Committee report   SPT

Regularity audit of training outcomes and reporting

Committee	Audit and Standards

Date of meeting   29 November 2019   **Date of report**   19 November 2019

Report by Assistant Chief Executive

1. Object of report

To advise the committee on the findings of a regularity audit of training outcomes and reporting. This engagement is included in the annual Internal Audit plan for 2019/20.

2. Background

Strathclyde Partnership for Transport (SPT) is committed to employee development to ensure that employees have the skills and competence required to conform to relevant regulatory frameworks and good practice.

The Personnel committee, at its meeting of 22 February 2019, approved a revised employee development policy and supporting guidance.

Organisational change administer this policy and provide support and advice to individuals, managers and teams by enabling access to further education, training, management development and learning activities.

The objective of this engagement was to assess the application of organisational development practice in accordance with prescribed policy.

This engagement tested elements of the internal controls and mitigation against SPT 27: loss of employees, as identified in the corporate risk register.

3. Outline of findings

Prior to the start of each financial year, service leads are required to carry out training needs assessments and complete a Service Development Plan for submission to organisational change including, where appropriate, details of courses and learning forum with indicative costs.

Organisational change officers make arrangements to deliver authorised learning, training and development requests within budgetary provision.

On average, during the 2018/19 financial year, each employee received five days learning, training and development.

Engagement testing found that learning, training and development arrangements are proportionate to requirements. However, there is some scope to review and refresh the current reporting methodology.

There are some areas for improvement, and these areas have been addressed by two recommendations. Organisational change management have agreed to implement these recommendations, which are currently being actioned.

4. Conclusions

The Audit and Assurance team has undertaken a regularity audit of training outcomes and reporting. Two recommendations have been agreed from this engagement.

Key controls exist and are applied consistently and effectively in most areas covered in this engagement.

Sound assurance in most areas can be taken from this engagement.

5. Committee action

The committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

6. Consequences

Policy consequences	*None.*
Legal consequences	*None.*
Financial consequences	*None.*
Personnel consequences	*None.*
Equalities consequences	*None.*
Risk consequences	*As detailed in the report.*

Name   Valerie Davidson

Name   Gordon Maclennan

Title   **Assistant Chief Executive**

Title   **Chief Executive**

For further information, please contact Iain McNicol, Audit and Assurance Manager on 0141 333 3195.

Agreed action plan: Regularity audit of training outcomes and reporting

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<u>Training courses and seminars</u> Organisational change should regularly remind heads of departments and course co-ordinators of the requirement to report all learning, training and development activities undertaken by staff, irrespective of how these were arranged (including *'free'* spaces, on-line and webinars). This initiative will facilitate a more comprehensive recording and reporting of organisational development activities to senior management and committee.	Low	Quarterly reminders will be sent to heads of departments and course co-ordinators to report on all learning, training and development activities for recording and presentation to senior management and committee.	Head of Organisational Change	February 2020
2	<u>Reporting</u> The methodology applied to reporting learning and development activity should be reviewed and enhanced. Reporting should provide for the following: • balanced coverage of external, internal and other learning, training and development; • percentage of staff receiving training; and • budgetary variances. Reporting should not solely be focused on budgetary provision.	Low	The reporting methodology will be reviewed and updated, where appropriate.	Head of Organisational Change	February 2020