

Appraisal Report

Office of Qualifications and Examinations Regulation

2016

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CONTENTS

| | |
|-------------------------------|-----------|
| Executive summary | 3 |
| Background Information | 5 |
| Selection Decisions | 11 |
| Technical Report | 13 |

Document History

| Draft No | Date | Appraisal Stage | |
|-----------------|-------------|---|-----------|
| 1 | 14/03/2016 | Ofqual has entered key information. Preliminary ideas expressed for the sort of material Ofqual wishes to select. Executive summary completed in draft. Draft sent to TNA's IMC. | Completed |
| 2 | 31/05/2016 | Specific decisions for groups of records have been made and any 'review' has been recorded. This must be done through consultation between IMC and DRO but may involve a wider discussion between IMCs. | Completed |
| 3 | 21/06/2016 | Final first draft. Submission of completed report to Records Decision Panel for approval. | Completed |
| 4 | 01/11/2016 | Feedback received from IMC and further detail provided where requested. Revised draft re-submitted to IMC for Records Decision Panel for approval. | N/A |

Approvals

| Name | Role | Date |
|----------------|--|-------------|
| Michael Rogers | IMC | 01/11/2016 |
| Amy Cawood | DRO (Ofqual) | 01/11/2016 |
| Sarah Rudge | Manager Information Assurance (Ofqual) | 01/11/2016 |

EXECUTIVE SUMMARY

The Office of Qualifications and Examinations Regulation (Ofqual) regulates qualifications, examinations and assessments in England and vocational qualifications in Northern Ireland. It maintains standards and confidence in GCSEs and A levels in England, and vocational qualifications in both England and Northern Ireland. It is a non-ministerial department, independent of government and reports directly to Parliament (usually through the Education Select Committee) and the Northern Ireland Assembly.

Ofqual is responsible for making sure that:

- regulated qualifications reliably indicate the knowledge, skills and understanding students have demonstrated
- assessments and exams show what a student has achieved
- people have confidence in the qualifications that are regulated
- students and teachers have information on the full range of qualifications that are regulated

Ofqual currently regulates around 160 awarding organisations that offer general and vocational qualifications in England and those that provide vocational qualifications in Northern Ireland. Records of all recognised awarding organisations and their accredited qualifications are maintained on the Regulatory IT System (RITS) – to be replaced with a new system in March 2016 called the AO Portal. Details of all recognised awarding organisations and their accredited qualifications are listed in the online Register of Regulated Qualifications which is freely available to the public via the Ofqual website at <http://register.ofqual.gov.uk/Qualification>.

Ofqual will select records for transfer under The National Archives Records Collection Policy, in particular; records of decisions affecting the way in which Ofqual conducts its core functions, records of high-level governance, and records relating to the wider impact of qualifications.

Records for transfer will include:

- Agendas, minutes and papers of the Ofqual Board
- Agendas, minutes and papers of the boards advising on standards and general and vocational qualifications
- Records related to significant developments to, and the reform of qualifications, e.g. the reform of GCSEs and A levels, the reform of Functional Skills qualifications.
- Sectoral risk assessments
- Wider investigations and research into qualification standards, e.g. malpractice, quality of marking

This report covers all records handled and stored by Ofqual since its creation in 2010. It also includes legacy records inherited from the Qualifications and Curriculum Development Agency (QCDA). This material is subject to existing review, retention and disposition arrangements. Based on reviews conducted by QCDA, it is anticipated that only a very small number of these records (if any) will ultimately be selected for transfer, e.g. records relating to significant developments to, and the reform of, qualifications.

Information is published on Ofqual's website at ofqual.gov.uk (hosted by GOV.UK) in line with Ofqual's publication scheme, and includes extensive information about the organisation and its impact. Ofqual publications, public consultations, reports and research are also published on the website. These are captured by the UK Government Web Archive and will not, therefore, be selected for transfer to The National Archives because they would be duplicated (OSP 36).

BACKGROUND INFORMATION

1.1 Name of Agency / NDPB/ Department / Division

Office of Qualifications and Examinations Regulation (Ofqual)

1.2 Type of agency

| Executive Agency | Non-Departmental Public Body | Trading Fund | Next Steps Agency | Non-Ministerial bodies | Libraries, Museums, Galleries | Research Councils |
|------------------|------------------------------|--------------|-------------------|------------------------|-------------------------------|-------------------|
| | | | | X | | |

1.3 Annual budget (do not use if Central Government Department)

£21,009 million (2014-2015)

1.4 Number of employees (do not use if Central Government Department)

183 staff

1.5 History of organisation

Ofqual was set up under the *Apprenticeships, Skills, Children and Learning Act 2009* as the regulator for qualifications, examinations and assessments. It started its work as an independent regulator on 1 April 2010. It is a non-ministerial government department with jurisdiction in England and Northern Ireland (for vocational qualifications). No further functions have been inherited by Ofqual since 2010.

The Qualifications and Curriculum Authority (QCA) was responsible for maintaining and developing the national curriculum and associated assessments, tests and examinations. It also accredited and monitored qualifications in colleges and at work. QCA was replaced by two new statutory bodies on 1 April 2010 – Ofqual and the Qualifications and Curriculum Development Agency (QCDA).

The QCDA was responsible for developing the National Curriculum, improving and delivering assessments, and to review and reform qualifications. Ofqual was established as a non-ministerial department to regulate qualifications, examinations and assessments in England and vocational qualifications in Northern Ireland.

In May 2010, the new Coalition Government announced its intention to introduce legislation to abolish QCDA. Consequently, some parts of QCDA's duties were transferred to the Department for Education (DfE) with direct Ministerial accountability, whereas others were transferred to other bodies, e.g. its teaching and testing functions were split between the Teaching Agency (TA) and the Standards and Testing Agency (STA). QCDA was formally abolished in 2012.

Ofqual inherited some of QCDA's records in relation to the ongoing regulation of awarding organisations, including:

- an archive of candidate work and assessment documentation which is used to provide standards and comparability information over time
- qualification submissions from awarding organisations for accreditation (general and vocational qualifications)
- audits, monitoring and investigations of awarding organisations
- information about qualifications standards
- ephemera relating to vocational qualifications (e.g. promotional information from sector skills councils)
- casework files (investigation of complaints made against awarding bodies and/or their centres) that were either 'open' at the point of QCDA closure and so transferred to Ofqual; other casework files were transferred to DfE.

Other records, such as the Board minutes, were transferred to the custody of the Department of Education. Only a limited number of QCDA records will be selected for transfer as few QCDA records meet the criteria of The National Archives' Records Collection Policy. The retention and future disposal of the QCDA records is covered by a disposal schedule.

1.6 Functions, activities, and recordkeeping

Functions

Ofqual has five statutory duties, which are set out in the Apprenticeships, Skills, Children and Learning Act 2009 (as amended by the Education Act 2011). They are:

1. to secure qualifications standards
2. to promote National Assessment standards
3. to promote public confidence in regulated qualifications and National Assessment arrangements
4. to promote awareness of the range and benefits of regulated qualifications
5. to secure that regulated qualifications are provided efficiently

Activities

Ofqual is responsible for maintaining standards, improving confidence and distributing information about qualifications and examinations. It regulates general and vocational qualifications in England and vocational qualifications in Northern Ireland. Ofqual is responsible for the formal recognition of awarding organisations and accredits their qualifications (their entry into the market place). Ofqual's role in relation to National Assessments is to have oversight of the standards of the assessments and their maintenance.

Ofqual's work consists of monitoring individual qualifications and awarding organisations, as well as carrying out more general research comparisons and investigations. Ofqual's research programmes are developed to give greater insight into qualifications and assessments abroad as well as in England. These examine the qualifications industry and the effectiveness of current legislation.

Ofqual is required to consult awarding organisations and other stakeholders in relation to changes to the regulation of qualifications.

Publications and records of communications are captured by UK Government Web Archive. Print material is deposited with the British Library in compliance with legal deposit legislation.

In order to carry out its statutory functions, Ofqual's activities cover:

- Strategy, risk and research – this includes activities relating to regulatory strategic policy and risk (in relation to the qualifications market place); research and analysis to enable Ofqual to carry out its statutory functions; reviews of qualifications and assessment standards and comparability over time.
- Vocational Qualifications - activities relating to the regulatory implementation of vocational qualifications; monitoring and maintenance of standards for vocational qualifications and apprenticeships; standards for literacy and numeracy qualifications; relationships with external stakeholders, including government departments (e.g. BIS).
- General Qualifications – activities relating to standards for the design, development and evaluation of general qualifications (e.g. GCSEs, A levels, AS levels); standards in the delivery and performance of general qualifications; monitoring and maintenance of standards for general qualifications; relationships with external stakeholders, including government departments (e.g. DfE).
- Regulatory compliance – the focus is on activities relating to the entry of awarding organisations to the market place (Recognition), the accreditation and compliance of their qualifications (including

enforcement action), and their exit/withdrawal from the market place. Awarding organisations must comply with the General Conditions of Recognition and Ofqual undertakes audits of awarding organisations to determine compliance with the Conditions. Ofqual also carries out investigations into the conduct and practice of awarding organisations in relation to qualifications and assessments.

- Corporate and Business Services – these are the core operational business functions and activities such as Customer Services (enquiry line for the public), HR, IT, Facilities, Finance and Communications.

Recordkeeping

Records relating to awarding organisations are created, received and managed using Ofqual's regulatory IT systems (RITS), a bespoke system that allows awarding organisations to upload material to a secure area for use by Ofqual. The RITS system links with the Ofqual Register of Qualifications, which is published on the website and captured by the UK Government Web Archive. Material uploaded to RITS is retained for the purposes of regulation only. Maintenance and permanent preservation of records about the organisations and the qualifications they offer is the responsibility of Awarding Organisations themselves. [NB. RITS will be replaced by the AO Portal in 2016]

Filing of electronic records has traditionally, and is currently, largely done at directorate and team level. The majority of Ofqual's records are captured and maintained in SharePoint (now SharePoint 2013 online; previously SharePoint 2007). The SharePoint 2013 solution was implemented in 2015 and is still being developed. At present there is no automated file plan or in-place retention. Although Ofqual has retention schedules in place, the retention periods have not yet been assigned to records in the system. Going forward, SharePoint 2013 online will be used to manage records and in the next phase of development, retention periods and disposition will be defined and automated. The implementation and automation of records management tools (e.g. disposition against retention schedules and the creation of a 'records centre') are currently being developed with full implementation expected by early 2017.

Ofqual is also developing its CRM solution which will be used for case management. A data warehouse is also being developed for the management of structured data and datasets. There are separate recordkeeping systems for HR (including performance management) and Finance.

The small number of incoming paper records, mainly correspondence and financial documentation, are scanned and captured into SharePoint, the CRM system or the finance system (whichever is appropriate). The electronic file is regarded as the original record.

Iron Mountain provides Ofqual with its off-site archive storage. All records held at Iron Mountain are detailed on the IM Connect database, and currently stands at approximately 2247 boxes (or 3324 cubic

feet.) Over 90% of the records held in Iron Mountain were transferred from QCDA. The remaining material is made up of records added by Ofqual and relate mainly to operational functions such as finance or HR and some research data. Approximately 50% of all the material held in Iron Mountain forms the archive of candidate work and assessment material; started by QCDA and continued by Ofqual as an annual collection of material from awarding organisations. The destruction dates and retention periods for inherited legacy material were input to IM Connect by QCDA prior to its closure and the formal transfer of stock to Ofqual. IM Connect provides a high level inventory of items held which includes descriptions and retention periods. This has enabled Ofqual to review content with information asset owners (IAOs) who are typically at Associate Director level and best suited to determine appropriate disposition.

The files Ofqual inherited from QCDA when it closed can be broadly categorised into the following types of information:

- qualification submissions from awarding organisations for accreditation and recognition purposes (general and vocational qualifications and key skills)
- scrutiny reviews of qualifications
- monitoring and auditing of awarding organisations
- information about qualifications standards and quality of assessment
- operational or ad hoc meeting notes
- candidate work and assessment documentation which is used to provide standards and comparability information over time (detailed in table 3.2)

The majority of QCDA material – i.e. that relating to QCDA's role in curriculum development and all other activities outside the regulation of awarding organisations and its market place – was transferred to DfE following its closure. Information on what was transferred to DfE can be found in the QCDA's annual reports and accounts at <https://www.gov.uk/government/organisations/qualifications-and-curriculum-development-agency>.

1.7 Name of the parent or sponsoring department (do not use if Central Government Department)

Where ministerial decisions need to be sought, or where a Minister is required to answer for Ofqual in Parliament, Ofqual looks to the Secretary of State for Education (DfE). The Parliamentary Journal Office (on behalf of Ofqual) ensures that Ofqual's annual report and accounts is laid before Parliament.

1.8 Relationship with parent department (do not use if Central Government Department)

Not applicable

1.9 Relationship with other organisations (agencies / NDPBs / departments / other statutory bodies)

Ofqual is a non-ministerial department accountable directly to parliament for achievements of its statutory objectives. Ofqual sets its own regulatory requirements to secure the standards of qualifications and confidence in them. Ofqual also has regard to related government policy, for example on the school curriculum, and provides advice to government where there is an interaction between policy and qualifications standards. Ofqual interacts with other government departments such as DfE, BIS, Cabinet Office, Home Office and agencies such as SfA and STA among others.

Northern Ireland and Wales

Ofqual and Qualifications Wales signed a Memorandum of Understanding on the 1 March 2016, which has been published on our respective websites. This supersedes the Concordat between Ofqual and the Welsh Government. The MoU sets out at a high level our shared commitment to work together wherever possible to deliver a workable system of regulation across England and Wales.

With regard to Northern Ireland, The Department for Employment and Learning (NI) has been considering how best to regulate professional and technical qualifications and decided there is an immediate need to put in place more robust arrangements for the regulation of the professional and technical qualifications offer in Northern Ireland. The Department has taken the decision to fund one regulator for Northern Ireland and has asked CCEA to perform this duty under Article 75 of the Education Order (NI) 1998. The Minister of Education has endorsed this change to the regulatory arrangements. Section 130(2)(b) of the Apprenticeships, Skills, Children and Learning (ASCL) Act 2009 provides Ofqual with the statutory responsibility for regulating vocational qualifications awarded or authenticated in Northern Ireland and this can only be repealed by an order from the Secretary of State under Section 130(5). This process has been initiated and DEL, Ofqual and CCEA Regulatory Authority are working closely together to ensure the smooth transition including operational issues, with final amendments to ASCL 2009 and transfer of regulatory responsibility to CCEA expected in May 2016.

Awarding organisations

Ofqual has a statutory duty under the *Apprenticeships, Skills, Children and Learning Act 2009* to regulate qualifications, examinations and assessments. All awarding organisations must continually meet Ofqual's regulatory requirements; the rules set by Ofqual to make sure qualifications are valid and fit for purpose. Ofqual's regulatory relationship with awarding organisations is to recognise organisations wishing to award qualifications and to accredit those qualifications to ensure validity and fitness for purpose. This is done by providing clear criteria and rules for recognition and accreditation and by providing guidance.

Ofqual also acts in a monitoring, auditing and investigatory capacity to ensure ongoing compliance with the general rules of recognition.

SELECTION DECISIONS

2.1 Areas of Policy Work undertaken in the organisation

Ofqual regulates within a complex policy context. Whilst Ofqual does not formally lead on or set policy, it has significant engagement with policy-makers across Government, primarily with DfE and BIS. Ofqual has regard to related government policy, for example on the school curriculum, and provides advice to government where there is an interaction between policy and qualifications standards. Ofqual's regulatory policy team provide updates on significant policy matters to the Ofqual board and this is documented in the Board minutes, which are selected for transfer to TNA. As Ofqual is not the lead organisation in relation to policy development, records will not be separately selected as detailed by selection criteria 6.4.

2.2 Areas of High-level Operational Work undertaken in the organisation

Ofqual's high-level operational work enables Ofqual to carry out its statutory functions, in accordance with *the Apprenticeships, Skills, Children and Learning Act 2009*, which are:

- to secure qualifications standards
- to promote National Assessment standards
- to promote public confidence in regulated qualifications and National Assessment arrangements
- to promote awareness of the range and benefits of regulated qualifications
- to secure that regulated qualifications are provided efficiently

The Ofqual Board has oversight of the organisation's compliance and performance against its statutory functions. This includes the efficient regulation of qualifications. The records documenting this are routinely captured within the Board meeting minutes, which will be transferred to TNA.

The Standards Advisory Committee and Vocational Advisory Committee provide advice and oversight on the maintenance of standards across qualifications. Decisions will be reported to the Board and incorporated into the Board minutes, as detailed in section 3.1.

The promotion of regulated qualifications is done through Ofqual's gov.uk website and will be captured by UK Government Web Archive as detailed in section 3.2. This includes Ofqual's formal Register of regulated qualifications which is published on its gov.uk website at <https://www.gov.uk/find-a-regulated-qualification>

2.3 Hybrid or Electronic Datasets / Business Systems

There are no datasets that are currently identified for transfer to The National Archives, because these will be retained for operational purposes, as detailed by selection criteria 6.3. Ofqual collects and maintains data relating to awarding organisations and the awarding of qualifications for the purposes of regulation and maintenance of standards. These data collections will be retained by Ofqual for as long as possible and will be reviewed for suitability for transfer and/or longer retention. If they are not suitable for transfer but required by Ofqual so that it can carry out its regulatory functions, then an LCI application will be submitted to permit retention beyond 20 years. Key data collections and statistical reports are published regularly on the Ofqual website and are captured by the UK Government Web Archive, as detailed in selection criteria 6.12. For example:

- Annual qualifications market report
- Vocational qualifications dataset
- Vocational and other qualifications quarterly
- Enquiries about results for GCSE and A Level
- Annual Perceptions of A Levels, GCSEs and other qualifications survey
- Access Arrangements for GCSE and A Level

Datasets published on gov.uk are anonymised. Ofqual records are almost exclusively in electronic format and will be transferred in this format to The National Archives, once they have reached 20 years. The paper collection of legacy records inherited from QCDA will be thoroughly reviewed with IAOs when they reach their retention date and disposed of accordingly.

It is important to establish at an early stage the comprehensiveness of Ofqual's corporate records in SharePoint and this will be enabled in the next phase of the document management system development. All classes of records will be assigned a retention period. Once this has been reached records will be either destroyed in accordance with statutory guidance and data protection regulations or transferred to an archive area, pending disposition, e.g. destruction, review of retention period or transfer to The National Archives. A formal file plan or taxonomy will also be implemented, with appropriate metadata to allow for the identification of public records eligible for transfer to The National Archives.

TECHNICAL REPORT: ANALYSIS OF RECORDS PRODUCED

1 Committee structure within the agency or parent department, including statutory committees directing the work of the organisation

Table 3.1: Key committees

| Name of committee | Terms of reference | Select? Yes / No | Reasons for selection / non-selection, including comments on the quality of information |
|--------------------------|--|------------------|---|
| Ofqual Board | <p>The Ofqual Board's responsibilities are as follows:</p> <ul style="list-style-type: none"> • Ensures that Ofqual complies with its statutory functions as defined by the <i>Apprenticeships, Skills, Children and Learning Act 2009</i> • Ensures that the regulator is properly run as a public body and has effective internal controls • Ensures that statutory and administrative requirements for the use of public funds are complied with • Ensures and demonstrates integrity and objectivity in the transaction of its business and follows a policy of openness and transparency in dissemination of decisions • Provides leadership and direction, setting strategic aims, values and standards | Yes | <p>Strategic information is held in this series and demonstrates how Ofqual is led and the development of its capability.</p> <p>Material selected for transfer will include items covered by Electronic Business and currently held as email records.</p> <p>Some documentation held in this series is closed. This will be sensitivity reviewed prior to transfer to TNA after 20 years.</p> <p>Public versions of previous Board papers have been captured and are archived on the UK Government Web Archive 2010-2014.</p> <p>Full board papers will be sensitivity reviewed prior to transfer to TNA</p> <p>Selection criteria 2.1</p> |
| Finance Committee | <p>In carrying out this function the Finance Committee will advise the accounting officer and the Board on:</p> <ul style="list-style-type: none"> • Ofqual's financial performance against its strategy, objectives and budget • Compliance with CSR • Accounting policies, the annual report and accounts for Ofqual, including the process for audit • Advise and report on matters relating to remuneration | No | <p>Any records or decisions of note will be referred to and included in the Board papers or in the Annual Report and Accounts. These will therefore not be transferred to TNA.</p> |

| | | | |
|---|---|------------|---|
| Audit & Risk Assurance Committee | <p>In carrying out this function the A&RA Committee will advise the accounting officer and Board on:</p> <ul style="list-style-type: none"> • Issues that affect the financial health, probity or external reputation of Ofqual • Ensure system on internal controls complies with HM Treasury requirements • Identification of key areas of risk and maintain a risk register. • Strategic process for risk management, internal control and governance • Planned activity and results of both internal and external audit • Assurances relating to the corporate governance arrangements for Ofqual | <p>No</p> | <p>Any records or decisions of note will be referred to and included in the Board papers or in the Annual Report and Accounts. These will therefore not be transferred to TNA.</p> |
| Senior Management Group | <p>The SMG is Ofqual's main operational and administrative committee. They have regular formal meetings to:</p> <ul style="list-style-type: none"> • Approve operational and regulatory activities • Monitor organisational progress | <p>No</p> | <p>SMG minutes detail operational decisions only. Any records or decisions of note will be referred to and included in the Board papers or in the Annual Report and Accounts. These will therefore not be transferred to TNA.</p> <p>Selection criteria 6.3</p> |
| Standards Advisory Group | <p>The Standards Advisory Group is a committee of the Ofqual Board. It advises on</p> <ul style="list-style-type: none"> • research and makes recommendations about how standards of qualifications can be maintained | <p>No</p> | <p>Any records or decisions of note will be referred to and included in the Board papers or in the Annual Report and Accounts. These will therefore not be transferred to TNA.</p> |
| Vocational Advisory Group | <p>The Vocational Advisory Group is a committee of the Ofqual Board. It advises on:</p> <ul style="list-style-type: none"> • issues related to Ofqual's reform of vocational qualifications | <p>No</p> | <p>Any records or decisions of note will be referred to and included in the Board papers or in the Annual Report and Accounts. These will therefore not be transferred to TNA.</p> |
| Reform Committee | <p>The Reform Committee is a committee of the Ofqual Board. It advises on:</p> <ul style="list-style-type: none"> • issues related to Ofqual's reform of general qualifications programme | <p>Yes</p> | <p>Records relating to the reform of GCSE, AS and A level are of long term historical interest. Minutes of the Reform Committee will be transferred to TNA after 20 years.</p> |
| Northern Ireland Committee (ceased) | <p>Committee responsible for the work of Ofqual, in relation to regulation of qualifications in Northern Ireland.</p> | <p>Yes</p> | <p>The papers of this committee will be transferred to TNA after 20 years. Paper records only.</p> |

3.2 Core / statutory functions and activities

Table: Core / statutory functions and activities performed and records created

| 1. Function / Activity | 2. Record/s that document function / activity | 3. Record creator / owner | 4. Reason for record creation (e.g. statutory requirement) | 5. Information on how records are registered, managed or arranged (volume created each year if known) | 6. Selection Yes/No | 7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy) |
|--|--|-----------------------------------|---|--|------------------------|--|
| Recognition of Awarding Organisations | Recognition decision reports | Ofqual Regulatory Compliance Team | Statutory requirement | Ofqual's regulatory systems (RITS), a bespoke system that allows Awarding Organisations to upload material to a secure area for use by Ofqual. | No | Selection Criteria 6.9 Required for regulatory purposes, then disposed of in line with retention schedule This includes older paper recognition records held at Iron Mountain covered by QCDA retention schedule |
| Accreditation of qualifications | Accreditation decision reports for specific qualifications | Ofqual Regulatory Compliance Team | Statutory requirement | Ofqual's regulatory systems (RITS), a bespoke system that allows Awarding Organisations to upload material to a secure area for use by Ofqual. | No | Selection Criteria 6.9 Required for regulatory purposes, then disposed of in line with retention schedule This includes older |

| 1. Function / Activity | 2. Record/s that document function / activity | 3. Record creator / owner | 4. Reason for record creation (e.g. statutory requirement) | 5. Information on how records are registered, managed or arranged (volume created each year if known) | 6. Selection Yes/No | 7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy) |
|--|--|------------------------------|---|--|------------------------|---|
| | | | | | | paper accreditation records held at Iron Mountain covered by QCDA retention schedule |
| Monitoring and compliance of Awarding Organisations | Monitoring and compliance documentation. Resulting in a decision report. Intelligence gathered and passed to Ofqual's Audit team to investigate | Ofqual Standards teams | Statutory requirement | Ofqual's regulatory systems (RITS), a bespoke system that allows Awarding Organisations to upload material to a secure area for use by Ofqual. | No | Selection Criteria 6.9 Required for regulatory purposes, then disposed of in line with retention schedule This includes older paper monitoring records held at Iron Mountain covered by QCDA retention schedule |
| Investigations and Audit reporting | Audit and investigations reports | Ofqual Regulatory Compliance | Ensuring AOs meet criteria and that due process is followed | Material is gathered from Awarding Organisations and stored in Ofqual internal systems (SharePoint) | No | Selection Criteria 6.9 Required for regulatory purposes, then disposed of in line with retention schedule This includes older |

| 1. Function / Activity | 2. Record/s that document function / activity | 3. Record creator / owner | 4. Reason for record creation (e.g. statutory requirement) | 5. Information on how records are registered, managed or arranged (volume created each year if known) | 6. Selection Yes/No | 7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy) |
|---|--|----------------------------------|---|--|------------------------|---|
| | | | | | | paper audit records held at Iron Mountain covered by QCDA retention schedule |
| Identification of risks to qualifications market | Systemic risk profiles. These relate to issues that can affect the sector more widely, updated with new issues added or removed. | Ofqual Strategic Policy and Risk | Identified by analysis of data held by Ofqual or staff knowledge. | Published to GOV.UK and captured by UK Government Web Archive Unpublished reports will be reviewed after 10 years Selection criteria 3.2 | Yes | Those that are not published will be reviewed after 10 years for potential selection for transfer to TNA. These are of wider sector/public or historical interest Many reports will fall under selection criteria 6.6 |
| Identification of risks associated with Awarding Organisations | Risk reports relating to individual Awarding Organisations | Ofqual Strategic Policy and Risk | Monitoring of risks inherent in qualifications market | Ad hoc reports retained on Ofqual internal systems (SharePoint) | No | Selection Criteria 6.9 Collected for regulatory purposes only and contain sensitive commercial or financial information, then disposed of in line with |

| 1. Function / Activity | 2. Record/s that document function / activity | 3. Record creator / owner | 4. Reason for record creation (e.g. statutory requirement) | 5. Information on how records are registered, managed or arranged (volume created each year if known) | 6. Selection Yes/No | 7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy) |
|---|---|------------------------------|--|---|------------------------|--|
| | | | | | | retention schedule |
| Research into qualifications, assessment and comparability | Research reports | Ofqual Research and Analysis | Research relating to qualification or assessment | Published to GOV.UK and captured by UK Government Web Archive Unpublished reports will be reviewed after 10 years for potential transfer to TNA. | Yes, selected reports | Some unpublished reports will be of wider public/historic interest, but most will be covered by OSP 36 Some reports will not be selected and fall under selection criteria 6.6 Older reports may still be stored locally and will need to be reviewed. Selection criteria 3.2 |
| Comparability of assessment and qualifications standards | Candidate Work(redacted) and Syllabus and assessment material | Awarding Organisations | Material collected annually from Awarding Organisations to provide material for long term comparison of standards. Older material inherited from | Material is catalogued and stored at Iron Mountain and in SharePoint 2010. A new solution is being developed. | No | The material is collected for the purpose of research and comparability. Records belong to awarding organisations and are non-public |

| 1. Function / Activity | 2. Record/s that document function / activity | 3. Record creator / owner | 4. Reason for record creation (e.g. statutory requirement) | 5. Information on how records are registered, managed or arranged (volume created each year if known) | 6. Selection Yes/No | 7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy) |
|--|---|------------------------------|---|--|------------------------|--|
| | | | QCDA as detailed in section 1.6 | | | records. Selection criteria 6.8 |
| Ofqual is required to consult on a range of issues relating to regulated qualifications | Open and closed consultations are published. Outcomes of the consultations are also published. | Ofqual | Statutory requirement and in line with the Code of Practice on Consultations 2012 | Published on GOV.UK and captured by UK Government Web Archive | No | Published to GOV.UK and captured by UK Government Web Archive and therefore duplicated Selection Criteria 6.12 |
| Data is collected and published in relation to regulated qualifications and assessment | Statistical/ data series | Statistics and Analysis | Re-Use of Public Sector Information regulations, publication scheme | Published on GOV.UK and captured by UK Government Web Archive | No | Series published to GOV.UK and captured by UK Government Web Archive and therefore duplicated Selection Criteria 6.12 |
| Communications with Awarding Organisations | Newsletters; Guidance; correspondence; emails and blogs | Ofqual Communications team | To communicate regulatory processes and actions | Published on GOV.UK and captured by UK Government Web Archive | No | Not selected and covered by OSP 36 Selection Criteria 6.11 |
| Promotion of qualifications and Awarding | Publications; newsletters; postcards etc. | Ofqual Communications | To promote awareness of qualifications and confidence in regulated | Published on GOV.UK and captured by UK Government Web | No | Not selected and covered by OSP 36 |

| 1. Function / Activity | 2. Record/s that document function / activity | 3. Record creator / owner | 4. Reason for record creation (e.g. statutory requirement) | 5. Information on how records are registered, managed or arranged (volume created each year if known) | 6. Selection Yes/No | 7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy) |
|------------------------------------|---|---------------------------------|--|--|---------------------------|--|
| Organisations to public | | team | qualifications market | Archive. Deposited with British Library | | Selection Criteria 6.11 |

3.4 Publications

Ofqual publishes its records on GOV.UK in line with its publication schedule. This is routinely captured by the UK Government Web Archive and includes: Newsletters to Awarding Organisations; Consultations; reports. Publications, such as the annual report and accounts, are deposited with the British Library in accordance with Legal Deposit legislation.

3.5 Scientific and research records

Ofqual conducts a variety of research, mainly commissioned internally, to inform the regulatory process and quality and consistency of assessment, including: reliability research; validity of qualifications research; international comparability research; quality of marking research. Reports are published on GOV.UK and are captured by the UK Government Web Archive. Unpublished reports will be reviewed after 10 years and selected for transfer to TNA as per section 3.2. Some reports will not be selected as they will come under selection criteria 6.6.

3.6 Significant issues and events

| Year | Description | Selection Criteria |
|-----------|---|---|
| 2012 | GCSE English judicial review | One of the factors that led to current reform of GCSE and relationship with Wales. Selection criteria 2.4 |
| 2014-2015 | Restructure of organisation – FutureOfqual and previous restructure documentation | Structural changes and major recruitment exercises. Selection criteria 2.7 |
| 2016 | Changes to three-country working – regulation of qualifications | Transfer of regulatory function to Qualification Wales and Northern Ireland. Selection criteria 2.2, 2.5 |
| 2015-2016 | Reform of GCSE, AS and A-level qualifications – policies, procedures and reports | Records illustrative of reform of general qualifications. Reform project should be archived for historical record. Review after 10 years - significant decisions, research and documentation. Selection criteria 3.2 |
| 2015-2016 | Regulatory systems upgrade Project board | Major capital project to improve regulatory systems and access for Awarding Organisations. Selection criteria 1.6 |

| | | |
|-------------|---|---|
| 2016- | Functional Skills Qualifications reform project | Review current FSQs. Review of Ofqual's regulatory approach to FSQs. Wider functional skills reform programme. Selection criteria 3.2 |
| Starts 2017 | National Reference Tests project | Records relating to the establishment, design and implementation of the tests only. Copies of the scripts, examination papers etc. will be retained by Ofqual for long term comparative purposes. Selection criteria 3.2 |

4. Additional information and follow-up

4.1 Additional Checks

Relevant OSPs have been consulted and no further categories of records have been selected.

Ofqual's Board minutes and papers will be selected for transfer, but minutes and papers of Ofqual's Senior Management Group will not be selected as they are generally action points and not of sufficient quality or detail.

No case files are expected to be selected – if any are, they will be selected in accordance with OSP 48.

Records selected for transfer are currently held within Ofqual's document management system, SharePoint.

Most of Ofqual's records are published to GOV.UK and clarification has been sought from The National Archives Web Archive team regarding the coverage and capture of Ofqual's content on the website. Ofqual is satisfied that this material is being captured and preserved.

4.2 Implications of this report for the selection of records held in related departments / agencies

Not applicable

4.3 Implications of the report for the review and selection of paper records relating to the functions covered here

Based on the scope of the appraisal report, Ofqual does not have paper records that will be selected for future transfer.

4.4 Follow-up

The appraisal report will be reviewed every 5 years.

Compliance with the Freedom of Information Model Publication Scheme will be reviewed bi-annually.

A digital preservation strategy will be established to help Ofqual determine that records relating to major events and issues are captured at an early stage and monitored throughout lifecycle.