

Data Audit Framework – Statistical Information



September 2014

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Last updated: September 2014.

This policy will be reviewed annually.

Next review will take place by: September 2015.

Data Audit Framework – statistical information

Below is the text of a letter sent annually to all awarding organisations. It sets out Ofqual's Data Audit Framework, which consists of two parts as explained.

Letter to awarding organisations

As you know, we regularly require information from you to assist us in our regulatory duties. Because of this, the information we collect and report on has to be accurate, timely and informative. As a government department, regularly requested statistical information is overseen by the Code of Practice for Official Statistics, which was drawn up and enforced by the UK Statistics Authority (a copy of the Code can be found here: www.statisticsauthority.gov.uk/assessment/code-of-practice).

One of the requirements is that we must conduct annual information audits to assure ourselves that the information we collect is correct. Below is a description of our approach.

Ofqual's data quality audit framework is in two parts:

1. An annual web based questionnaire completed by every Awarding Organisation covering:
 - what information is collected from the learning centres
 - how it is manipulated and stored
 - how it is quality assured before being sent to us
2. A programme of face to face compliance meetings with a sample of Awarding Organisations. The sample being made of:
 - A group based on risk.
 - A random selection.

Quality data underpins our role and as such appropriate regulatory action will be employed to drive any necessary improvements.

We will produce an annual report of our findings and whilst we do not intend to identify individual organisations within the report we will ensure that any best practice that we identify is clearly communicated for the benefit of all organisations.

Data quality audit – questionnaire FOR INFORMATION ONLY – NOT TO BE COMPLETED

1. Awarding organisation
2. Your name
3. Your role
4. Can you access and report on learner information going back for at least 5 years? [Yes/No]
 - a) If “No” please explain why not.
5. Please provide a brief description of the information systems you use to store and report the information to us (eg Excel, SQL Server, bespoke system made by xxx, purchased service).
6. Do you have any plans to change your information storage and reporting system(s), (relating to learners, their qualifications and attainment levels), over the next 2 years?
7. Do you have a disaster recovery process? [Yes/No]:
 - a) If “Yes”, how long will it take you to recover data if you have to invoke it?
8. Do you act as the centre delivering the qualifications, training or assessment yourselves?

[IF YES] :

 - a) What information do you store about learners, their qualifications and attainment levels?
 - b) How is it stored by you?
 - c) How do you ensure that the stored information is accurate?
 - d) How do you ensure that the information you report to us is timely, complete and accurate?
9. Do third parties act as the centre delivering the qualifications, training or assessment on your behalf ?:
 - a) What information do you request from the centres about learners, their qualifications and attainment levels?
 - b) How is the information delivered to you?

- c) How is it stored by you?
 - d) How do you ensure that the stored information is accurate?
 - e) How do you ensure that the information you report to us is timely, complete and accurate?
10. You can send corrections/ revisions to us for your data, do you have a process for this? [Yes/No]
- a) If “Yes” please describe the process.

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