

2017 national curriculum assessments

Key stage 1

2017 Assessment and Reporting Arrangements (ARA)

October 2016



Standards
& Testing
Agency

Contents

Section 1: Introduction	5
1.1 About this guidance	5
1.2 Who is this guidance for?	5
1.3 Legal status	5
1.4 Expiry	5
Section 2: Changes for 2016 to 2017	6
2.1 Optional English grammar, punctuation and spelling test	6
2.2 Interim teacher assessment frameworks	6
2.3 Modified tests for mathematics	6
Section 3: Important dates	7
3.1 Important dates for 2016	7
3.2 Important dates for 2017	8
Section 4: 2017 national curriculum tests	10
4.1 Overview of 2017 tests	10
4.2 Scaled scores	12
4.3 Practice test materials	12
4.4 Test frameworks	12
4.5 Test orders	13
4.6 Modified test materials	14
4.7 Delivery of test materials	14
4.8 Additional test materials	15
Section 5: Test participation	16
5.1 Participating pupils	16
5.2 Access arrangements	17
5.3 Pupils with English as an additional language	18
Section 6: Test administration	19
6.1 When to administer tests	19
6.2 Security of test materials	19
6.3 Administering tests	19
6.4 Maladministration	20
6.5 Marking tests	21

6.6 Using test results	21
6.7 Headteachers' responsibilities for the tests	21
6.8 Local authorities' responsibilities for the tests	22
Section 7: Phonics screening check	23
7.1 Overview of the phonics screening check	23
7.2 When to administer the check	23
7.3 Check participation	23
7.4 Check materials	24
7.5 Security of check materials	25
7.6 Administering the check	25
7.7 Maladministration	26
7.8 Monitoring the check	26
7.9 Reporting check results	27
7.10 How results will be used	28
7.11 Headteachers' responsibilities for the phonics screening check	29
7.12 Local authorities' responsibilities for the phonics screening check	30
Section 8: Teacher assessment	31
8.1 Overview of teacher assessment	31
8.2 Important dates	31
8.3 What teachers must assess	31
8.4 Interim teacher assessment frameworks	32
8.5 Interim pre-key stage standards	33
8.6 External moderation of teacher assessment	33
8.7 Submitting teacher assessment	35
8.8 P scales	35
8.9 Pupils who move schools	36
8.10 Maladministration	36
8.11 Headteachers' responsibilities for teacher assessment and moderation	37
8.12 Local authorities' responsibilities for teacher assessment and moderation	37
Section 9: Reporting to parents	38
9.1 Annual reports	38
9.2 What reports must cover	38

Section 10: Keeping and maintaining records	41
10.1 Pupils' educational records	41
10.2 Disclosure of educational records	41
10.3 Transferring records to a pupil's new school	42
Section 11: Legal requirements and responsibilities	44
11.1 Application of ARA to different types of school	44
11.2 Headteachers' responsibilities	46
11.3 Teachers' responsibilities	47
11.4 Governing bodies' responsibilities	47
11.5 Academy trusts' responsibilities	47
11.6 Local authorities' responsibilities	48
11.7 Regulatory concerns	48
Section 12: Further information	49
12.1 Useful websites and links	49
12.2 Additional resources	50
12.3 Help and support	50

Section 1: Introduction

1.1 About this guidance

This guidance details the statutory requirements for key stage 1 (KS1) national curriculum assessment and reporting for the 2016 to 2017 academic year. It is produced by the [Standards and Testing Agency](#)¹ (STA), an executive agency of the Department for Education (DfE).

The assessment and reporting arrangements apply to maintained schools, maintained special schools, academies, free schools, Service Children's Education (SCE) schools and participating independent schools with pupils in KS1. Full details of how the ARA applies to different types of school are included in section 11.1.

1.2 Who is this guidance for?

- Headteachers and senior leadership teams
- Local authority (LA) assessment co-ordinators
- Teachers responsible for end of KS1 assessment and phonics screening check
- Governors and trustees

1.3 Legal status

The ARA contains provisions made pursuant to Article 9 of The Education (National Curriculum) (Key Stage 1 Assessment Arrangements) (England) Order 2003, as amended. This Order is made under section 87 of the Education Act 2002.

This document gives full effect to, or otherwise supplements, the provisions made in the Order. As such it has effect as if made by the Order. The Order, as amended, can be viewed in the government's [legislation archive](#)².

The ARA also contains guidance and information that does not form part of the law. Section 11 contains further guidance on legal requirements and responsibilities.

1.4 Expiry

This guidance is relevant until the end of the 2016 to 2017 academic year.

¹ www.gov.uk/sta

² www.legislation.gov.uk/ukxi/2003/1037/contents/made

Section 2: Changes for 2016 to 2017

2.1 Optional English grammar, punctuation and spelling test

Schools may choose to administer the 2017 KS1 English grammar, punctuation and spelling test and use the result to inform teacher assessment (TA), but there is no requirement to do so.

English grammar, punctuation and spelling test materials, including mark schemes, will only be available to download from [NCA tools](#)³ from Tuesday 2 May. Standard versions of the English grammar, punctuation and spelling test will not be sent to schools.

Modified versions of the English grammar, punctuation and spelling test will still be sent to schools, if ordered. Schools should order modified versions, including modified large print and braille, if required, from the 'Test orders' section of NCA tools, by Friday 25 November.

2.2 Interim teacher assessment frameworks

The use of the [interim teacher assessment frameworks](#)⁴ and the [interim pre-key stage standards](#)⁵ is extended for the 2016 to 2017 academic year.

The frameworks remain the same as those used in the 2015 to 2016 academic year except for a single amendment published in July 2016 to make the guidance explicit for assessing pupils with physical disabilities or sensory impairment.

2.3 Modified tests for mathematics

The size and font type of the standard version of the KS1 mathematics tests have been designed to be more accessible to pupils with visual impairments. Enlarged print versions of the mathematics tests will no longer be supplied.

Schools can order other modified versions of the mathematics tests, in modified large print and braille, in the 'Test orders' section of NCA tools from Monday 31 October until Friday 25 November. Schools should consider whether it is appropriate to order the modified large print version for pupils who might previously have used enlarged print.

³ <https://ncatools.education.gov.uk>

⁴ www.gov.uk/government/publications/2017-interim-frameworks-for-teacher-assessment-at-the-end-of-key-stage-1

⁵ www.gov.uk/government/publications/2017-pre-key-stage-1-pupils-working-below-the-test-standard

Section 3: Important dates

These dates may be subject to change.

3.1 Important dates for 2016

Monday 31 October	<ul style="list-style-type: none">• 'Test orders' section of NCA tools⁶ opens.• Maintained schools, academies and free schools should order modified versions of the KS1 tests, including modified large print and braille, if required, by Friday 25 November. Quantities of standard test materials for English reading and mathematics will be based on schools' autumn census data.• Independent schools choosing to participate in the KS1 tests must place test orders on NCA tools for both standard and modified versions, and issue privacy notices to parents, by Friday 25 November.
Friday 25 November	<ul style="list-style-type: none">• 'Test orders' section of NCA tools closes.• Deadline for maintained schools, academies and free schools to order modified versions of the KS1 tests, including English grammar, punctuation and spelling.• Deadline for independent schools to order standard and modified versions of the KS1 tests and issue privacy notices to parents.• Deadline for special schools, pupil referral units (PRUs), hospital schools and secure units to confirm zero test orders on NCA tools, if all pupils are working below the standard of the tests or all pupils are unable to access the tests.
By the end of the autumn term	<ul style="list-style-type: none">• Deadline for academies to have chosen which LA will undertake the monitoring of their phonics screening check and external moderation of their KS1 TA, and reported this information to STA.• Independent schools choosing to use the interim TA frameworks should make an agreement with the LA that will complete external moderation of their TA.

⁶ <https://ncatools.education.gov.uk>

3.2 Important dates for 2017

March	<ul style="list-style-type: none"> KS1 test administration guidance⁷, including the 'Test administrators' guide', published for 2017.
Monday 27 March to Friday 31 March	<ul style="list-style-type: none"> Schools receive KS1 test materials for English reading and mathematics, including any modified test orders.
April	<ul style="list-style-type: none"> Phonics screening check administration guidance⁸ published for 2017.
May	<ul style="list-style-type: none"> KS1 test administration window.
Tuesday 2 May	<ul style="list-style-type: none"> All KS1 test materials (excluding braille) and mark schemes, including the optional English grammar, punctuation and spelling test, available to download from NCA tools.
Friday 5 May	<ul style="list-style-type: none"> Deadline for ordering braille versions of the phonics screening check from the modified test agency on 0300 303 3019.
Friday 19 May	<ul style="list-style-type: none"> Schools informed by the LA on, or after, this date if they are going to receive an external moderation visit for TA.
Monday 5 June to Thursday 29 June	<ul style="list-style-type: none"> LAs undertake external moderation of KS1 TA.
Monday 5 June	<ul style="list-style-type: none"> Raw score to scaled score conversion tables for KS1 tests and test materials available on GOV.UK⁹. KS1 headteacher's declaration form (HDF) available to schools on NCA tools.
Monday 5 June to Friday 9 June	<ul style="list-style-type: none"> Schools receive phonics screening check materials.
Monday 12 June to Friday 16 June	<ul style="list-style-type: none"> Schools administer the phonics screening check.

⁷ www.gov.uk/government/collections/key-stage-1-test-administration

⁸ www.gov.uk/government/collections/phonics-screening-check-administration

⁹ www.gov.uk/sta

Monday 12 June	<ul style="list-style-type: none"> • Phonics screening check materials (excluding braille) available to download from NCA tools. • Phonics screening check HDF available to schools on NCA tools.
Monday 19 June to Friday 23 June	<ul style="list-style-type: none"> • Timetable variation week for pupils who were absent for the phonics screening check.
Monday 26 June	<ul style="list-style-type: none"> • Phonics screening check materials and threshold mark published on GOV.UK.
Thursday 29 June	<ul style="list-style-type: none"> • Deadline for schools to submit KS1 TA data to LAs. • Deadline for schools to submit the KS1 HDF on NCA tools. • Deadline for schools to submit the phonics screening check HDF on NCA tools.
By the end of the summer term	<ul style="list-style-type: none"> • Schools and academies must submit their phonics screening check results to their LA by the deadline specified by the LA.
Friday 28 July	<ul style="list-style-type: none"> • LAs submit phonics screening check and KS1 TA data to the DfE using COLLECT¹⁰.

¹⁰ <https://sa.education.gov.uk>

Section 4: 2017 national curriculum tests

4.1 Overview of 2017 tests

The KS1 tests are designed to test pupils' knowledge and understanding of the KS1 programmes of study. Teachers must administer the English reading and mathematics tests to help make a secure judgement for their final TA at the end of KS1. The tests make up one piece of evidence for overall TA.

The KS1 tests consist of:

- English reading Paper 1: combined reading prompt and answer booklet
- English reading Paper 2: reading booklet and reading answer booklet
- mathematics Paper 1: arithmetic
- mathematics Paper 2: reasoning

Pupils should be given the opportunity to attempt each test paper. Teachers can use their discretion to decide if pupils need a [rest break](#)¹¹ during any of the tests or whether, if appropriate, to stop the test early.

Schools will receive test materials for English reading and mathematics, including any modified test orders, in the week beginning Monday 27 March.

An optional English grammar, punctuation and spelling test will be available to download from [NCA tools](#)¹² from Tuesday 2 May. Standard versions of the English grammar, punctuation and spelling test will not be sent to schools.

The test is made up of:

- English grammar, punctuation and spelling Paper 1: spelling
- English grammar, punctuation and spelling Paper 2: questions

There is no requirement for schools to administer the English grammar, punctuation and spelling test or use the result to inform TA.

KS1 English reading test

There are 2 reading papers. Paper 1 includes the texts and questions combined and Paper 2 contains more challenging texts with the questions in a separate booklet.

¹¹ www.gov.uk/guidance/key-stage-1-tests-how-to-use-access-arrangements

¹² <https://ncatools.education.gov.uk>

Each paper has a selection of texts which are designed to increase in difficulty. There is a mixture of text genres.

Paper 1 consists of a combined reading prompt and answer booklet. The paper includes a list of useful words and some practice questions for teachers to use to introduce the contexts and question types to pupils. The test takes approximately 30 minutes to complete, but is not strictly timed.

Paper 2 consists of an answer booklet and a separate reading booklet. There are no practice questions on this paper. Teachers can use their discretion to stop the test early if a pupil is struggling. The test takes approximately 40 minutes to complete, but is not strictly timed.

KS1 mathematics test

There are 2 mathematics papers:

- Paper 1: arithmetic
- Paper 2: reasoning

Paper 1: arithmetic assesses pupils' fluency in the fundamentals of mathematics, including place value, calculations and fractions. Some questions have grids in the answer or working out spaces. Grids are provided with questions where pupils may benefit from using more formal methods for calculations.

The arithmetic test consists of a single test paper and takes approximately 20 minutes to complete, but is not strictly timed. The paper includes a practice question.

Paper 2: reasoning assesses pupils' mathematical fluency by demonstrating their ability to solve problems and reason mathematically.

The reasoning test consists of a single test paper and will take approximately 35 minutes to complete, but it is not strictly timed. The paper includes a practice question and 5 aural questions. After the aural questions, the time for the remainder of the paper should be around 30 minutes.

Optional English grammar, punctuation and spelling test

As in 2016, schools can choose whether to administer the English grammar, punctuation and spelling test and use the results to inform their English writing TA.

The optional English grammar, punctuation and spelling test has an emphasis on technical aspects of grammar. There are 2 papers:

- Paper 1: spelling
- Paper 2: questions

Paper 1: spelling consists of a test transcript to be read by the test administrator and an answer booklet for pupils to complete 20 missing words. The test is expected to take approximately 15 minutes to complete, but is not strictly timed.

Paper 2: questions is a combined question and answer booklet focusing on pupils' knowledge of grammar, punctuation and vocabulary. There are no contextualised questions in the test. Pupils will have approximately 20 minutes to complete the questions in the test paper, but it is not strictly timed.

4.2 Scaled scores

[Scaled scores](#)¹³ are used to report national curriculum test outcomes.

Scaled scores help test results to be reported consistently from one year to the next. National curriculum tests are designed to be as similar as possible in terms of challenge year on year, but slight differences in difficulty will occur between years. Scaled scores maintain their meaning over time so that 2 pupils achieving the same scaled score in different years will have demonstrated the same attainment.

A pupil's scaled score is based on their raw score. The raw score is the total number of marks a pupil receives in a test, based on the number of questions they answer correctly. The pupil's raw score is translated into a scaled score using a conversion table. For the KS1 tests a scaled score of 100 represents the 'expected standard'.

4.3 Practice test materials

[Practice test materials](#)¹⁴ are available to help teachers prepare for the 2017 tests. These include past versions of 2016 KS1 national curriculum tests and KS1 sample materials. The sample materials were published in June 2015 and were designed to be as close as possible to the look and feel of the live tests.

Alongside the test materials are mark schemes and test administration instructions.

4.4 Test frameworks

[Test frameworks](#)¹⁵ are available for each test. Although written for test developers, these may also be of interest to schools.

¹³ www.gov.uk/guidance/scaled-scores-at-key-stage-1

¹⁴ www.gov.uk/government/collections/national-curriculum-assessments-practice-materials

¹⁵ www.gov.uk/government/collections/national-curriculum-assessments-test-frameworks

A description of a pupil performing at the 'expected standard' is included in the test framework. It is used to maintain the standard in relation to the test.

Each framework sets out:

- what is and is not assessed in the test
- how each element of the subject is assessed
- the structure of the tests
- a performance descriptor that describes the standard a pupil is expected to achieve on the test in each subject

The performance descriptor describes the range of knowledge and skills that a pupil working at the 'expected standard' is required to demonstrate in each key stage test, in each subject.

The test frameworks don't provide information on how schools should teach the national curriculum. Teachers shouldn't use the frameworks to guide teaching and learning.

4.5 Test orders

Maintained schools and academies do not need to place a test order for standard versions of the English reading and mathematics tests. Quantities of standard test materials will be sent to schools based on their autumn census data. The optional English grammar, punctuation and spelling test will be available to download from [NCA tools](#)¹⁶ from Tuesday 2 May. Standard versions of the English grammar, punctuation and spelling test will not be sent to schools.

Independent schools may choose to take part in KS1 tests for one or more subjects, although they are not required to do so. Independent schools that choose to participate must place a test order for English reading and/or mathematics on [NCA tools](#)¹⁷ and issue privacy notices to parents by Friday 25 November. 2017 KS1 test materials will be available on [GOV.UK](#)¹⁸ in June, after the administration window has closed, for independent schools not intending to fully participate in the tests. See section 11.1 for further information.

Special schools, PRUs, hospital schools and secure units should confirm zero test orders on NCA tools by Friday 25 November, if all pupils are working below the standard of the tests or all pupils are unable to access the tests. Otherwise these schools will receive test materials for English reading and mathematics based on their autumn census data.

¹⁶ <https://ncatools.education.gov.uk>

¹⁷ <https://ncatools.education.gov.uk>

¹⁸ www.gov.uk/government/collections/national-curriculum-assessments-practice-materials

4.6 Modified test materials

STA develops modified versions of the tests which are primarily designed for pupils with significant visual impairments, although they may be suitable for pupils with other needs, such as dyslexia. Modified large print versions have a large font, high contrast diagrams and greater white space around the content. Braille versions of the test, available in Unified English Braille (UEB), are suitable for pupils with extremely limited or no vision. The modified test agency can provide further advice about which modified materials may be suitable for pupils on 0300 303 3019.

All schools can order modified versions of the tests, including the optional English grammar, punctuation and spelling test, in modified large print and braille, in the 'Test orders' section of NCA tools until Friday 25 November.

4.7 Delivery of test materials

Schools will receive English reading and mathematics test materials in the week beginning Monday 27 March. They will also receive any modified test orders, including modified versions of the English grammar, punctuation and spelling test.

Materials are delivered to school addresses taken from [EduBase](#)¹⁹. Schools must make sure their details are up to date by logging into EduBase via Secure Access. Further information about updating records is also provided on the website.

If schools have not received their test materials by Friday 31 March, they should contact the national curriculum assessments helpline on 0300 303 3013.

Headteachers must check the contents of their delivery against the delivery note to ensure the correct number and type of test materials have been received. The inner packs of sealed test papers must not be opened before the school's planned dates for administration. Headteachers can delegate the checking of the materials to a senior member of staff if they aren't available. It is recommended that 2 members of school staff undertake this check together.

Headteachers and teachers should read the guidance on [how to keep test materials secure](#)²⁰. Headteachers must ensure that a copy of the annotated delivery note is available in case the LA, or a representative from STA's monitoring visits agency, visits the school to observe the administration of the key stage 2 (KS2) tests. If a school receives a KS2 monitoring visit during May, they will also be asked to show the monitoring visitor the storage of the KS1 materials.

¹⁹ www.education.gov.uk/edubase

²⁰ www.gov.uk/government/collections/national-curriculum-assessments-key-stage-1-tests

The test materials must be stored securely and treated as confidential from the point they are received in school until the end of May. If a delivery is incomplete, or any packs of test papers arrive unsealed or damaged, this must be reported to the national curriculum assessments helpline immediately on 0300 303 3013.

4.8 Additional test materials

Schools can download additional KS1 test materials, and mark schemes, from NCA tools from Tuesday 2 May. This includes modified large print versions but excludes braille. Schools requiring additional braille materials should contact the modified test agency on 0300 303 3019.

Section 5: Test participation

5.1 Participating pupils

The tests are designed to be used with all pupils who have completed the KS1 programme of study and are working at the overall standard of the tests. This means that if pupils are considered to be able to answer the easiest questions, they should be entered for the test. These pupils may not achieve a scaled score of 100, the 'expected standard', but should still take the test.

Teachers should use their knowledge of each pupil when considering whether to administer the tests to them. Practice materials (see section 4.3) may also be used to inform these decisions.

Pupils who shouldn't take the tests

Pupils shouldn't take the tests if they:

- have not completed the KS1 programme of study, or
- are working below the overall standard of the KS1 tests, or
- are unable to participate even when using suitable access arrangements

The [interim pre-key stage standards](#)²¹ should be used to provide a statutory assessment outcome for pupils that have not completed the programme of study or who are working below the standard of the tests. This includes situations where a teacher does not have evidence that a pupil consistently meets all the statements in the lowest standards of the [interim teacher assessment frameworks](#)²². Section 8 includes further guidance about TA at the end of KS1.

If a headteacher decides a pupil shouldn't take one or more of the tests, they must report this decision to the parents. See section 9.2 for information about reporting to parents for pupils who have not participated in the tests.

Decisions on participation in the tests

Headteachers make the final decision about whether it is appropriate for a pupil to take the tests. Some parents may ask a headteacher not to enter their child for the tests. Parents may also ask a headteacher to enter their child for a test when the school has decided this is not appropriate.

²¹ www.gov.uk/government/publications/2017-pre-key-stage-1-pupils-working-below-the-test-standard

²² www.gov.uk/government/publications/2017-interim-frameworks-for-teacher-assessment-at-the-end-of-key-stage-1

As part of the decision-making process, headteachers should:

- discuss the pupil's circumstances and needs with their parents and teachers
- consult, if appropriate, with educational psychologists, medical officers or other specialist staff to consider access arrangements that might be appropriate to enable pupils to demonstrate their full abilities

In all instances the headteacher's decision regarding participation is final. Headteachers should report this decision to parents. See section 9.2 for information about reporting to parents for pupils who have not participated in the tests.

5.2 Access arrangements

The KS1 tests are intended to assess pupils' abilities in a fair and comparable way, with as many pupils as possible able to access them. They are designed so that most pupils with special educational needs and/or disabilities (SEND) can participate using the standard versions. However, a small number of pupils may need additional arrangements so they can take part. Access arrangements are adjustments that can be made to support specific pupils during the tests, and should be based on normal classroom practice.

Schools don't need to request permission from STA to use any access arrangements for the KS1 tests, but they must ensure that they don't advantage or disadvantage individual pupils. Headteachers and teachers must use the guidance on [how to use access arrangements](#)²³ to consider the assessment needs of individual pupils. It may be helpful to use practice materials (see section 4.3) with pupils before administering the tests.

Access arrangements may be appropriate for pupils:

- with a statement of special educational needs (SEN) or an Education, Health and Care Plan (EHCP) as described in the [SEND Code of Practice](#)²⁴
- for whom provision is being made in school using the SEN Support system or whose learning difficulty and/or disability significantly affects their ability to access the tests
- who have a disability or a sensory impairment

²³ www.gov.uk/guidance/key-stage-1-tests-how-to-use-access-arrangements

²⁴ www.gov.uk/government/publications/send-code-of-practice-0-to-25

- who have behavioural, emotional or social difficulties
- with English as an additional language and who have limited fluency in English

If schools want to use an alternative access arrangement which is not included in the guidance, they should contact the national curriculum assessments helpline on 0300 303 3013 and ask to speak to the access arrangements co-ordinator to discuss the proposed arrangements.

Schools could be subject to a maladministration investigation if they cannot provide evidence that any access arrangements used are based on normal classroom practice.

5.3 Pupils with English as an additional language

English tests

If pupils cannot communicate in English, then they will be working below the overall standard of the English tests and should not take them.

Mathematics tests

To establish a pupil's abilities in mathematics, teachers and language-support staff should work together to translate national curriculum work into the pupil's preferred language.

If a pupil is working at the standard of the mathematics tests, the school should consider using access arrangements to enable the pupil to take the tests (see section 5.2). Care should be taken to ensure that any translation does not provide additional support or understanding of mathematical terms.

Pupils working below the overall standard of the mathematics tests should not take them.

Section 6: Test administration

6.1 When to administer tests

Schools must administer the KS1 tests in English reading and mathematics during May 2017. The tests do not have set days for their administration, and they may be administered to groups of pupils on different days.

Pupils must only be allowed to take each test once.

6.2 Security of test materials

Headteachers must ensure that the integrity of the tests is maintained so that no pupil has an unfair advantage. Schools must follow the guidance on [how to keep test materials secure](#)²⁵. The test materials must be treated as confidential from the point they are received in school until the end of May.

Packs with test papers enclosed should only be opened in the test room immediately before the administration of the tests for the first time. The content of the tests must not be used to prepare pupils. This could lead to inaccurate results that do not represent the pupils' unaided abilities.

Teachers and test administrators mustn't discuss the content of the test papers with anyone or use question-specific information to prepare pupils for the test. In particular, any content which could compromise the test must not be discussed on social media or published in blogs. Any school behaviour which leads to materials being shared before the end of May may lead to an investigation of maladministration.

After the tests have been administered any unused test materials, including English reading booklets, must be stored securely until the end of May.

6.3 Administering tests

The tests must be administered in accordance with STA's [test administration guidance](#)²⁶, including the 'Test administrators' guide', which will be published in March. Headteachers must make sure the guidance is read, understood and followed by all teachers, teaching assistants and others involved in administering the tests.

²⁵ www.gov.uk/government/collections/national-curriculum-assessments-key-stage-1-tests

²⁶ www.gov.uk/government/collections/key-stage-1-test-administration

Test-specific instructions will be provided with the KS1 tests. These instructions will contain test-specific content so they must only be accessed immediately before the administration of each test.

If it is suspected that a pupil's response to a test doesn't represent their own independent work, the headteacher must contact their LA for guidance on what action should be taken.

Schools and LAs should contact the national curriculum assessments helpline on 0300 303 3013 if clarification of the guidance is needed.

6.4 Maladministration

The term 'maladministration' refers to any act that:

- affects the integrity, security or confidentiality of the national curriculum assessments
- could lead to results that don't reflect pupils' unaided work

Schools could be subject to investigations of maladministration if they don't comply with:

- the 2017 ARA
- STA's test administration guidance

STA has a statutory duty to investigate any matter brought to its attention relating to the accuracy or correctness of any pupil's test results. The [maladministration investigation procedures](#)²⁷ explain how STA processes allegations, as well as roles and responsibilities for school visits. This is supported by [guidance for LAs](#)²⁸ carrying out visits on STA's behalf.

Allegations of maladministration can come from misunderstandings about correct test administration. To help avoid this, all staff, pupils and parents should understand how and when the tests will be administered.

Schools must report any issue with the administration of the tests and/or any allegations of maladministration they receive by contacting the national curriculum assessments helpline on 0300 303 3013.

²⁷ www.gov.uk/government/publications/key-stage-1-and-2-maladministration-investigation-procedures

²⁸ www.gov.uk/guidance/key-stage-1-and-2-school-visits-following-an-allegation-of-maladministration

6.5 Marking tests

KS1 tests are marked internally by schools. Test papers must be marked by a teacher familiar with the pupil using the mark schemes available on NCA tools from Tuesday 2 May. The content of the mark schemes must not be used to prepare pupils for the tests.

Marking requires a teacher's professional judgement about which responses are correct. The tests must not be marked by a:

- teaching assistant or higher level teaching assistant
- relative or carer of the pupil taking the test

Pupils' completed scripts can be marked away from school, but appropriate security arrangements must be in place to maintain the integrity and confidentiality of the tests.

6.6 Using test results

Teachers must use the results of the KS1 tests in English reading and mathematics to support their TA judgement of how a pupil has performed throughout the key stage (see section 8). There is no requirement for schools to use the result of the optional English grammar, punctuation and spelling test to inform TA.

Conversion tables for the 2017 tests will be published on GOV.UK²⁹ on Monday 5 June. Teachers will need to use these to translate pupils' raw scores into scaled scores to see whether each pupil has met the 'expected standard' in the tests.

Schools are not required to report test results to their LA or the next school when a pupil moves. However, where the school has recorded this data it can choose whether to include these results in any data provided to the LA or next school (see section 10.3). LAs do not give test results to the DfE.

Schools are not obliged to report individual test results to parents (see section 9.2). However, parents must be allowed access to their child's results on request.

6.7 Headteachers' responsibilities for the tests

Headteachers at maintained schools and academies must:

- identify which pupils will take the end of KS1 tests
- consider whether any pupils will need modified versions of the tests and place a test order on NCA tools by Friday 25 November

²⁹ www.gov.uk/sta

- keep the test materials secure and treat them as confidential up to, and including, the end of the May 2017 test window
- ensure that test administrators are appropriately trained and that they administer the tests according to the published guidance
- ensure specific content from the test materials is not used to prepare pupils
- ensure pupils have the correct test materials and equipment
- ensure the English reading and mathematics tests are administered within the May 2017 test window
- ensure the tests are marked accurately and consistently according to the mark schemes and marking guidance
- notify STA of any incident that may affect the integrity, security or confidentiality of the tests
- ensure the English reading and mathematics test results are used to inform TA
- complete and submit the KS1 HDF on NCA tools by Thursday 29 June

Headteacher's declaration form

Headteachers are required to complete and submit the KS1 HDF on NCA tools. The HDF confirms that the English reading and mathematics tests have been administered and marked according to the published guidance and the results have been used to inform TA, or that any issues have been reported to STA. The form will be available from Monday 5 June and must be completed by Thursday 29 June. Schools can contact the national curriculum assessments helpline on 0300 303 3013 for help completing the HDF.

6.8 Local authorities' responsibilities for the tests

LAs must take reasonable steps to ensure that participating schools follow the guidance in this ARA. This also applies to academies that have an agreement in place with the LA.

Responsibilities include:

- ensuring training and advice is available to schools on all aspects of the KS1 tests
- checking the storage of KS1 test materials if the school is selected for a KS2 monitoring visit
- informing STA of any irregularities in schools' administration of the KS1 tests and discussing next steps to take
- ensuring the results of the KS1 tests are used to inform the school's TA judgements (see section 8)

Section 7: Phonics screening check

7.1 Overview of the phonics screening check

The phonics screening check is designed to confirm whether pupils have learnt phonic decoding to an appropriate standard. It will identify pupils who need extra help to improve their decoding skills.

The check consists of 20 real words and 20 pseudo-words that pupils read aloud to the teacher. Teachers can use the [practice test materials](#)³⁰ to familiarise themselves with the check.

7.2 When to administer the check

The check must be administered during the week beginning Monday 12 June. A pupil may take the check the following week if they were absent during check week. If a pupil doesn't take the check during this period and returns to school after Friday 23 June they must be recorded as absent.

7.3 Check participation

Participation in the check depends on the type of school. See section 11.1 for further information.

Schools don't need to register pupils for the check.

Pupils who should take the check

With some exceptions (see below), all pupils who have reached the end of year 1 must take the check. This includes pupils registered at maintained nursery schools who will reach the age of 6 before the end of the school year, the equivalent age to those pupils in year 1 at primary and infant schools.

Unless the exceptions apply to them, pupils in year 2 must also take the check if they:

- didn't meet the required standard in year 1
- haven't taken it before

³⁰ www.gov.uk/government/collections/national-curriculum-assessments-practice-materials

Pupils who shouldn't take the check

Pupils shouldn't take the check if they:

- haven't shown any understanding of grapheme-phoneme correspondences
- have recently moved to the country and are unable to understand letters and sounds in English
- use British Sign Language or other sign-supported communication, such as communication boards, to spell out individual letters
- are mute or selectively mute

Decisions on participation in the check

Headteachers make the final decision about whether it is appropriate for a pupil to take the check. Some parents may ask a headteacher not to enter their child for the check. Parents may also ask a headteacher to enter their child for the check when the school has decided this is not appropriate. In all instances the headteacher's decision regarding participation is final.

Schools should explain their decision to the pupil's parents. If appropriate, they should provide the parents with documentary evidence to support their decision. Where the decision has been made not to administer the check to a pupil, schools should also explain how they are helping the pupil learn to decode using phonics.

7.4 Check materials

Schools don't need to order standard materials for the check. Materials are sent to schools based on data from the year 1 autumn school census.

Braille materials must be ordered from the modified test agency on 0300 303 3019 by Friday 5 May.

Schools will receive their check materials, including any braille orders, in the week beginning Monday 5 June. If schools haven't received their check materials by Friday 9 June, they should contact the national curriculum assessments helpline on 0300 303 3013.

Materials are delivered to school addresses taken from [EduBase](#)³¹. Schools must make sure their details are up to date by logging into EduBase via Secure Access. Further information about updating records is also provided on the website.

³¹ www.education.gov.uk/edubase

Additional materials

Schools can download materials from NCA tools from Monday 12 June. This includes the mark sheet and modified versions (excluding braille), including Word versions with colour images, Word versions with black and white images, and Word versions without images. Schools requiring additional braille materials should contact the modified test agency on 0300 303 3019.

7.5 Security of check materials

Headteachers are responsible for ensuring that the integrity of the check is maintained so that no pupil has an unfair advantage over another.

Headteachers must follow the guidance on [keeping check materials secure](#)³² and treat them as confidential from the point the school receives them until Monday 26 June.

Check packs must not be opened before Monday 12 June. They must only be opened when the check is going to be administered for the first time. After the check has been administered, schools must make sure the materials are stored securely until Monday 26 June.

To maintain the integrity of the check, teachers mustn't discuss the content with anyone or use question-specific information to prepare pupils. In particular, teachers mustn't discuss specific content which could compromise the check on social media or publish it in blogs. Any school behaviour which leads to check materials being shared before Monday 26 June may lead to an investigation into maladministration.

7.6 Administering the check

Pupils must only attempt the check once during the check window.

The check must be administered in accordance with STA's phonics screening [check administration guidance](#)³³ which will be published in April. Headteachers must make sure the guidance is read, followed and understood by everyone involved in administering and scoring the check in order to avoid allegations of maladministration (see section 7.7). Check administrators must view the [training video](#)³⁴ before administering the check.

Schools and LAs should contact the national curriculum assessments helpline on 0300 303 3013 if clarification of the guidance is needed.

³² www.gov.uk/government/collections/national-curriculum-assessments-key-stage-1-tests

³³ www.gov.uk/government/collections/phonics-screening-check-administration

³⁴ www.gov.uk/government/collections/phonics-screening-check-administration

Check administrators

The check must be administered on a one-to-one basis and should be administered by a teacher who is known to the pupil. The role of check administrator requires a teacher's professional judgement about which responses are correct.

The check should not be administered by a:

- teaching assistant
- higher level teaching assistant

The check must not be administered by a relative or parent of the pupil taking the check.

7.7 Maladministration

Check administrators must administer the check according to the published guidance in order to avoid allegations of maladministration.

A school could be subject to investigations of maladministration if it doesn't comply with:

- the 2017 ARA
- STA's check administration guidance

Maladministration can lead to changes to, or annulment of, results for a whole cohort, groups of pupils or individual pupils.

Schools must report any issue with the administration of the check and/or any allegations of maladministration they receive by contacting the national curriculum assessments helpline on 0300 303 3013.

Section 6.4 contains further information about maladministration.

7.8 Monitoring the check

LAs have a statutory duty to make monitoring visits to a sample of at least 10% of schools. The sample will be selected from schools in their authority and others that have chosen to be monitored by the LA. These visits may take place before, during and after the check period.

Monitoring visitors, on behalf of the LA or STA, will make unannounced visits to schools that are participating in the check. They will check if the school is following the published check administration guidance on:

- keeping the check materials secure
- administering and scoring the check

If schools receive a monitoring visit they must allow visitors to:

- see all materials and any relevant delivery notes
- observe any checks being administered
- see copies of correspondence and other documents sent to, and received from, the LA or STA about the administration of the check

STA will carry out a full investigation if a monitoring visitor reports:

- administrative irregularities
- potential maladministration

These investigations are used to make decisions on the accuracy or correctness of pupils' results. Schools and LAs should refer to the [guidance on monitoring visits](#)³⁵, which will be updated in April, for further information.

Academies

Academies should have arrangements in place for monitoring the phonics screening check with their chosen LA. They should inform STA of their choice by the end of the autumn term. This can be their closest geographical LA or another of their choosing.

If a school became an academy after 1 September 2016 they will be part of their geographical LA's arrangements for monitoring the phonics screening check.

7.9 Reporting check results

The threshold mark will be published on Monday 26 June on [GOV.UK](#)³⁶. Schools and LAs do not need to wait until the threshold mark is published before submitting their data.

Reporting to local authorities

Schools must report their pupils' check scores to their LA. The deadline for submission will be provided to schools by their LA.

LAs must submit check data to the DfE using [COLLECT](#)³⁷ by Friday 28 July. COLLECT is the DfE's centralised data collection and management system accessed via Secure Access.

³⁵ www.gov.uk/guidance/key-stage-2-tests-and-phonics-screening-check-monitoring-visits

³⁶ www.gov.uk/sta

³⁷ <https://sa.education.gov.uk>

Data received by the DfE after Friday 28 July will not be included in the provisional statistics.

Further support for schools and LAs is available in:

- STA's check administration guidance
- the DfE's [data collection and submission guidance](#)³⁸

Reporting to parents

By the end of the summer term, headteachers must report:

- each pupil's phonics screening check score
- an outcome for pupils who have left the school, were absent, did not participate in the check, or if the results are affected by maladministration

For more details about what should be reported to parents see section 9.2.

7.10 How results will be used

The DfE won't publish school-level results for the phonics screening check in performance tables. It will use national results to track standards over time.

Schools will have access to [national and LA check results](#)³⁹ to allow them to benchmark their pupils' performance.

RAISEonline

Check results from 2017 will not be published in [RAISEonline](#)⁴⁰. The DfE will communicate the new arrangements to schools and intends to:

- build a new 'core' online service that, as a minimum, provides schools with access to headline measures and key underlying pupil level performance data
- provide support for the market's delivery of additional services that schools can procure if they choose to

The new services will continue to support the DfE's strategic aims to tackle underperformance and support school improvement.

³⁸ www.gov.uk/guidance/phonics-screening-check-data-collection

³⁹ www.gov.uk/government/collections/statistics-key-stage-1

⁴⁰ www.raiseonline.org

7.11 Headteachers' responsibilities for the phonics screening check

Headteachers at maintained schools and academies must:

- identify which year 1 pupils should take the check, including any registered at maintained nursery schools who will reach the age of 6 before the end of the school year
- identify any pupils who should take the check in year 2 because they didn't meet the required standard in year 1 or did not take it in year 1
- ensure that any pupils who did not meet the standard of the check in year 2 continue to receive support in phonics
- consider whether any pupils will need braille versions of the check and order them from the modified test agency on 0300 303 3019 by Friday 5 May
- consider whether any pupils will need modified versions of the check (not including braille) and download them from NCA tools during the check period
- keep check materials secure and treat them as confidential until Monday 26 June
- ensure the check is administered once to each pupil within the check window starting on Monday 12 June
- ensure all check administrators are appropriately trained to administer and score the check according to the statutory guidance, and have viewed the training video
- ensure the check is administered by qualified teacher(s) known to the pupils
- ensure teachers score pupils' responses accurately and consistently
- report any incident which affects the integrity, security or confidentiality of the check to STA
- comply with national data submission requirements by submitting their check results to the LA by the deadline communicated by them
- complete and submit the phonics HDF on NCA tools by Thursday 29 June

Headteacher's declaration form

Headteachers are required to complete and submit the phonics screening check HDF on NCA tools. The HDF confirms that the check has been administered and scored according to the published guidance, or that any issues have been reported to STA. The form will be available from Monday 12 June and must be completed by Thursday 29 June.

Schools can contact the national curriculum assessments helpline on 0300 303 3013 for help completing the headteacher's declaration form.

7.12 Local authorities' responsibilities for the phonics screening check

LAs must take reasonable steps to ensure that participating schools follow the guidance in this ARA. This also applies to academies that have an agreement in place with the LA.

Responsibilities include:

- ensuring training and advice is available to schools on all aspects of the phonics screening check
- making unannounced monitoring visits to a sample of at least 10% of schools participating in the check
- informing STA of any irregularities in schools' administration of the phonics screening check and discussing next steps to take
- following the phonics data collection and submission guidance to collect results, quality assure and submit data to the DfE, in the required format, using COLLECT by Friday 28 July

Section 8: Teacher assessment

8.1 Overview of teacher assessment

TA judgements in English reading, English writing, mathematics and science are reported at the end of KS1. TA is based on a broad range of evidence from across the curriculum and knowledge of how a pupil has performed over time and in a variety of contexts. It is carried out as part of teaching and learning.

TA is the only data used in school performance accountability at the end of KS1.

8.2 Important dates

Friday 19 May	<ul style="list-style-type: none">Schools informed by the LA on, or after, this date if they are going to receive an external moderation visit.
Monday 5 June to Thursday 29 June	<ul style="list-style-type: none">LAs undertake external moderation of KS1 TA.
Thursday 29 June	<ul style="list-style-type: none">Deadline for schools to submit KS1 TA data to LAs.
Friday 28 July	<ul style="list-style-type: none">Deadline for LAs to submit their schools' KS1 TA data to the DfE using COLLECT⁴¹, the DfE's centralised data collection and management system.

8.3 What teachers must assess

In 2017, teachers must make judgements for each eligible pupil against the standards set out in the [interim teacher assessment frameworks](#)⁴² or the [interim pre-key stage standards](#)⁴³. [Exemplification material](#)⁴⁴ is also available to help teachers make their judgements where they want additional guidance.

Teachers must use their knowledge of a pupil's work over time, taking into account their:

- written, practical and oral classwork
- results of the statutory KS1 tests in English reading and mathematics

⁴¹ <https://sa.education.gov.uk>

⁴² www.gov.uk/government/publications/2017-interim-frameworks-for-teacher-assessment-at-the-end-of-key-stage-1

⁴³ www.gov.uk/government/publications/2017-pre-key-stage-1-pupils-working-below-the-test-standard

⁴⁴ www.gov.uk/government/collections/key-stage-1-teacher-assessment

Teachers may not be able to provide a full TA judgement for some pupils, for example if they have recently arrived from overseas or because of long periods of absence. Schools will still need to report a TA code for these pupils when they submit their TA data, and should refer to section 8.7 for guidance.

8.4 Interim teacher assessment frameworks

The interim TA frameworks and interim pre-key stage standards set out the standards a pupil must be assessed against at the end of the key stage for English reading, English writing, mathematics and science. Teachers must use them to fulfil their statutory duty to report at the end of KS1.

The frameworks contain a number of ‘pupil can’ statements. The evidence must show that the pupil demonstrates attainment of all the ‘pupil can’ statements within the standard they have been awarded. Teachers must be confident the pupil meets the ‘pupil can’ statements in the preceding standard(s) but there is no requirement to produce specific evidence for all of them. It is likely that the pupil’s work for the standard they have been awarded will also evidence the ‘pupil can’ statements of the preceding standard(s).

Interim frameworks for English reading, English writing and mathematics

For KS1 English reading, English writing and mathematics, TA is the outcome used for accountability.

For pupils who have completed the KS1 programme of study, teachers must use the interim TA frameworks when making their judgements. The frameworks contain 3 standards:

- working towards the expected standard
- working at the expected standard
- working at greater depth within the expected standard

For KS1 English reading, English writing and mathematics, pupils who are not yet ‘working towards the expected standard’ should be assessed using the interim pre-key stage standards (see section 8.5).

Interim framework for science

For KS1 science, where results are not used for formal accountability, the framework contains one standard:

- working at the expected standard

A pupil who has completed the programme of study will be judged as either 'working at the expected standard' or 'has not met the expected standard'.

8.5 Interim pre-key stage standards

The interim pre-key stage standards must be used to report a statutory assessment outcome for pupils who have not yet completed the relevant programme of study but have reached the chronological age that requires a statutory assessment outcome to be reported. These pupils will be working below the standard of the interim TA frameworks, but above P scales, and may include SEND and non-SEND pupils.

The interim pre-key stage 1 standard for English reading, English writing and mathematics is called:

- foundations for the expected standard

The interim pre-key stage standards follow the same principles as the interim TA frameworks. They each contain a number of 'pupil can' statements. The evidence must show that the pupil demonstrates attainment of all the 'pupil can' statements within the standard they have been awarded.

8.6 External moderation of teacher assessment

External moderation is statutory. It gives confidence that schools' TA judgements for KS1 are accurate and consistent with national standards, as specified in the interim TA frameworks and the exemplification material.

LAs will inform schools on, or after, Friday 19 May if they are going to receive an external moderation visit. LAs will carry out moderation visits from Monday 5 June to Thursday 29 June.

STA will monitor and provide quality assurance to LA external moderation processes.

Local authorities

LAs have a statutory duty to moderate a sample of at least 25% of schools to validate KS1 TA judgements. The sample will be selected from schools in their authority and others that have chosen to be moderated by the LA. STA may also select schools for moderation by the LA.

STA's [external moderation guidance](#)⁴⁵ for KS1 TA will be published in the autumn term. This includes details of the external moderation process and the procedures the LA should follow. LAs must refer to the guidance to ensure the essential requirements are met and that robust moderation processes are followed.

Maintained schools

Schools are accountable for submitting accurate and valid KS1 TA judgements. STA's external moderation guidance includes details of the moderation process and how visits are carried out. Headteachers must refer to the guidance to ensure the essential requirements are met and that robust moderation processes are followed.

Academies and free schools in England

All references to academies include free schools as, in law, they are academies. Academies must comply with the requirements for maintained schools within this ARA.

Academies must choose which LA is responsible for external moderation of their KS1 TA. They should inform STA of their choice by the end of the autumn term. This can be their closest geographical LA or another of their choosing. Academies may be charged for this service. They must give the LA a copy of their external moderation visit record and the outcome.

If a school became an academy after 1 September 2016 they will be part of their geographical LA's arrangements for external moderation of their TA.

Independent schools in England

If an independent school chooses to order English reading and/or mathematics tests on [NCA tools](#)⁴⁶, they should administer them in May. If an independent school chooses to use the interim TA frameworks, it can only claim that outcomes are comparable with national or local results if it has taken part in the LA moderation process and has been moderated in the first year of participation. This includes following the same STA guidance, quality assurance and maladministration processes as maintained schools and academies.

Funding for external moderation

Each LA receives funding from the DfE in the form of a non-ring-fenced grant through the Education Services Grant. STA does not hold information in relation to how much each

⁴⁵ www.gov.uk/government/collections/national-curriculum-assessments-guidance-for-local-authorities

⁴⁶ <https://ncatools.education.gov.uk>

LA is funded for their KS1 external moderation activities. The LA is responsible for dividing the grant appropriately.

Academies receive funding through existing grants for KS1 statutory external moderation.

How local authorities' moderation is monitored

STA will visit a sample of LAs during the moderation period, to monitor their moderation processes and procedures.

If a LA is selected, STA's external moderators will:

- meet with the KS1 moderation manager and appropriate personnel to discuss the approaches to moderation, training and support
- attend one or more of the LA's moderation visits
- report to STA on the LA's approach to moderation, the robustness of the moderation model used and the accuracy of the validated judgements

8.7 Submitting teacher assessment

Maintained schools and academies must report end of KS1 TA to their LA by Thursday 29 June. For all pupils, schools must submit TA judgements in English reading, English writing, mathematics and science. Schools must use the codes detailed in the [teacher assessment guidance](#)⁴⁷ for reporting TA at the end of KS1.

8.8 P scales

[P scales](#)⁴⁸ are statutory for pupils with SEND who are working below the interim pre-key stage standards defined for KS1 (see section 8.5).

The government is reviewing the future of P scales and will consider the long-term statutory solution proposed by [The Rochford Review](#)⁴⁹. P scales will continue to be used for the 2016 to 2017 academic year.

⁴⁷ www.gov.uk/government/collections/key-stage-1-teacher-assessment

⁴⁸ www.gov.uk/government/publications/p-scales-attainment-targets-for-pupils-with-sen

⁴⁹ www.gov.uk/government/groups/the-rochford-review

8.9 Pupils who move schools

Change of school before KS1 test period

If a pupil changes school before Tuesday 2 May, the receiving school must administer the KS1 tests to the pupil and submit TA data for them.

Change of school during KS1 test period

If a pupil changes school during the KS1 test period in May 2017, the receiving school must find out which tests have already been administered to the pupil and administer any remaining tests. The school where the pupil was registered for the greater number of school days in May should submit TA data for that pupil to the LA.

Change of school after the KS1 test period

If a pupil changes school after Wednesday 31 May, the school where the pupil was registered during the KS1 test period must submit TA data.

8.10 Maladministration

If there is evidence that a school has not followed the correct TA processes, this may be investigated as maladministration.

Examples of maladministration include:

- a concern regarding the TA evidence and processes within the school
- lack of independent work
- changes to TA judgements by school staff to influence school assessment outcomes
- a concern about the pattern of attainment

Schools should report any concerns about the accuracy of TA judgements and/or any allegations of maladministration they receive by contacting the national curriculum assessments helpline on 0300 303 3013.

Once an investigation has finished, STA is responsible for deciding whether the school's TA is accurate. STA may annul the school's TA judgements if it concludes that there is doubt about the accuracy of pupils' assessments.

Section 6.4 contains further information about maladministration.

8.11 Headteachers' responsibilities for teacher assessment and moderation

Headteachers at maintained schools and academies must:

- give those carrying out TA enough opportunity to become familiar with the interim TA frameworks and the interim pre-key stage standards, using funds available within the school's overall resources
- ensure the interim TA frameworks are used to make pupils' TA judgements
- ensure the results of the KS1 tests in English reading and mathematics are used to inform pupils' TA judgements
- ensure TA judgements are an accurate assessment of pupils' attainment
- comply with STA's external moderation guidance
- notify STA of any issues which may have affected the integrity of the TA
- ensure their school has an appropriate system to record and submit data to the LA
- submit accurate TA data for English reading, English writing, mathematics and science to the LA, for all pupils at the end of KS1, by Thursday 29 June
- complete and submit the KS1 HDF on NCA tools by Thursday 29 June

8.12 Local authorities' responsibilities for teacher assessment and moderation

LAs must take reasonable steps to ensure that participating schools follow the guidance in this ARA. This also applies to academies that have an agreement in place with the LA.

Responsibilities include:

- making arrangements for a robust programme of moderation to ensure that a sample of at least 25% of schools are externally moderated to validate TA judgements
- following the [guide to submitting data](#)⁵⁰ to collect results, quality assure and submit to the DfE, in the required format, using COLLECT by Friday 28 July
- informing STA of any irregularities within any school's submitted TA data and discussing next steps to take

⁵⁰ www.gov.uk/guidance/key-stage-1-assessments

Section 9: Reporting to parents

9.1 Annual reports

Headteachers at maintained schools, including maintained special schools, must prepare annual reports for every pupil's parents. Headteachers must make arrangements for parents to discuss the report with their child's teacher, if the parents request it.

The term 'parent' is used here as defined in section 576 of the [Education Act 1996](#)⁵¹:

- a parent of a pupil
- any person who is not a parent of a pupil but who has parental responsibility for the pupil
- any person who has care of a pupil

9.2 What reports must cover

The report must start from the day after the last report was given. It must be available to parents before the end of the summer term.

The report must cover the pupil's:

- achievements
- general progress
- attendance record

At KS1, it must also include:

- outcomes of statutory national curriculum TA in English reading, English writing, mathematics and science
- a statement that TA outcomes take into account the results of statutory national curriculum tests in English reading and mathematics
- where appropriate, a statement explaining why any national curriculum test has not been taken

If a parent requests access to their child's national curriculum test results, this must be made available to them.

For maintained schools, it is a requirement that reports include pupils' general progress in statutory subjects. This includes subjects within the KS1 national curriculum as well as

⁵¹ www.legislation.gov.uk/ukpga/1996/56

religious education, unless a child has been withdrawn from this subject by their parents (under section 71 of the [School Standards and Framework Act 1998](#)⁵²).

Detailed content requirements are set out in Schedule 1 of the [Education \(Pupil Information\) Regulations 2005](#)⁵³. Academies' requirements are set out in their funding agreements.

Pupils not participating in the tests

If a headteacher decides their pupil shouldn't take the English reading and/or mathematics tests they should explain this decision to parents. They should also write a report which:

- explains why the pupil can't take some, or all, of the tests
- refers to any action the school has already taken or special support the pupil has been offered
- identifies any procedures used by the school to analyse and monitor the pupil's needs and indicate where the information is recorded
- identifies whether these circumstances are likely to be long or short term

A copy of the report must be sent to the:

- pupil's parents
- chair of the governing body

Details of the parents' right to appeal the decision should be included with the report. If a headteacher believes that a parent may have difficulty understanding the report, they should offer appropriate assistance.

A copy of the report should be placed on the pupil's educational record.

Pupils who change schools

If a pupil changes school before the end of the academic year, the headteacher of the receiving school should write an annual report for the pupil. The report should draw upon information transferred from the pupil's previous school (see section 10.3). This should be issued to the pupil's parents. The parents should have the opportunity to discuss the report with their child's teacher.

⁵² www.legislation.gov.uk/ukpga/1998/31/contents

⁵³ www.legislation.gov.uk/uksi/2005/1437/made

Pupils registered at more than one school

Pupils may be registered at more than one school. This helps to ensure continuity of learning for pupils whose families travel for 'occupational purposes' (see below) or who may not have a fixed address.

If a pupil is registered at more than one school, each headteacher should write an annual report for parents. Each headteacher should also make arrangements for parents to discuss the report with their child's teacher (if the parent wishes).

Regulation 9 of the [Education \(Pupil Registration\) Regulations 2006](#)⁵⁴ allows the dual registration of 'families that travel for occupational purposes'. Regulation 9(3) and 9(4) define which school would be the base school (school of ordinary attendance).

Regulation 9(1) applies to a pupil who:

- has no fixed abode for the reason that his/her parent is engaged in a trade or business of such a nature as to require him/her to travel from place to place
- is at the time registered as a pupil at 2 or more schools

⁵⁴ www.legislation.gov.uk/uksi/2006/1751/contents/made

Section 10: Keeping and maintaining records

10.1 Pupils' educational records

Schools must ensure that educational records are maintained and disclosed to parents on request, as noted in the [Education \(Pupil Information\) Regulations 2005](#)⁵⁵.

Educational records include information about pupils (and former pupils):

- processed by, or on behalf of, the governing body or a teacher
- originating from, or supplied by, LA employees
- originating from, or supplied by, teachers or other employees of the school

Records processed by a teacher solely for the teacher's own use will be excluded from pupils' educational records.

Schools must also keep curricular records on every pupil. Curricular records form a 'subset' of a pupil's educational record. They are a formal record of a pupil's academic achievements, skills, abilities and the progress they make at a school. They must be updated at least once a year.

Under the [Data Protection Act 1998](#)⁵⁶ (DPA), schools are responsible for ensuring that the collation, retention, storage and security of all personal information they produce and hold meets the provisions of the Act. This includes:

- personal information appearing in a pupil's educational record
- any other information they hold which identifies individuals, including pupils, staff and parents

Schools must consider the implications of the DPA, under which they are required to register as a data controller with the [Information Commissioner's Office](#)⁵⁷ (ICO). Many schools consult their legal advisors for guidance on their responsibilities under the Act and advice on developing their data policies.

10.2 Disclosure of educational records

There are several pieces of legislation under which information may be accessed from public organisations, including schools. These include the DPA and the [Freedom of Information Act 2000](#)⁵⁸. Access to a pupil's educational information held by a maintained

⁵⁵ www.legislation.gov.uk/uksi/2005/1437/made

⁵⁶ www.legislation.gov.uk/ukpga/1998/29/contents

⁵⁷ www.ico.org.uk

⁵⁸ www.legislation.gov.uk/ukpga/2000/36/contents

school is covered by a parent's right of access under the Education (Pupil Information) Regulations 2005.

Under these Regulations, a maintained school's governing body must ensure that a pupil's educational record is made available for parents to see, for free, within 15 school days of receipt of the parent's written request. If a parent makes a written request for a copy of the record, this must also be provided within 15 school days of receipt of the request. Governing bodies can charge a fee for these copies but this must not be more than the cost of supply. The ICO provides further information on [charges](#)⁵⁹.

The Regulations describe the material that is exempt from disclosure to parents. This relates to information that the pupil couldn't lawfully be given under the DPA. It also relates to information which they wouldn't have right of access to under that Act, or by virtue of any order made under section 30(2) or section 38(1) of the Act. This includes material which may cause serious harm to the physical or mental health or condition of the pupil or someone else. A school may not fulfil a parent's request for these records if there is a court order in place which limits a parent's exercise of parental responsibility. This affects the parent's entitlement to receive such information.

The ICO can provide further advice.

10.3 Transferring records to a pupil's new school

Headteachers at maintained schools, including maintained special schools, must ensure the statutory requirements for the transfer of records between schools are fulfilled, including the completion of the [common transfer file](#)⁶⁰ (CTF). This requirement is set out in the Education (Pupil Information) Regulations 2005 and the amendments in 2008 and 2016.

If a pupil moves to another school in England, Wales, Scotland or Northern Ireland the pupil's CTF and educational records must be passed to the new school. Academies are not subject to these regulations, but are expected to adhere to the following protocols as a matter of good practice.

The means of transfer to a school outside England must be in line with the arrangements for transfer between schools in England. Information must be transferred within 15 school days of the pupil ceasing to be registered at the old school.

⁵⁹ www.ico.org.uk/for-the-public/schools/pupils-info

⁶⁰ www.gov.uk/government/publications/common-transfer-file-16-specification

The pupil's CTF should be sent to the new school either:

- through the [school to school](#)⁶¹ (S2S) secure file transfer system
- over a secure network that can only be accessed by the LA, the governing body or a teacher at any school within that LA

If either school can't send or receive information in this way, LAs may provide the file. However, there must be agreed and secure local arrangements in place.

If the new school is unknown, the DfE recommends that the school should still complete the CTF and load it onto S2S. If a school doesn't receive CTFs for a new pupil, they can ask the LA to search for the files on S2S.

Schools can refer to the S2S guides for details on:

- what information CTFs should contain
- handling records for pupils where their destination is not known
- sending CTFs between schools

Schedule 2 of the Education (Pupil Information) Regulations 2005, and the amendments in 2016, explains more about the content of CTFs.

⁶¹ www.gov.uk/guidance/school-to-school-service-how-to-transfer-information

Section 11: Legal requirements and responsibilities

11.1 Application of ARA to different types of school

Maintained schools

The ARA applies to maintained schools, including maintained special schools, with pupils in KS1. There are different arrangements for maintained hospital schools (see below).

Maintained schools must use their best endeavours to ensure that special educational provision is made for those pupils who need it. Schools must make reasonable adjustments, including the provision of auxiliary aids and services, to ensure that disabled pupils are not at a substantial disadvantage compared with their peers. See section 5.2 for information about the adjustments available for the KS1 tests.

Maintained nursery schools

Maintained nursery schools with pupils who will reach the age of 6 before the end of the school year must administer the phonics screening check.

Academies and free schools in England

All references to academies include free schools as, in law, they are academies. The following information also applies to [alternative provision](#)⁶² (AP) academies.

An academy's funding agreement may say that they will follow guidance issued by the Secretary of State for Education in relation to assessments and teacher assessment of pupils' performance. If so, they must comply with the ARA and take part in statutory assessments on the same basis as maintained schools. The KS1 ARA is only applicable if the academy provides education to pupils at this stage of learning.

Academies are not required to follow the national curriculum. They need to teach a broad and balanced curriculum which, as a term of their funding agreement, includes English, mathematics and science. For AP academies, this only includes English and mathematics.

Academies must use their best endeavours to ensure that special educational provision is made for those pupils who need it. Academies must make reasonable adjustments, including the provision of auxiliary aids and services, to ensure that disabled pupils are not at a substantial disadvantage compared with their peers. See section 5.2 for information about the adjustments available for the KS1 tests.

⁶² www.gov.uk/government/publications/alternative-provision

Academies must have arrangements for monitoring the phonics screening check, and external moderation of TA, with their chosen LA and have informed STA by the end of the autumn term. Academy trusts must make sure their academies have complied with the external moderation, monitoring and data submission requirements in this publication.

Independent schools in England

Independent schools may choose to take part in the assessment and reporting arrangements for one or more subjects at the end of KS1, although they are not required to do so. If an independent school chooses to participate, they must follow the arrangements in this ARA for administrative purposes.

If an independent school chooses to participate, they must place a KS1 test order for English reading and/or mathematics on [NCA tools](https://ncatools.education.gov.uk)⁶³ by Friday 25 November. Participating independent schools must confirm their intent to issue a privacy notice to the parents of pupils who are going to participate in any tests. They should gain approval from the parents of each participating pupil before the school places a test order.

The 2017 KS1 test materials will be available on [GOV.UK](https://www.gov.uk)⁶⁴ from Monday 5 June, after the test administration window has closed. Independent schools not intending to fully participate in the tests should download test materials, instead of placing a test order.

Independent schools can't formally administer the phonics screening check. They will be able to download the 2017 materials from GOV.UK at the end of June, after the administration window has closed.

Pupil referral units and maintained hospital schools

Pupils studying at a PRU or hospital school, but who are on the register of a maintained school or academy, are required to take the phonics screening check and end of KS1 assessments. Their results should be reported by the school where the pupil is registered.

Pupils not on the register of a maintained school or academy that attend a PRU or hospital school are not required to take the check or participate in the end of KS1 assessments. However, they are expected to receive a comparable education to a pupil in a mainstream school. Therefore, it is recommended that KS1 tests form part of their educational provision where appropriate.

Headteachers make the final decision about whether it is appropriate for a pupil to take the tests (see section 5.1).

⁶³ <https://ncatools.education.gov.uk>

⁶⁴ www.gov.uk/sta

Service children's education schools

SCE schools take part in the national curriculum assessment and reporting arrangements in line with the arrangements for administration in England. This includes administering the phonics screening check and KS1 tests.

Overseas schools

Overseas schools which are not SCE schools cannot formally participate in the phonics screening check or end of KS1 tests. They will be able to download the 2017 materials from GOV.UK at the end of June, after the administration window has closed.

Non-maintained special schools

Non-maintained special schools may take part in the assessment and reporting arrangements at the end of KS1, although they are not required to do so. If they choose to participate they should follow the arrangements in this ARA.

Non-maintained special schools who want to participate in the tests must place a KS1 test order on NCA tools by Friday 25 November.

Non-maintained special schools can't formally administer the phonics screening check although they will be able to download the 2017 materials from GOV.UK at the end of June, after the check administration window has closed.

Home-educated pupils

Pupils who are educated at home cannot participate in the phonics screening check or end of KS1 tests unless they are on the register of a maintained school, academy or other independent school that is participating.

11.2 Headteachers' responsibilities

All references to headteachers include acting headteachers or anyone with delegated authority in the absence of the headteacher.

Headteachers at participating schools have a duty to ensure that:

- the requirements in the ARA are implemented in their school
- teachers and other staff comply with the assessment and reporting arrangements
- the deadlines in the ARA are met
- the needs of all pupils are considered and suitable access arrangements are put in place to enable them to take part in the tests where possible (see section 5.2)

The relevant sections of the ARA provide further detail:

- section 6.7: Headteachers' responsibilities for the tests
- section 7.11: Headteachers' responsibilities for the phonics screening check
- section 8.11: Headteachers' responsibilities for teacher assessment and moderation

Where headteachers do not comply with the provisions of this ARA and other published guidance this could result in the school being investigated for maladministration.

Reporting to parents

Requirements of what headteachers at maintained schools, including maintained special schools, must report to parents are detailed in section 9.2.

Keeping and maintaining records

The statutory requirements of headteachers at maintained schools, including maintained special schools, for the transfer of records between schools are detailed in section 10.3.

11.3 Teachers' responsibilities

Teachers must comply with the provisions of this ARA when carrying out assessment and reporting functions.

Where teachers do not comply with the provisions of this ARA and other published guidance this could result in the school being investigated for maladministration of the assessments.

11.4 Governing bodies' responsibilities

Governing bodies of maintained schools must carry out their functions to ensure that the phonics screening check and KS1 tests are administered in their school according to this ARA and all other published guidance.

11.5 Academy trusts' responsibilities

An academy's funding agreement will usually require the academy trust to ensure that the phonics screening check and KS1 tests are administered in the school according to this ARA and all other published guidance.

11.6 Local authorities' responsibilities

LAs must take reasonable steps to ensure that participating schools follow the guidance in this ARA. This also applies to academies that have an agreement in place with the LA.

LAs should ensure that schools:

- understand and follow the statutory requirements set out in this ARA, as well as any funding agreement requirements
- are offered support on all aspects of administering the phonics screening check and KS1 tests
- are aware of the need to store all assessment materials securely
- have an electronic system to submit their data
- are given instructions on how to submit their data
- meet the requirements for transferring records between schools, including the completion of the CTF as noted in the [Education \(Pupil Information\) Regulations 2005](#)⁶⁵, where this has been agreed between a governing body and authority

The relevant sections of the ARA provide further detail:

- section 6.8: Local authorities' responsibilities for the tests
- section 7.12: Local authorities' responsibilities for the phonics screening check
- section 8.12: Local authorities' responsibilities for teacher assessment and moderation

11.7 Regulatory concerns

If schools have any regulatory concerns that have not been fully addressed by STA in line with the published procedures, these can be raised with the Office of Qualifications and Examinations Regulation (Ofqual). [Ofqual](#)⁶⁶ regulates qualifications, examinations and assessments in England.

⁶⁵ www.legislation.gov.uk/ukxi/2005/1437/made

⁶⁶ www.ofqual.gov.uk/contact

Section 12: Further information

12.1 Useful websites and links

- NCA tools
<https://ncatools.education.gov.uk>
- EduBase
www.education.gov.uk/edubase

Key stage 1 tests

Collection available at www.gov.uk/government/collections/national-curriculum-assessments-key-stage-1-tests, including:

- Test administration guidance
- How to use access arrangements
- Keeping materials secure
- Maladministration

Teacher assessment

Collection available at www.gov.uk/government/collections/key-stage-1-teacher-assessment, including:

- Interim TA frameworks
- Interim pre-key stage standards
- Codes for reporting TA
- Exemplification material
- External moderation guidance

Phonics screening check

Collection available at www.gov.uk/government/collections/phonics-screening-check-administration, including:

- Check administration guidance
- Sample materials and training video
- Keeping materials secure

National curriculum tests: practice materials

Collection available at www.gov.uk/government/collections/national-curriculum-assessments-practice-materials, including:

- Past papers and sample materials
- Scaled scores

Guidance for local authorities

Collection available at www.gov.uk/government/collections/national-curriculum-assessments-guidance-for-local-authorities, including:

- Data collection
- Monitoring visits and maladministration
- External moderation guidance

12.2 Additional resources

- STA assessment updates
www.gov.uk/government/collections/STA-assessment-updates
- Information for parents
www.gov.uk/government/collections/national-curriculum-assessments-information-for-parents
- STA media site
<https://registration.livegroup.co.uk/sta>
- Webinars and videos
www.youtube.com/user/educationgovuk

12.3 Help and support

For general enquiries about the assessment and reporting arrangements at key stage 1

National curriculum assessments helpline: 0300 303 3013

Email: assessments@education.gov.uk

This page is intentionally blank



Standards
& Testing
Agency

© Crown copyright 2016

The 'Assessment and Reporting Arrangements' (ARA) contains provisions made pursuant to Article 10 of [The Education \(National Curriculum\) \(Key Stage 1 Assessment Arrangements\) \(England\) Order 2003](#), as amended. This Order is made under section 87(3) of the [Education Act 2002](#).

The ARA gives full effect to or otherwise supplements the provisions made in the Order and as such has effect as if made by the Order. The ARA provides information and guidance on national curriculum assessments and their administration.

Please discard and recycle previous printed versions of this guidance.

This publication (not including logos) is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated. Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned. To view this licence:



visit www.nationalarchives.gov.uk/doc/open-government-licence/version/3
or email psi@nationalarchives.gsi.gov.uk

This document is available for download at www.gov.uk/government/publications.

Reference: STA/16/7906/e

ISBN: 978-1-78644-460-8



Follow us on Twitter:
[@educationgovuk](https://twitter.com/educationgovuk)



Like us on Facebook:
facebook.com/educationgovuk