

# **INTERNAL AUDIT REPORT**

## **St. John's Regional Fire Department** **Review of Training Division**

**Assignment # 20-03**

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ST. JOHN'S

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To: Chair & Council Members, City of St. John's Audit Committee

Area Responsible: Sherry Colford – Fire Chief, SJRFD

Copy to: Kevin Breen, City Manager

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## INTRODUCTION

### **OBJECTIVES**

In accordance with the City's approved audit plan, the objective of this audit was to determine if the St. John's Regional Fire Department's Training Division had adequate systems, processes, and controls in place to administer training for its members.

### **BACKGROUND**

Through the office of the Fire Chief, the St. John's Regional Fire Department ("SJRFD") is responsible for providing St. John's and surrounding regions with an acceptable level of fire and emergency protection in an economic manner. Services provided to the public include fire suppression, fire prevention, road traffic accident response, medical response, hazardous material and special teams response and 911 communication services.

SJRFD senior management includes the Fire Chief, Deputy Chief of Operations and Deputy Chief of Support Services. The latter is responsible for Fire Prevention Division, 911 Communications Centre and Training Division.

Training Division, which is located at Central Fire Station, is staffed with three members including a Training Officer and two Assistant Training Officers. These positions are unionized positions, and as such, associated job responsibilities are outlined in the collective agreement between the City of St. John's ("City") and International Association of Firefighters Local 1075.

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Training Division is responsible for the training and career development of all SJRFD suppression staff, who are spread out across the 8 fire stations in the region. Additionally, the division is responsible for tracking the completion of member training and maintaining the supporting documentation. This is an important process as firefighters have various training requirements, either mandated by legislation or internally by the SJRFD, that must be completed in order to effectively perform their duties.

Training standards and best practices are set by the National Fire Prevention Association (“NFPA”), many of which have been adopted by the SJRFD. Training Division uses job performance requirement sheets (“JPRs”) to provide training in relation to these standards. Per NFPA, JPRs consist of the task to be performed; the tools, equipment, or materials that must be provided to successfully complete the task; evaluation parameters and/or performance outcomes; and lists of requisite knowledge and skills one must have to be able to perform the task.

Multiple JPRs can be utilized to evaluate a single standard. Lower-level or introductory JPRs can be administered by on-duty Captains and Lieutenants. These individuals are required to provide the physical JPRs to Training Division after completion. Other JPRs, such as the actual fire apparatus driving test, are administered directly by a member from Training Division.

Training Division is also involved in the administration of other training such as first aid and powerline hazard instruction. Although final certification comes from St. John’s Ambulance and Workplace NL, respectively, for these training courses, Training Division is involved in organizing the training and transferring the testing documents to the external body for certification. Training Division also retains copies of the source documents.

At the time of the audit, Training Division was using excel spreadsheets to track the completion of member training and source documents were maintained in

binders. It is imperative that these records are accurate and complete to substantiate that the related training was completed.

## ***METHODOLOGY & SCOPE***

The scope of the audit included a review of the processes used by the St. John's Regional Fire Department's Training Division to administer training. Specifically, the audit evaluated the controls in place to ensure member training records were accurate and complete and supported by adequate documentation. Substantive testing was utilized to determine the integrity of training records. When selecting samples for testing, only samples from the prior three years (2017, 2018 and 2019) were selected.

Other key controls, such as management oversight and policy and procedure, were also examined during the audit to ensure they were in place and operating effectively. Additionally, the audit examined whether the SJRFD Training Division had a mandate and purpose formally documented to help ensure training activities are carried out in a systematic and structured manner.

The audit also examined if the prerequisites for the roles of both Training Officer and Assistant Training Officer, as outlined in the collective agreement, had been met by the current members of Training Division. This was included in the scope of the audit to ensure that Training Division members had the required expertise to effectively administer training.

Preliminary discussions with management and members indicated that the Incident Critique Analysis process, which is used to review unique or difficult emergency calls, had potential training implications. Therefore, this process was reviewed as part of the audit as well.

The audit did not examine the quality or effectiveness of the actual training administered by Training Division, or if the content of training courses met

applicable best practices. Similarly, it did not examine if firefighters had completed all applicable training, or if they held the required certifications to work as a firefighter. Inclusion of these areas in the audit would have broadened the scope and, due to resource constraints, inhibited us from issuing a timely report. As such, these areas are better suited for inclusion in a separate, stand-alone audit.

## **CONCLUSION**

The audit determined that the SJRFD had a formalized system and related processes in place to administer training for its members. Numerous key controls were implemented as part of this system including electronic record keeping, standardized supporting documentation and appropriate signoffs on training forms. However, it was found that governance processes and procedures to ensure the accuracy and completeness of training documentation was lacking. As a result, the audit noted opportunities to both strengthen existing controls and implement additional controls which would better ensure the accuracy and completeness of training records.

## **EXECUTIVE SUMMARY**

Internal Audit's review of the SJRFD Training Division focused on whether adequate systems, processes and controls were in place to allow Training Division to effectively administer training for its members.

Audit testing and procedures utilized during the review identified several positive outcomes. Foremost, Training Division had a spreadsheet system in place to track member training. The spreadsheets were supported by source documentation such as job performance requirement sheets that were designed to include the signature of both the trainee and trainer. This dual signature represents best practice as it contributes to the validity of the training documentation.

Additionally, the SJRFD had implemented an Incident Critique Analysis process to review difficult or unique emergency calls. While the purpose of this process was to identify any lessons learned for a given incident, it was also being used to identify training needs. The SJRFD should be commended for having such an important process formalized and implemented.

However, the audit identified areas for improvement regarding several existing controls, as well as opportunities for the development and implementation of new controls. Audit testing showed that SJRFD training records were not complete and accurate, indicating that the record keeping process requires improvement. Furthermore, formalized policy and procedure was not in place to guide the operations of Training Division. Additionally, the audit determined that the implementation of a new training system, which the SJRFD had purchased but not yet implemented, may potentially benefit the record keeping process.

Other recommendations pertain to strengthening the governance process through the use of annual training reports, undertaking annual reviews of



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member records and the record keeping system, further leveraging the Incident Critique Analysis process to identify training needs and ensuring Training Division members have achieved their NFPA teaching certification.

These recommendations and other observations outlined in the report will assist the SJRFD in its continued effort in developing an effective and efficient Training Division. It should be noted that management has agreed to implement all proposed recommendations.

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## DETAILED ANALYSIS

As part of the audit, we obtained master training spreadsheets for various training courses that included the names of members who completed the training and the date of completion. From these spreadsheets, we chose 20 samples and requested to see the supporting Job Performance Requirement sheet ("JPR"). This allowed us to assess the accuracy and completeness of the forms. We also reviewed the forms to help substantiate if the training was completed. We did this by verifying the JPRs were appropriately signed off by both the instructor and student.

The sample included JPRs for training related to Spartan Pump Operator, Sutphen Ladder, Rapid Intervention Crew and Driver/Operator Ariel Performance. The results are outlined in Table 1.0 below:

Table 1.0 – JPR Testing			
<i>Number of JPRs requested by Internal Audit</i>	<i>Number of JPRs provided to Internal Audit</i>	<i>Number of JPRs reviewed without exception</i>	<i>Number of JPRs reviewed with exceptions</i>
20	20	15 (75%)	5 (25%)

As noted in Table 1.0, 15 of the 20 JPRs were reviewed without issue as all pertinent fields were completed and each form was signed off by both the instructor and the student. However, five of the sampled forms were missing the student's signature. Therefore, we could not verify that the training had been completed from reviewing these 5 JPRs.

We also examined documentation for other types of training including first aid and powerline hazard training. We selected five samples from the first aid spreadsheet and three samples from the powerline hazard spreadsheet and

requested to see the supporting forms and documentation. The results are outlined in Table 1.1 below:

Table 1.1 – First Aid and Powerline Hazard				
	<i>Number of forms requested by Internal Audit</i>	<i>Number of forms provided to Internal Audit</i>	<i>Number of forms reviewed without exception</i>	<i>Number of forms reviewed with exceptions, including missing forms</i>
<i>First Aid</i>	5	3	1 (25%)	4 (75%)
<i>Powerline Hazard</i>	3	0	0 (0%)	3 (100%)

As noted in Table 1.1, Training Division was unable to locate supporting documentation for two requested first aid samples and three requested powerline hazard samples. Furthermore, 2 of the 3 first aid forms provided were missing the student's signature. Therefore, we could not verify the validity of training for seven samples from the forms.

For the 12 total samples (including JPR, first aid and powerline hazard samples) that had missing documentation, we attempted to follow up directly with respective members to confirm if they had completed the training. One of the sampled members had retired, but the remaining 11 were contacted via telephone. 10 of the contacted members verified they had completed the associated training as outlined in the spreadsheet, while one member was uncertain if he completed the training.

Incomplete and/or inaccurate training documentation is indicative of poor-quality training records, which in turn could cause significant issues for the SJRFD, especially if such forms are ever needed for regulatory, compliance or legal purposes. The following recommendations contained in this report will aid the SJRFD in addressing this issue and help ensure training records and supporting

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documentation are complete and accurate and can be accessed in a timely manner.

### **Issue 1.1 Divisional Procedure**

Discussions throughout the audit with the Training Officer highlighted inherent difficulties in maintaining adequate training documentation. Foremost, although Training Division is located at Central Fire Station, on-duty Captains and Lieutenants could administer certain JPRs at each of the 8 fire stations located throughout the region. This presents a logistical issue as the JPRs and other supporting training forms must be physically sent to Training Division. This is also applicable to first aid and powerline hazard instructors who must provide supporting documentation to Training Division as well.

There was also uncertainty regarding what level of review Training Division should be doing on the training forms it received. The Training Officer indicated Training Division would attempt to follow-up with the sender regarding incomplete and/or missing training forms, however, it was a very time intensive process as many firefighters do not have City email addresses and do not have traditional nine to five work schedules.

The audit also determined that there was no formal filing system for documents in Training Division. Discussions with the Training Officer indicated that while documentation for each training course is organized into binders, some binders may have been misplaced over the years or stored in different locations due to turnover within the division. This disorganization likely contributed to the missing documentation.

It is best practice that critical recurring activities, such as how training records are completed, sent to Training Division, reviewed, and filed, are detailed in

procedural documents to ensure they are carried out accurately and consistently. Without adequate procedure, employees may lack proper guidance on how to perform processes correctly, which can lead to process deficiencies. The absence of detailed procedure regarding the above activities was, in our opinion, a major contributor to the incomplete and inaccurate training records.

**Recommendation 1.1**

- i. To ensure all JPRs and other training forms are accurate and complete, SJRFD management should develop and implement procedure regarding how these forms are completed, sent to Training Division, reviewed, and filed. The procedure should, at a minimum, address the following regarding JPRs and other training forms:
  - who in the organization is authorized to complete the forms
  - how the forms are completed (e.g. mandatory fields that must be completed, who is required to sign the forms, etc.)
  - if persons outside Training Division are authorized to complete the forms, how the forms are provided to Training Division and the timelines for completing and forwarding the forms
  - if forms can be sent electronically or if hard copies are required
  - how Training Division reviews the forms and follow-up procedures to adhere to if the forms contain deficiencies
  - how forms are filed by Training Division (e.g. if forms should be filed by member or by training course)
  - the required record retention period for the forms
  - the potential discipline or repercussions for non-compliance with the procedure
- ii. To ensure all JPRs and other training forms are accurate and complete, management should provide training to those tasked with completing and reviewing the forms and familiarize them with the procedure to be

followed.

- iii. SJRFD management should review NFPA 1401: Recommended Practice for Fire Service Training Reports and Records for best practices when developing procedure to ensure the accuracy and completeness of training records. Per NFPA, this standard provides fire service personnel with basic information tools for effective training administration.

### **Management Response and Intended Course of Action 1.1**

This recommendation will be implemented in its entirety by February 2021.

### **Conclusion 1.1**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services      **Action Date:** February 2021

**Information Only:** Fire Chief

### **Issue 1.2 Formal Policy and Mandate**

SJRFD management have developed a Policy and Operational Guidelines Manual that covers numerous aspects of the Fire Department and should be commended for doing so. However, the manual does not include a policy outlining the purpose, mandate, and responsibilities of Training Division. It is best practice for organizations to have policies in place for important processes, such as organizational training, to ensure departmental activities are congruent with the strategic goals and objectives of the organization.

In the absence of a clear policy and mandate, Training Division may be carrying out activities that are not in line with the SJRFD's overall goals and objectives.

The development and implementation of a formal training policy would help minimize this risk and contribute to a more purposeful Training Division.

It should be noted that the SJRFD's section on the City's website does include a brief summary of the responsibilities of Training Division. Additionally, Policy 01-02-10 - Training Officer, which outlines the duties and responsibilities of the Training Officer position, does indirectly discuss aspects of the role of Training Division.

### **Recommendation 1.2**

The SJRFD should develop a formal policy outlining the purpose, mandate, and responsibilities of Training Division. Information from the summary of the responsibilities of Training Division on the City's website and Policy 01-02-10 could be leveraged when developing this policy.

### **Management Response and Intended Course of Action 1.2**

This recommendation will be implemented in its entirety by January 2021.

### **Conclusion 1.2**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services      **Action Date:** January 2021

**Information Only:** Fire Chief

### **Issue 1.3 Information Management System**

Discussions with SJRFD management indicated that while they do have an electronic training module that is compatible with their current fire department information management system, it has not been implemented. Instead, they rely on a number of Excel workbooks to track training. Excel spreadsheets generally

have inherent control weakness such as the inability to quickly perform queries and generate timely reports with ease. Additionally, the risk of training records being inaccurate and/or incomplete increases when multiple workbooks are used, and information fields are not standardized.

These control weaknesses were present in various training spreadsheets reviewed during the audit. For example, the powerline hazard training spreadsheet did not use a standardized format to capture the date training was completed. Some fields included the exact date the training was completed, while others only included the year the training was done. Similarly, individual certificate numbers, which are issued by Workplace NL when a person completes the training, were not consistently captured for all members.

Furthermore, multiple Excel workbooks existed for a single type of training. For example, there was a first aid workbook that captured training completed in 2017 and 2018, and another workbook that captured training for 2019. However, some of the information in the 2019 workbook was already captured in the 2017/2018 workbook, making the process inefficient and cumbersome.

### **Recommendation 1.3**

- i. The SJRFD should consider implementing a new training system to help plan and track employee training. The training module associated with the information management system currently in place at the SJRFD may be the most logical system to consider; however, it should be investigated to determine if it meets the needs of the division.
- ii. If a new training system is implemented, then members of Training Division should be provided adequate training to ensure they can confidently utilize the electronic system going forward to track member training.



iii. If it is decided to not implement a new training system, then management should implement controls to ensure the accuracy and completeness of the Excel spreadsheets currently in use. This would include written procedures addressing:

- how the spreadsheets are to be updated
- what information is captured in the spreadsheets and in what standardized format
- who is authorized to update the spreadsheets and who has access to them
- who should review the information contained in the spreadsheets
- the naming convention of each workbook and where they are saved on the network
- if a single workbook for a particular type of training can be used to capture multiple years of training records (e.g. a tab for each year) or if new a workbook must be created each year

It should be recognized that management's ability to perform certain queries or generate reports from the Excel spreadsheets will be limited.

### **Management Response and Intended Course of Action 1.3**

Recommendation 1.3 (i) and (ii) will be implemented but not fully completed, by September 2021. A follow-up date will be provided on status of new system prior to this date.

Recommendation 1.3 (iii) will be implemented by December 2020 as an interim tracking system until an appropriate computer system is considered and if feasible, implemented.

### **Conclusion 1.3**

The recommendation will be implemented as stated above.

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**Action By:** Deputy Chief Support Services    **Action Date:** September 2021

**Information Only:** Fire Chief

### **Issue 1.4 Evaluating Individual Training Records**

Training Division does not perform scheduled reviews of its training records. Per Section 6.1 of NFPA Standard 1401: Recommended Practice for Fire Service Training Reports and Records, it is best practice that individual training records are evaluated at specified intervals to ensure members have completed all applicable training requirements. Without this evaluation, there is a risk that members have missed training and therefore do not have the skills needed to effectively perform their duties. Additionally, as some training is mandated by legislation (e.g. powerline hazard training), there is a risk that the SJRFD could face penalties for non-compliance pursuant to that legislation.

### **Recommendation 1.4**

Management should establish specified intervals for Training Division to review individual training records and formally document this requirement in policy. As outlined in Section 6.1 of NFPA Standard 1401: Recommended Practice for Fire Service Training Reports and Records, each individual's training record should be reviewed to determine the following:

- if the individual has taken all required training
- if required training has not been completed, that the individual has been scheduled for the missed training
- if performance deficiencies show up on the individual's training record
- if deficiencies do exist, that a program has been developed to overcome them
- if all required JPRs established by the department have been met

- if JPRs have not been met, that problems have been identified and a program has been developed to overcome them
- If there are areas of training that are being overlooked
- If the cycle of training is sufficient to maintain skill levels

**Management Response and Intended Course of Action 1.4**

The review of training records and the Policy will be implemented in its entirety by April 2021.

**Conclusion 1.4**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services    **Action Date:** April 2021

**Information Only:** Fire Chief

**Issue 1.5 Annual Review of System**

Training Division does not perform an annual review of the record keeping system and supporting training forms. Per Section 6.2 of NFPA Standard 1401: Recommended Practice for Fire Service Training Reports and Records, it is best practice that a review of the record keeping system and supporting training forms is performed at least annually. Without this review, there is a risk that the SJRFD would be unaware of issues related to the record keeping system or if improvements could be made to it. Likewise, the SJRFD may not realize if training forms have become outdated and no longer reflect current job performance requirements and associated best practices.

**Recommendation 1.5**

Management should ensure the record keeping system and supporting training forms are evaluated annually. This will help ensure the system continues to meet the needs of the SJRFD and training forms are up to date and reflect current job performance requirements and NFPA standards. The review should include, at a minimum, the following activities:

- Discussions between management and members of Training Division regarding the effectiveness of the record keeping system, related issues, possible improvements and ultimately if it is meeting the needs of the SJRFD
- A review of JPRs and other training forms to ensure they reflect current training methods and best practices as set by NFPA
- A review of JPRs and other training forms to ensure they continue to capture all necessary information

**Management Response and Intended Course of Action 1.5**

This recommendation will be implemented in its entirety by February 2022. The Policy is scheduled to be implemented in February 2021 and while reviews will be conducted for quality assurance purposes, the first official annual review will be in February 2022.

**Conclusion 1.5**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services    **Action Date:** February 2022.

**Information Only:** Fire Chief

**Issue 1.6 Annual Plans**

SJRFD management does not receive an annual plan from Training Division regarding what training is planned for the upcoming year and if the prior year's annual plan had been achieved. Per section 5.2.4.2 of NFPA Standard 1401: Recommended Practice for Fire Service Training Reports and Records, annual plans are an important element when organizing training. These plans encompass best practices as they help ensure training is relevant, effective, and properly delivered in a consistent and cost-effective manner. Additionally, they provide management with appropriate oversight to determine if Training Division is meeting its mandate. Plans such as these are also excellent learning tools as they can formally document lessons learned throughout the year for Training Division.

It should be noted that during the audit, the Deputy Chief of Support Services was working on the development of a three-year training plan for SJRFD suppression staff. This plan, which was documented in an excel workbook, included all the training courses applicable to SJRFD firefighters, the delivery method and timeframe, applicable legislation, recertification timelines, estimated cost of the training courses and applicable NFPA standards. Although this plan was not fully completed, the SJRFD should be applauded for developing this document as it captured important training details.

**Recommendation 1.6**

- i. Management should ensure that Training Division develops a formulized training plan annually and submits it to SJRFD senior management for review and sign-off. The annual report should include:
  - the goals and objectives of Training Division
  - accomplishments during the year
  - if the prior year's training plan was achieved or if applicable, reasons why it was not achieved or had to be modified

- the projected training plan for the upcoming year
  - areas for improvement and lessons learned that can be incorporated into future training plans.
- ii. Management should continue to develop and finalize its three-year training plan and use this document to ensure the submission of annual training plans by Training Division is complete and in-line with organizational training requirements.

### **Management Response and Intended Course of Action 1.6**

As indicated above, the Training Division already works from a 3-year Training Plan and will develop its Annual Plan from that. This recommendation will be implemented in its entirety by December 2020.

### **Conclusion 1.6**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services    **Action Date:** December 2020

**Information Only:** Fire Chief

### **Issue 1.7 External Training Confirmation**

Discussions with the Training Officer indicated that there are issues regarding how documentation is sent to external training organizations such as St. John's Ambulance and Workplace NL. Foremost, the Training Officer noted that St. John's Ambulance had deemed some of the documentation received from SJRFD on behalf of its members as incomplete and therefore have not been issuing first aid certificates to these members. While these members have completed the training per the SJRFD, they are not technically certified until

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proper documentation is provided to St. John's Ambulance and the certification is issued. This is a significant risk for the SJRFD as firefighters are required to be certified in first aid per the SJRFD Recruitment Guide.

Likewise, the Training Officer noted that there are significant discrepancies between Training Division's records for the completion of powerline hazard training and those on file with Workplace NL. Information provided by the Training Officer indicated Training Division recorded 111 firefighters as having completed the training in 2018, while Workplace NL records only showed 45 as being certified. Powerline hazard training is legislated training that must be completed every three years, and hence these inaccuracies are a significant risk to the SJRFD.

**Recommendation 1.7**

To ensure that current and future SJRFD training records match what is on-file with St. John's Ambulance and Workplace NL, Training Division should:

- i. On an annual basis, confirm that its training records for first aid and powerline hazard training match those on file with St. John's Ambulance and Workplace NL, respectively. Any discrepancies should be immediately investigated.
- ii. Develop procedure in relation to external training certifications such as first aid and powerline hazard training to clarify its role and responsibilities in the reporting process. The procedure should outline how information is sent to St. John's Ambulance and Workplace NL, what information needs to be provided, what documentation is retained by SJRFD and where issued course completion certificates are stored.

**Management Response and Intended Course of Action 1.7**

Work has already commenced on Recommendation 1.7 and will be finalized by September 2021.

**Conclusion 1.7**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services    **Action Date:** September 2021

**Information Only:** Fire Chief

**Issue 1.8 Workplace NL Portal**

Workplace NL provides an on-line portal for external organizations such as the SJRFD to access and review their employees' training records. Discussions with SJRFD personnel indicated that the Training Officer and Deputy Chief of Support Services are supposed to have identical access rights in the portal to ensure a continuity of access. However, the Training Officer indicated that their access rights are not the same. For example, he indicated that he could see copies of the training certificates issued to firefighters on the system while the Deputy Chief could not. As such, there is a risk that complete Workplace NL training records may not be accessed in a timely manner if only a single individual has access to them.

**Recommendation 1.8**

To ensure that Workplace NL training records can be accessed in a timely manner, the SJRFD should contact Workplace NL and request that the Training Officer and Deputy Chief of Support Services both have full access to the portal.



**Management Response and Intended Course of Action 1.8**

This recommendation has been completed as of August 2020.

**Conclusion 1.8**

The recommendation has been implemented.

**Action By:** Deputy Chief Support Services    **Action Date:** Completed

**Information Only:** Fire Chief

**Issue 1.9 Training and Incident Critique Analysis**

Discussions with management indicated that the SJRFD performs an Incident Critique Analysis for unique or difficult emergencies on an as needed basis. The Incident Critique Analysis involves the completion of a form that captures background information on the incident including the location of the incident, the personnel involved, a description of the incident, the root cause of the incident, corrective measures and lessons learned.

During the audit, we obtained a copy of this form and noted that multiple sections asked if “specific training needs were identified” in relation to the incident. This was brought to the attention of the Training Officer, who indicated that Training Division helps facilitate the Incident Critique Analysis process. The division sets up the time and date of the critique and provides those details to the applicable participants. Training Division also attends the critique and retains copies of the Incident Critique Analysis forms.

Further discussions with the Training Officer noted that while Training Division reviews these forms individually for training purposes, they do not track the root causes and lessons learned in a formal document or database. By not tracking

this information, it is difficult to perform a trend analysis and identify incidents with similar root causes or recurring incidents that require additional training.

**Recommendation 1.9**

Training Division should track issues and lessons learned from Incident Critique Analysis forms in a formal document and periodically review this document throughout the year to identify potential reoccurring issues that require further attention.

**Management Response and Intended Course of Action 1.9**

POGs currently exist and will need to be updated which is currently ongoing. The process on next steps once a completed form is received through Training will need to be developed and will be implemented by March 2021.

**Conclusion 1.9**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services      **Action Date:** March 2021

**Information Only:** Fire Chief

**Issue 1.10 Lessons Learned and Incident Critique Analysis**

The Incident Critique Analysis form captures lessons learned for each incident under review. These lessons learned are an invaluable learning tool as they provide opportunities for the SJRFD to improve operations and increase the safety of firefighters. However, discussions with various firefighters indicated that copies of Incident Critique Analysis forms are not provided to firefighters, including those that attend the formal critique process. Additionally, management indicated that there is no formal mechanism in place to disseminate the lessons learned throughout the entire organization.

Consequently, management is missing an opportunity to build organizational awareness regarding threats to safety and ultimately improve firefighters' safety. Additionally, if practical data were shared with the entire organization, it may inspire urgency and improvement within the ranks as real dangers would be highlighted.

**Recommendation 1.10**

The SJRFD should develop a process to ensure that lessons learned from Incident Critique Analysis are communicated to all members of the SJRFD. This could include a memo forwarded to all Platoon Chiefs and/or Captains to be discussed amongst their groups or more formal training sessions put off by Training Division.

**Management Response and Intended Course of Action 1.10**

This is a recommendation that has been part of the past process however the process has not been fully implemented in a number of years. This process can be re-implemented by November 2020.

**Conclusion 1.10**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services      **Action Date:** November 2020

**Information Only:** Fire Chief

**Issue 1.11 Incident Critique Procedure**

Discussions with management and members regarding the Incident Critique Analysis process indicated there is no formal procedure documenting the process. Therefore, important details such as when a critique is performed, its

purpose, who leads the critique, who must attend and how each critique is reviewed are undocumented.

Formally documenting important processes, such as the Incident Critique Analysis, encompasses best practice as it helps ensure the integrity of the process. Without adequate procedure, members may lack proper guidance on how to carry out the Incident Critique Analysis, which increases the risk of the process being ineffective and/or inefficient.

### **Recommendation 1.11**

Procedures should be developed for the Incident Critique Analysis process. The procedures should outline, at a minimum, the following:

- under what circumstances a critique analysis should be performed
- timeline for when the critique should be performed
- who should lead the critique
- who should attend the critique
- who should review and approve the critique to ensure questions are fully explored with complete and meaningful answers provided
- how information gathered in the critique should be distributed throughout the organization for learning and training purposes.

### **Management Response and Intended Course of Action 1.11**

While other recommendations overlap with this recommendation, this specific Policy will be implemented in its entirety by April 2021.

### **Conclusion 1.11**

The recommendation will be implemented as stated above.

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**Action By:** Deputy Chief Support Services    **Action Date:** April 2021

**Information Only:** Fire Chief

### **Issue 1.12 Incident Critique Analysis Form Sign-off**

A review of the Incident Critique Analysis form showed that the form does not have a section allowing the individuals preparing and reviewing it to sign and date it. Ensuring forms are appropriately signed and dated is an essential part of maintaining an adequate audit trail. Without signatures and dates, it is difficult to verify the validity of the document and the corresponding Incident Critique Analysis process.

### **Recommendation 1.12**

Management should ensure that the Incident Critique Analysis form is redesigned to include areas where the preparer and reviewer of the form can sign and date it.

### **Management Response and Intended Course of Action 1.12**

This recommendation will be implemented in its entirety by November 2020.

### **Conclusion 1.12**

The recommendation will be implemented as stated above.

**Action By:** Deputy Chief Support Services    **Action Date:** November 2020

**Information Only:** Fire Chief

**Issue 1.13 NFPA Fire Instructor I Certification**

The Training Officer and one of the two Assistant Training Officers had not achieved their NFPA Fire Instructor I certification as of the time of the audit. As outlined in the collective agreement, this certification is required upon promotion to Assistant Training Officer. While no time frame for completion is provided in the collective agreement, it does suggest that the certification must be obtained prior to being promoted to Training Officer. While there were mitigating circumstances justifying why the Training Officer had yet to complete the instructor course, it must still be completed to ensure compliance with the collective agreement.

**Recommendation 1.13**

Management should ensure that all members of training division have either completed or are in the process of completing the NFPA Fire Instructor I certification as stipulated in the collective agreement.

**Management Response and Intended Course of Action 1.13**

This recommendation has already been implemented.

**Conclusion 1.13**

The recommendation has been implemented.

**Action By:** Deputy Chief Support Services    **Action Date:** Completed

**Information Only:** Fire Chief