



# **Audit Report**

**The Chartered Institute of Personnel and  
Development (CIPD)**

**24 February 2015**

# Contents

<b>1</b>	<b>Background</b>	<b>1</b>
1.1	Scope	1
1.2	Audit Report and Action Plan Timescales	2
1.3	Summary of Audit Issues and Recommendations	3
1.4	Risk Rating of Issues	6
<b>2</b>	<b>Detail of Audit Issues and Recommendations</b>	<b>7</b>
2.1	Issues	7
2.2	Recommendations	9
<b>3</b>	<b>Acceptance of Audit Findings</b>	<b>12</b>

# 1 Background

This was the first audit of the Chartered Institute of Personnel and Development (CIPD) since it was approved as an awarding body by SQA Accreditation on 12 February 2014.

CIPD is an independent and not for profit organisation committed to championing better work and working lives for the benefit of individuals, business, economies and society. This aim is supported by the availability of a portfolio of qualifications in Human Resources and Learning and Development. The organisation is incorporated by Royal Charter and is a Registered Charity.

CIPD's headquarters are situated in Wimbledon, London.

## 1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This states the type and frequency of our quality assurance activities, describes our reporting procedures and indicates how the awarding body's Quality Enhancement Rating is calculated.

As this was a full audit of CIPD, all regulatory requirements were included within the scope of the audit. Our quality assurance activities are conducted on a sampling basis and, consequently, not all aspects of the awarding body's systems, procedures and performance have been considered in this report to the same depth.

The audit was designed to ensure CIPD complies with SQA Accreditation's regulatory requirements namely:

- ◆ *SQA Accreditation's Regulatory Principles* (2014)
- ◆ all *Regulatory Principles Directives*
- ◆ the awarding body's Accreditation Licence

Awarding body documentation considered for review by the Audit Team includes all documents banked on CIPD's Quickr Place at the time of audit and information supplied to support audit activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

## 1.2 Audit Report and Action Plan Timescales

CIPD audit date: 24 February 2015

Audit Report approved by  
Accreditation Co-ordination Group on: 08 April 2015

Audit Report to be signed by CIPD: 21 May 2015

Action Plan to be e-mailed  
to [regulation@sqa.org.uk](mailto:regulation@sqa.org.uk) by CIPD: 21 May 2015

The process will apply in relation to the timescales specified above:

- ◆ The awarding body will be sent two signed copies of the Audit Report by post.
- ◆ The awarding body must sign both copies of the Audit Report and return one by post to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be e-mailed a copy of the Audit Report (for information only) and an electronic copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and e-mail this in Microsoft Word format to [regulation@sqa.org.uk](mailto:regulation@sqa.org.uk).
- ◆ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
- ◆ Following approval by ACG, the awarding body will be sent two signed copies of the approved Action Plan by post.
- ◆ The awarding body must sign both copies of the Action Plan and return one by post to SQA Accreditation.

The findings of this Audit Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

### 1.3 Summary of Audit Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is e-mailed to CIPD as a separate document to the Audit Report, and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.

As a result of the audit and post-audit activities, four Issues have been recorded and seven Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 6	The audit team conducted a review of CIPD documentation, policies and procedures, records and data prior to the audit. It was noted that there were a number of issues regarding the currency and appropriateness of references.	Low
2. Principles 10	No handbook for the <i>CIPD SCQF Level 9 Diploma in Applied Human Resource Management, R375 04</i> , was available on Quickr or at the weblink provided in the document <i>Guidance on Assessment, Version 2.0</i> (August 2013). On the day of the audit, the Audit team was advised that no handbook was currently available for the SQA accredited qualification.	Low
3. Principle 10	<p>The audit team raised concerns that information contained within the <i>Guidance on Assessment, Version 2.0</i> (August 2013) implied that for at least half of the learning outcomes for the <i>CIPD SCQF Level 9 Diploma in Applied Human Resource Management, R375 04</i> competence could be determined through formative assessment only.</p> <p>The audit team considered the above practice to be contradictory to information given elsewhere in the guidance document.</p>	Medium

4. Principle 12 and RPDIR - 5	<p>The <i>CIPD Complaints Policy (Qualifications) v2.0 2014</i> notes states that complainants 'who are still dissatisfied with the outcome may contact Ofqual (<a href="http://www.ofqual.gov.uk">www.ofqual.gov.uk</a>)'. This reference is not appropriate to candidates undertaking SQA accredited qualifications.</p> <p>The policy outlines the circumstances under which a complainant can and cannot refer a complaint to the SPSO. The Lead Auditor is of the opinion that the wording requires further editing to ensure clarity of understanding.</p>	Low
-------------------------------	--	-----

A Recommendation has been noted where SQA Accreditation considers there is potential for improvement. The awarding body is advised to address any Recommendations noted as good practice. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 1	CIPD may wish to revise the Terms of Reference for QAG to take into account the requirements and timescales of the policy when reviewing qualification activity.
2. Principle 5	CIPD may wish to remove the <i>Vocational Qualifications Handbook, November 2004</i> as it is no longer current.
3. Principle 5	CIPD may wish to review the content and location of the information regarding the <i>CIPD SCQF Level 9 Diploma in Applied Human Resource Management, R375 04</i> , and the Scottish Technical Apprenticeship in Human Resource Management held within the website.
4. Principle 6	CIPD may wish to ensure that all Quickr folders linked to the full suite of regulatory principles are populated with relevant documentation, policies and procedures to ensure that SQA Accreditation has access to a wider range of information for the purposes of understanding the strategic and operational performance of the organisation.

5. Principle 10	CIPD may wish to review the <i>CIPD Policy – Language of communication, qualification delivery, assessment and certification, Version Nov 11</i> , to ensure that it is clear to stakeholders that any such practice assessment must be approved by CIPD prior to use.
6. Principle 13	The awarding body may wish to review the <i>CIPD Appeals and Enquiries Policy, v1.0 2013</i> , to make clear that the qualification regulator is unable to overturn assessment decisions or academic judgements as currently noted in the revised Supplementary Information for this regulatory principle, outlined in <i>SQA Accreditation’s Regulatory Principles (2014), Version 2, (1 December 2014)</i> .
7. Principle 14	CIPD may wish to revise the wording of the <i>CIPD Malpractice and Maladministration Policy, v1.0 2013</i> , to reflect the need to identify suspected cases of malpractice or maladministration to SQA Accreditation.

## 1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner.

Issues recorded during the audit will count towards CIPD's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the SQA Accreditation website:

[http://accreditation.sqa.org.uk/accreditation/Regulation/Quality\\_Assurance/Quality\\_Enhancement\\_Rating](http://accreditation.sqa.org.uk/accreditation/Regulation/Quality_Assurance/Quality_Enhancement_Rating)

## 2 Detail of Audit Issues and Recommendations

The following sections detail Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements.

### 2.1 Issues

#### **Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.**

The audit team conducted a review of CIPD documentation, policies and procedures, records and data prior to the audit. It was noted that there were a number of issues regarding the currency and appropriateness of references.

For example, a number of policies such as the *CIPD Appeals and Enquiries Policy, v1.0 2013* and the *CIPD Malpractice and Maladministration Policy, v1.0 2013*, still contain references to *SQA Accreditation's Regulatory Principles (2011)* and not the current regulatory requirements.

Other documentation such as the *CIPD Centre Handbook, Version 2.0, September 2013* and *CIPD Complaints Policy (Qualifications), v2.0 2014*, contain either no references or inconsistent references to the qualification regulator, with the latter using 'SQA' and 'SQA Accreditation' interchangeably.

This has been recorded as **Issue 1**.

#### **Regulatory Principle 10. The awarding body shall ensure that it has the necessary arrangements and resources for the effective delivery, assessment and quality assurance of SQA accredited qualifications.**

The audit team considered the awarding body document titled *Guidance on Assessment, Version 2.0* (August 2013), to be a particularly comprehensive and informative.

However, it was noted on page 1 of the Introduction to the document that this guidance document 'should be read in conjunction with the Centre handbook and Qualification Handbooks'.

No handbook for the *CIPD SCQF Level 9 Diploma in Applied Human Resource Management, R375 04*, was available on Quickr or at the weblink provided within the assessment document itself.

On the day of the audit the Audit team was advised that no handbook was currently available for the SQA accredited qualification.

This has been recorded as **Issue 2**.

The *Guidance on Assessment, Version 2.0* (August 2013), provides guidance on both formative and summative assessment.

On page 9, the document states that formative assessment does not contribute towards the 'final grade'.

However, page 10 contains the following statement:

*In the case of CIPD awarded Intermediate and Advanced level qualifications a minimum of 50% of the learning outcomes and associated assessment criteria must be assessed summatively. The remaining learning outcomes and associated assessment criteria should be assessed formatively.*

The audit team considered this last statement to contradict the information previously provided on page 9 of the guidance document. More importantly, given the fact the current SQA accredited qualification constitutes a CIPD Intermediate qualification, the audit team raised concerns that, for at least half of the learning outcomes, competence could be demonstrated asserted by formative assessment only.

CIPD acknowledged the audit teams concerns, accepting the contradiction as stated but provided assurances that full assessment of the award would be summative.

This has been recorded as **Issue 3**.

**Regulatory Principle 12. The awarding body and its providers shall have open and transparent systems to manage complaints.**

And

**Regulatory Principles Directive RPDIR – 5 Complaints handling**

The *CIPD Complaints Policy (Qualifications) v2.0 2014* notes states that complainants 'who are still dissatisfied with the outcome may contact Ofqual ([www.ofqual.gov.uk](http://www.ofqual.gov.uk))'.

This reference is not appropriate to candidates undertaking SQA accredited qualifications.

Immediately following this reference, the policy states that complainants 'in Scotland may also have the right to contact Scottish Public Service Ombudsman (SPSO). Although this is correct, the Auditors are of the opinion that the alignment of both statements may cause further confusion.

The policy outlines the circumstances under which a complainant can and cannot refer a complaint to the SPSO. The current wording was submitted by CIPD to close out a condition of approval raised in February 2014 to ensure compliance with SQA Accreditation's Regulatory Principles Directive 5.

Although the wording was considered to be satisfactory to close out the condition of approval in November 2014, the Lead Auditor is of the opinion that the wording requires further editing to ensure clarity of understanding, and recommends the removal of the clause 'but those at further education colleges can complain, in turn, and once the previous internal college stage has been exhausted, to the CIPD, to SQA Accreditation, and to the SPSO'.

This clause is unnecessary as CIPD has had the foresight to include the weblink to the SPSO's Further Education Colleges Model Complaints Handling Procedure.

This has been recorded as **Issue 4**.

## 2.2 Recommendations

**Regulatory Principle 1. The awarding body shall have clearly defined and effective governance arrangements.**

The Terms of Reference for CIPD's Qualification Advisory Group (QAG) states that the group's aim is to provide advice and guidance on the design, assessment and quality assurance of CIPD awarded and approved qualifications, and oversight of the policies and procedures to ensure compliance with appropriate regulatory requirements.

Specifically, this includes the review of reports in trends on candidate achievements of CIPD exams, units/modules and qualifications, with the aim being to identify priorities for attention and address areas of concern.

Through discussions around the current lack of uptake of the *CIPD SCQF Level 9 Diploma in Applied Human Resource Management, R375 04* over the last year, it became clear that there was a lack of knowledge of SQA Accreditation's Zero Uptake Policy, the timescales therein regarding actions surrounding non-performing accredited qualifications, and the potential impact on the role of the QAG.

Therefore, CIPD may wish to revise the Terms of Reference for QAG to take into account the requirements and timescales of the policy when reviewing qualification activity.

This has been noted as **Recommendation 1**.

**Regulatory Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.**

CIPD's secure website has a document titled *Vocational Qualifications Handbook, November 2004*. The handbook makes reference to:

SVQ Criteria and Guidance in Scotland (SQA)  
SVQ Handbook: A guide to Scottish Vocational Qualifications (SQA)  
SVQ Update (published quarterly, SQA)

Discussions during the audit established that this document was current and relevant in a previous period of SQA awarding body approval during which Scottish Vocational Qualifications (SVQ) were offered.

CIPD representatives understand that all of the above references are now out of date. Therefore, the awarding body may wish to remove the handbook in its entirety to avoid confusion amongst stakeholders.

This has been noted as **Recommendation 2**.

The audit team was unable to find evidence of the SQA accredited *CIPD SCQF Level 9 Diploma in Applied Human Resource Management, R375 04*, on the awarding body's website.

During the audit, CIPD representatives provided an overview of the website in the form that they believed it to be currently available. This included information on the SQA *CIPD SCQF Level 9 Diploma in Applied Human Resource Management* and the Scottish Technical Apprenticeship in Human Resource Management within which it is a mandatory qualification. They were at a loss to understand how the audit team were unable to access this information, but agreed to undertake a review to ensure no unidentified technical issues were preventing information from being viewed.

As the lack of available information constituted a potential Issue for the awarding body, the audit team was happy to allow this to take place and agreed to review the website again within a few days of the actual audit visit.

Following the subsequent review of website, the Lead Auditor was able to confirm that the relevant information was now available and accessible and that no Issue would be raised within the audit report.

However, as was discussed during the audit itself, the information could perhaps have a higher profile on the website as an aid to resolving the matter of no uptake of the currently accredited qualification. This would include specific information regarding the Scottish Technical Apprenticeship in Human Resource Management (ie supporting leaflets for employers and apprentices), which could assist stakeholder enquiries.

With both in mind, CIPD may wish to review the content and location of the information held on the website.

This has been noted as **Recommendation 3**.

**Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.**

CIPD may wish to ensure that all Quickr folders linked to the full suite of regulatory principles are populated with relevant documentation, policies and procedures to ensure that SQA Accreditation has access to a wider range of information for the purposes of understanding the strategic and operational performance of the organisation.

For example, at the time of audit Quickr held no documentation for Regulatory Principles 2, 3 and 4 regarding operational resources, business planning and risk management. However, during the audit visit, CIPD representatives were able to provide the audit team with evidence to indicate that the organisation is sufficiently robust in these areas as to be compliant.

This has been noted as **Recommendation 4**.

**Regulatory Principle 10. The awarding body shall ensure that it has the necessary arrangements and resources for the effective delivery, assessment and quality assurance of SQA accredited qualifications.**

The *CIPD Policy – Language of communication, qualification delivery, assessment and certification, Version Nov 11*, states that prospective candidates whose first language is not English must demonstrate a high standard of both spoken and written English to register for CIPD qualifications.

The policy provides an acceptable list of assessment tools for determining the level of English Language ability but also notes that an alternative strategy can be to get such candidates to undertake ‘a practice assessment that is written in English and assessed prior to registration’.

The policy does not state who is responsible for determining the suitability of such practice assessments. During discussions it was indicated that centres will be responsible for devising such assessments with appropriate support from CIPD, usually in the form of awarding body endorsement prior to use.

Therefore, CIPD may wish to review the policy to ensure that it is clear to stakeholders that any such assessment process must be approved by CIPD prior to use.

This has been noted as **Recommendation 5**.

**Regulatory Principle 13. The awarding body and its providers shall have clear, fair and equitable procedures to manage appeals.**

The awarding body may wish to review the *CIPD Appeals and Enquiries Policy, v1.0 2013*, to make clear that the qualification regulator is unable to overturn assessment decisions or academic judgements as currently noted in the revised Supplementary Information for this regulatory principle, outlined in *SQA Accreditation’s Regulatory Principles (2014), Version 2, 1 December 2014*.

This has been noted as **Recommendation 6**.

**Regulatory Principle 14. The awarding body and its providers shall ensure that it has safeguards to prevent and manage cases of malpractice and maladministration.**

The *CIPD Malpractice and Maladministration Policy, v1.0 2013*, notes that ‘Ofqual’s general Conditions of Recognition and SQA Regulatory Principles require CIPD to notify them promptly where there is cause to believe that any event has occurred, or is likely to occur, which could have an adverse effect’.

The audit team do not consider the wording to fully account for the possibility of suspected cases of malpractice or maladministration. Therefore, CIPD may wish to revise the wording of the policy to reflect the need to identify such cases to the qualification regulator.

This has been noted as **Recommendation 7**.

### 3 Acceptance of Audit Findings

For and on behalf of CIPD:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

.....

.....

**Signature**

**Signature**

.....

.....

**Designation**

**Designation**

.....

.....

**Date**

**Date**

.....

.....