.Lane@rsmuk.com

+44 (0)1908 687800

**Lee Hannaford – Assistant
Manager**

Lee.Hannaford@rsmuk.com

+44 (0)781 616 1439