



Standards
& Testing
Agency

Key stage 1 assessment and reporting arrangements

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1 Summary

1.1 About this guidance

This guidance sets out the statutory requirements for key stage 1 (KS1) national curriculum assessment and reporting for the 2020/21 academic year. It is produced by the [Standards and Testing Agency](#)¹ (STA), an executive agency of the Department for Education (DfE), and is relevant until the end of the 2020/21 academic year.

The assessment and reporting arrangements (ARA) apply to:

- maintained schools (including maintained special schools)
- academies (including free schools)
- pupil referral units (PRUs)
- maintained nursery schools
- Ministry of Defence (MoD) schools
- participating independent schools with KS1 pupils

1.2 Who is this guidance for?

This guidance is for:

- all staff responsible for end of KS1 assessments and the phonics screening check
- headteachers and senior leadership teams
- governors and trustees
- local authority (LA) assessment co-ordinators

1.3 Legal status

The ARA contains provisions made in terms of Article 9 (as amended) of [The Education \(National Curriculum\) \(Key Stage 1 Assessment Arrangements\) \(England\) Order 2004](#)².

The 2004 Order is made by the Secretary of State under powers as provided for by [section 87 of the Education Act 2002](#)³. This document gives full effect to the provisions made in the 2004 Order concerning KS1 assessment and has effect as if made by the 2004 Order. The ARA also contains guidance that does not form part of the law. Section 10 contains further information on legal requirements and responsibilities.

¹ www.gov.uk/sta

² www.legislation.gov.uk/ksi/2004/2783/contents/made

³ www.legislation.gov.uk/ukpga/2002/32/section/87

2 Changes for 2020/21

In response to the disruption schools are facing due to the coronavirus (COVID-19) pandemic, the Secretary of State for Education has announced [extra measures to support pupils taking exams and assessments in 2021⁴](#).

Changes relating to the KS1 national curriculum assessments are detailed below.

2.1 Key stage 1 tests

The KS1 tests have been suspended for 2021. Teachers can choose to administer past papers to help inform their TA judgements, but there is no requirement to do so.

The [practice materials⁵](#) on GOV.UK include standard and modified large print (MLP) versions of the 2017, 2018 and 2019 tests, plus mark schemes and test administration instructions.

Schools should contact the national curriculum assessments helpline on 0300 303 3013 to request braille versions, and MLP in hard copy, if required.

2.2 Science teacher assessment

In 2021, schools do not need to make or submit TA judgements for pupils in science.

2.3 Phonics screening check for year 2 pupils

Cancellation of the phonics screening check in June 2020 means that year 2 pupils did not take the check in year 1. In the 2020/21 academic year only, schools must administer a past version of the phonics screening check to year 2 pupils (excluding any pupils who meet the exceptions listed in section 6.2) and return results to their geographical LA.

Year 2 pupils who achieve the expected standard will not be required to complete any further statutory assessments in phonics. Year 2 pupils who do not meet the expected standard will be expected to take the statutory check in June 2021.

Full guidance for schools [administering the check to year 2 pupils⁶](#) has been published.

⁴ www.gov.uk/government/news/extra-measures-to-support-students-ahead-of-next-summers-exams

⁵ www.gov.uk/government/collections/national-curriculum-assessments-practice-materials

⁶ www.gov.uk/government/publications/key-stage-1-administering-the-phonics-screening-check-to-year-2-pupils

2.4 Phonics screening check administration period in June

The phonics screening check administration period in June 2021 has been extended by one week to give greater flexibility to schools affected by pupil absence, school closures or other coronavirus disruption.

Schools must administer the phonics screening check to eligible pupils in the week beginning 7 June 2021. If pupils are absent, or are unable to take the check, schools may administer the check to them until Friday 25 June.

2.5 Pupils working below the standard of national curriculum assessments and not engaged in subject-specific study

In the 2020/21 academic year, schools can use [the engagement model⁷](#) or [P scales 1 to 4⁸](#) to assess pupils working below the standard of national curriculum assessments and not engaged in subject-specific study. This is a transitional arrangement, on a non-statutory basis for one year, as some schools may not be fully prepared to implement the engagement model as originally intended.

Schools that have implemented the engagement model can report which pupils they have assessed using the model. Schools that need more time to implement the engagement model should report that they have used P scales. The engagement model will be statutory from September 2021.

2.6 Teacher assessment moderation

The usual process for LAs to gain approval to moderate teacher assessment (TA) of English writing has been simplified. Approval to moderate in 2021 will be granted by STA in the order of precedence detailed in section 5.9.

STA will not deliver TA moderation training events to LAs. Training materials from 2018/19 and 2019/20 are available on the [Primary Assessment Gateway⁹](#). LAs can use these materials to support their delivery of moderator training.

In previous years, STA visited a sample of LAs during the TA moderation period, to monitor their moderation procedures. This process has been suspended for 2021.

⁷ www.gov.uk/government/publications/the-engagement-model

⁸ www.gov.uk/government/publications/p-scales-attainment-targets-for-pupils-with-sen

⁹ www.primaryassessmentgateway.education.gov.uk

3 Important dates for 2020/21

These dates may be subject to change.

Date	Action
Friday 11 December	Deadline for independent schools, that intend to submit KS1 TA data, to report to STA on the Primary Assessment Gateway that they have a written agreement in place with the LA that will complete external moderation.
By the end of March	Phonics screening check administration guidance published.
Tuesday 27 April	Deadline to order braille versions of the phonics screening check from the national curriculum assessments helpline on 0300 303 3013.
Monday 17 May to Friday 21 May	Schools receive phonics screening check materials.
Friday 21 May	Schools informed by the LA on, or after, this date if they are going to be part of the sample for external moderation of TA.
Monday 7 June	KS1 headteacher's declaration form (HDF), phonics screening check materials and phonics HDF available on the Primary Assessment Gateway.
Monday 7 June to Friday 11 June	Schools administer the phonics screening check.
Monday 14 June to Friday 25 June	Schools can administer the phonics screening check to any pupils who were absent during the week beginning 7 June.
Tuesday 8 June to Thursday 1 July	LAs undertake external moderation of KS1 TA.
Monday 28 June	Phonics screening check materials and threshold mark published on GOV.UK.
Thursday 1 July	Deadline for schools to submit: <ul style="list-style-type: none">• KS1 TA data to their geographical LAs• KS1 HDF on the Primary Assessment Gateway• phonics screening check HDF on the Primary Assessment Gateway
By the end of the summer term	Schools must submit their phonics screening check results to their geographical LA by the deadline specified by the LA.
Friday 23 July	Deadline for LAs to submit phonics screening check and KS1 TA data to DfE.

4 Responsibilities

4.1 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 ARA
- the deadlines in the ARA are met
- the needs of all pupils are considered, and reasonable adjustments are put in place, where possible (see section 10.2)
- parents are issued with a [privacy notice](#)¹⁰ that explains how pupils' personal data is processed

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

Teacher assessment and moderation

Headteachers at maintained schools, academies (including free schools) and participating independent schools must:

- identify which pupils will reach the end of KS1 in 2020/21
- use funds available within the school's overall resources to give those carrying out TA sufficient opportunity to become familiar with:
 - the TA frameworks
 - the pre-key stage standards
 - the engagement model or P scales 1 to 4
- ensure the relevant framework or guidance is used to make pupils' TA judgements (see section 5.3)
- ensure TA judgements are an accurate assessment of pupils' attainment
- ensure their school has an appropriate system to record and submit data to the LA

¹⁰ www.gov.uk/government/publications/data-protection-and-privacy-privacy-notices

- submit TA data to their geographical LA, for all pupils at the end of KS1, by Thursday 1 July
- notify STA of any issues that may have affected the integrity of the TA
- submit the KS1 HDF on the Primary Assessment Gateway by Thursday 1 July

Headteachers at academies must also have a written agreement in place with their chosen LA for external moderation of their KS1 TA. If they have selected a non-geographical LA, they must have reported this information to STA on the Primary Assessment Gateway, by Friday 20 November.

Headteachers at participating independent schools must issue a [privacy notice](#)¹¹ to the parents of any pupil taking the assessments. They must also have a written agreement in place with their chosen LA for external moderation of their KS1 TA. They must report this information to STA, on the Primary Assessment Gateway, by Friday 11 December.

Key stage 1 headteacher's declaration form

After submitting TA, the headteacher or a delegated member of staff must submit the KS1 HDF on the Primary Assessment Gateway, as detailed in article 4(7) of the [Education \(National Curriculum\) \(Key Stage 1 Assessment Arrangements\) \(England\) Order 2004](#)¹². This requirement applies to all maintained schools, including specialist provision schools, even if all pupils are working below the standard of the KS1 assessments or are unable to access them.

The form will be available from Monday 7 June and must be submitted by Thursday 1 July. Failure to complete the HDF by the deadline may result in a maladministration investigation.

If you cannot complete the HDF, or make any errors in your submission, you should notify the national curriculum assessments helpline on 0300 303 3013.

Phonics screening check

Headteachers at maintained schools and academies (including free schools) must:

- administer a past version of the phonics screening check to year 2 pupils (who have not previously taken it) and report their check scores to their geographical LA
- identify any year 2 pupils who have not met the expected standard and should take the check in June 2021

¹¹ www.gov.uk/government/publications/data-protection-and-privacy-privacy-notices

¹² www.legislation.gov.uk/uksi/2004/2783/contents/made

- identify which pupils will reach the age of 6 before the end of the academic year (most pupils will be in year 1) and should take the check in June 2021
- ensure that any pupils in years 1 or 2 who do not meet the expected standard continue to receive support in phonics
- consider whether any pupils will need braille versions of the check in June 2021 and order them from the national curriculum assessments helpline on 0300 303 3013 by Tuesday 27 April
- consider whether any pupils will need modified versions of the check (excluding braille) and download them from the Primary Assessment Gateway during the check period in June 2021
- keep check materials secure and treat them as confidential until Monday 28 June
- ensure the check is administered once to each pupil within the check window starting on Monday 7 June
- ensure all check administrators are appropriately trained to administer and score the check according to the published guidance, and have viewed the training video
- ensure the check is administered by a check administrator known to the pupils
- ensure pupils' responses are scored accurately and consistently
- report any incident that affects the integrity, security or confidentiality of the check to STA
- comply with national data submission requirements by submitting check results to their geographical LA for all eligible pupils by the LA's deadline
- submit the phonics HDF on the Primary Assessment Gateway by Thursday 1 July

Headteachers at academies must also have a written agreement in place with their chosen LA for monitoring the phonics screening check and have informed STA if they intend to use a non-geographical LA by Friday 20 November.

Phonics screening check headteacher's declaration form

Headteachers or a delegated member of staff must submit the phonics screening check HDF on the Primary Assessment Gateway, as detailed in article 5A(1)(c) of the [Education \(National Curriculum\) \(Key Stage 1 Assessment Arrangements\) \(England\) Order 2004](#)¹³.

The HDF confirms that phonics screening checks were administered and scored according to the published guidance or that any issues were reported to STA. The form

¹³ www.legislation.gov.uk/ukssi/2004/2783/contents/made

will be available from Monday 7 June and must be completed by Thursday 1 July. Failure to complete the HDF by the deadline may result in a maladministration investigation.

If you cannot complete the HDF, or make any errors in your submission, you should notify the national curriculum assessments helpline on 0300 303 3013.

4.2 Local authorities' responsibilities

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

LAs should ensure that participating 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 assessment at KS1
- are aware of the need to store phonics screening check materials securely
- have an electronic system to submit their data
- are given instructions on how to submit their data (to their geographical LA)
- are aware of their deadlines to submit data
- meet the requirements for transferring records between schools, including the completion of the [common transfer file](#)¹⁴ (CTF) as noted in the [Education \(Pupil Information\) \(England\) Regulations 2005](#)¹⁵

Teacher assessment and moderation

Responsibilities include:

- arranging a robust programme of moderation to ensure that all schools they are responsible for are moderated at least once every 4 years (excluding 2020), or more frequently, to validate TA judgements (see section 5.6)
- following the [guide to submitting data](#)¹⁶ to collect TA, quality assure and submit to DfE using COLLECT by Friday 23 July

¹⁴ www.gov.uk/government/collections/common-transfer-file

¹⁵ www.legislation.gov.uk/ukesi/2005/1437/made

¹⁶ www.gov.uk/guidance/key-stage-1-assessments

- informing STA of irregularities within any school's submitted TA data and discussing next steps to take
- moderating participating independent schools in the first year they opt in and then at least once every 4 years (excluding 2020)

Phonics screening check

Responsibilities include:

- ensuring training and advice is available to schools on all aspects of the check
- making unannounced monitoring visits to a sample of schools participating in the June 2021 check (see section 6.6)
- informing STA of any irregularities, which could result in the school being investigated for maladministration
- following the [phonics data collection and submission guidance¹⁷](#) to collect results, quality assure and submit data to DfE

4.3 Teachers' responsibilities

Teachers must comply with the provisions of this ARA when carrying out assessment and reporting functions. If teachers do not comply with the provisions of this ARA, this could result in the school being investigated for maladministration.

4.4 Governing bodies' responsibilities

Governing bodies of maintained schools and proprietors of participating independent schools must carry out their functions to ensure that the KS1 national curriculum assessments are administered in their school according to this ARA.

4.5 Academy trusts' responsibilities

An academy's funding agreement will usually require the academy trust to ensure that the KS1 national curriculum assessments are administered in the school according to this ARA.

¹⁷ www.gov.uk/guidance/phonics-screening-check-data-collection

5 Teacher assessment

In 2021, teachers can choose to administer past KS1 test papers to help inform their TA judgements, but there is no requirement to do so. Schools do not need to make or submit TA judgements for pupils in science (see section 2.1).

5.1 Overview of teacher assessment

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. Teachers must consider the pupil's written, practical and oral classwork.

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 include these pupils when they submit their TA data.

5.2 What teachers must assess

This table shows which TA judgements are required, depending on the subject and standard at which the pupil is working. [Exemplification materials](#)¹⁸ are available to help teachers make their judgements if additional guidance is needed.

Key stage 1 standard	Guidance	English reading	Maths	English writing	Science
Pupils working at the standard of the national curriculum assessments	TA frameworks ¹⁹	Yes	Yes	Yes	No
Pupils working below the standard of the national curriculum assessments and engaged in subject-specific study	Pre-key stage 1 standards ²⁰	Yes	Yes	Yes	N/A

For details of how to assess pupils working below the standard of national curriculum assessments and not yet engaged in subject-specific study, see section 5.5.

¹⁸ www.gov.uk/government/collections/key-stage-1-teacher-assessment

¹⁹ www.gov.uk/government/publications/teacher-assessment-frameworks-at-the-end-of-key-stage-1

²⁰ www.gov.uk/government/publications/pre-key-stage-1-standards

5.3 Teacher assessment frameworks

The TA frameworks must be used to assess pupils who have completed the KS1 programmes of study in English reading, English writing and mathematics, and are working at the standard of the national curriculum assessments.

The frameworks contain ‘pupil can’ statements. Teachers should follow the specific guidance for each subject in the frameworks when making their judgements. Teachers should be confident that pupils have met the standards preceding the one at which they judge them to be working. However, they are not required to have specific evidence for the preceding standards. Pupils’ work that demonstrates meeting a standard is sufficient to show they are working above the preceding standards.

The English reading, English writing and mathematics frameworks contain 3 standards:

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

Pupils who have not completed the programme of study or are not yet ‘working towards the expected standard’ should be assessed using the pre-key stage standards (see section 5.4).

5.4 Pre-key stage standards

Pre-key stage standards must be used for statutory assessment of pupils at the end of KS1 who are working below the standard of national curriculum assessments and engaged in subject-specific study. They should also be used to assess pupils who:

- have not completed the KS1 programmes of study
- are working below the standard of national curriculum assessments because they cannot communicate in English (and are engaged in subject-specific study)

The pre-key stage standards follow the same principles as the TA frameworks. They each contain ‘pupil can’ statements for teachers to assess against, providing evidence to show that pupils have met the standard they have been awarded. Teachers should follow the specific guidance for each subject when making their judgements.

The pre-key stage 1 standards for English reading, English writing and mathematics are:

- Standard 4
- Standard 3
- Standard 2
- Standard 1

5.5 Engagement model and P scales 1 to 4

In 2020/21, if a pupil is working below the standard of national curriculum assessments and not yet engaged in subject-specific study, their outcome can be reported using [the engagement model²¹](#) or [P scales 1 to 4²²](#).

Schools that have implemented the engagement model can report which pupils they have assessed using the model. Schools that need more time to implement the engagement model have the option to use P scales in 2020/21.

A school can use the engagement model and P scales, if required, but an individual pupil cannot be assessed using both. For example, one pupil may be assessed using the engagement model, and another may be assessed using P scales within the same school.

5.6 External moderation of teacher assessment

We are keeping the coronavirus situation under close review and, if indicators show face to face moderation activities are not going to be possible in June, we will publish further guidance in spring 2021.

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

LAs will inform schools on, or after, Friday 21 May if they are going to receive an external moderation visit. LAs will carry out moderation visits from Tuesday 8 June to Thursday 1 July.

[TA guidance²³](#) includes details of the moderation process and how visits are carried out. Headteachers and LAs must refer to the guidance to ensure that the essential requirements are met and that robust moderation processes are followed.

Local authorities

LAs are required to externally moderate at least 25% of maintained schools. They are also expected to externally moderate at least 25% of academies and participating independent schools that opt into the LA's external moderation provision. LAs must

²¹ www.gov.uk/government/publications/the-engagement-model

²² www.gov.uk/government/publications/p-scales-attainment-targets-for-pupils-with-sen

²³ www.gov.uk/government/publications/key-stage-1-teacher-assessment-guidance

ensure all schools they are responsible for are moderated at least once every 4 years (excluding 2020), or more frequently if required.

Academies (including free schools)

Academies must choose which LA is responsible for external moderation of their KS1 TA. They must have a written agreement in place with their chosen LA and should have informed STA on the Primary Assessment Gateway, by Friday 20 November, if they intend to use a non-geographical LA. STA assumes academies are being moderated by their geographical LA, unless informed otherwise.

If a school became an academy on, or after 2 September 2020, they will be part of their geographical LA's arrangements for external moderation of their TA and cannot select an alternate LA until the 2021/22 academic year.

Academies may be charged for this service and should ensure costs for all moderation activities, including potential re-moderation, are agreed with the LA in advance. They must give the LA the record and outcome of their most recent external moderation visit.

Funding for these activities is paid directly to the geographical LA in the first year following conversion to an academy. Subsequent payments are made directly to the academy every 4 years.

If an academy fails to make a written agreement with an LA to undertake external moderation of their KS1 TA, this information will be passed to Ofsted and may result in a maladministration investigation by STA.

Independent schools

Participating independent schools must have a written agreement in place with their chosen LA that will complete external moderation of their TA. An independent school can only claim that its results are comparable with national or local results if it has taken part in the LA external moderation process and has been moderated in the first year of participation.

Participating independent schools must also follow the same STA guidance, quality assurance and maladministration processes as maintained schools and academies if they wish to make these comparisons.

Funding for external moderation

Academies should continue to fund external moderation through their general annual grant funding allocation, as in previous years.

LA's should factor in the costs of re-moderation activities at the beginning of the year as part of the funding that they retain centrally for maintained schools. They should not

place additional charges on schools for appeals or re-moderation of TA judgements. The TA guidance provides further details about re-moderation of TA judgements.

Further information on retaining funding can be found in the [Pre-16 schools funding: guidance for 2020 to 2021: Operational guide](#)²⁴. Further information about the provision of services and facilities by LAs can be found in the [Schemes for financing schools](#)²⁵.

5.7 Submitting teacher assessment

Maintained schools, academies and participating independent schools must submit TA data for pupils at the end of KS1 to their geographical LA by Thursday 1 July. Schools that choose to assess pupils using the engagement model or P scales are also expected to submit data for these pupils.

5.8 Pupils who change schools

If a pupil changes school:

- before Tuesday 4 May – the receiving school must submit TA data for them
- on, or after, Tuesday 4 May – the previous school must submit TA data for them

If a pupil arrives from a non-participating school or was electively home educated (EHE), the receiving school should assess the pupil and submit data for them. If the pupil arrives on, or after, 1 June 2021 data is not required.

5.9 Standardisation and approval to moderate for local authorities

Standardisation exercises are used to gain STA approval to moderate and are undertaken annually. The usual approach to [TA standardisation](#)²⁶ has been suspended for 2021.

Approval to moderate will be granted by STA in the following order of precedence:

1. Approved moderators from 2019/20 (this should cover the vast majority) and approved moderators from the autumn 2020 standardisation exercise.
2. Approved moderators from 2018/19 who did not attempt a standardisation exercise in 2019/20.

²⁴ www.gov.uk/government/publications/pre-16-schools-funding-local-authority-guidance-for-2020-to-2021

²⁵ www.gov.uk/government/publications/schemes-for-financing-schools

²⁶ www.gov.uk/guidance/teacher-assessment-moderation-standardisation-and-training-process

- Approved moderators from 2018/19 who were unsuccessful in 2019/20 standardisation. These moderators must be cognisant of the issued commentaries, have had a discussion with their moderation manager and the moderation manager must have confidence in the moderator's ability to make accurate judgments.

LAs should compile their list of approved moderators based on this order of precedence and note it in their moderation plans.

5.10 How teacher assessment will be used

DfE does not make school-level results for KS1 TA available publicly. They are used as the baseline for [measuring progress between KS1 and KS2²⁷](#).

Results will be available in [Analyse School Performance²⁸](#) and schools will also have access to [national and LA results²⁹](#) to allow them to benchmark their pupils' performance.

²⁷ www.gov.uk/government/publications/primary-school-accountability

²⁸ www.analyse-school-performance.service.gov.uk

²⁹ www.gov.uk/government/statistics/phonicsscreeningcheckandkeystage1assessmentsengland-2019

6 Phonics screening check

6.1 Overview of the 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 check administrator.

This section of the ARA relates to the phonics screening check in June 2021.

Arrangements for schools [administering the check to year 2 pupils³⁰](#) have been published separately.

6.2 Check participation

Participation in the check depends on the type of school (see section 10.1). Schools do not need to register pupils for the check.

Pupils who should take the check

Unless the exceptions below apply, all pupils who have reached the age of 6 by the end of the academic year (most pupils will be in year 1) must take the check in June 2021. This includes pupils registered at maintained nursery schools who will reach the age of 6 before the end of the academic year.

Pupils who will have reached the age of 7 by the end of the academic year (most pupils will be in year 2) must also take the check in June 2021, if they have not previously met the expected standard.

Pupils who should not take the check

Pupils should not take the check if any of the following apply:

- they have shown no understanding of grapheme-phoneme correspondences
- they have recently moved to the country and are unable to understand letters and sounds in English
- they use British Sign Language or other sign-supported communication, such as communication boards, to spell out individual letters

³⁰ www.gov.uk/government/publications/key-stage-1-administering-the-phonics-screening-check-to-year-2-pupils

- they are mute, or selectively mute
- they have been absent during the check window – if a pupil does not take the check during this period and returns to school after Friday 25 June, they must be recorded as absent
- they have not completed the first year of the KS1 English programme of study

When making decisions about which pupils should take the check, headteachers should consider the disruption to teaching due to coronavirus. In most cases, year 1 pupils should take the check, even if they have not covered the first year of the KS1 English programme of study in the usual way.

Decisions on participation in the check

Headteachers make the final decision about whether it is appropriate for a pupil to take the check. In any instances when pupils are not entered for the check, 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 to learn to decode using phonics.

Schools must submit data for all pupils including those who do not take the check. Pupils who do not take the check should be marked as 'D' (headteacher decided it was inappropriate for the pupil to take the check).

6.3 Check materials

Schools do not need to order standard materials for the check in June 2021. Materials are sent to schools (including special schools, PRUs and secure units) based on data from the school census. Schools can notify STA if they do not need phonics materials on the Primary Assessment Gateway.

Braille materials should be ordered from the national curriculum assessments helpline on 0300 303 3013 by Tuesday 27 April.

Schools will receive check materials, including any braille orders, in the week beginning Monday 17 May. If schools have not received their check materials by Friday 21 May, they should contact the national curriculum assessments helpline on 0300 303 3013.

Additional materials

Schools can download check materials from the Primary Assessment Gateway from Monday 7 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.

6.4 Security of check materials

Headteachers must ensure the integrity of the check is maintained so that no pupil has an unfair advantage. Schools must follow the guidance on [keeping materials secure](#)³¹ and treat check materials as confidential from when they are received, or downloaded from the Primary Assessment Gateway, until Monday 28 June.

Any school behaviour that leads to check materials being shared before Monday 28 June could lead to a maladministration investigation.

6.5 Administering the check

Schools must follow the phonics screening [check administration guidance](#)³², which will be published in March. Pupils must only attempt the check once during the check window.

Check administrators

A member of staff who is trained in phonics and has experience delivering phonics sessions to pupils must administer the check on a one-to-one basis. The role requires professional judgement about which responses are correct. The check administrator should be known to the pupils but must not be a relative, carer or guardian of the pupil taking the check. The check should not be administered by a teaching assistant or a higher-level teaching assistant, unless they are trained in phonics and have experience delivering phonics sessions to pupils.

Check administrators should familiarise themselves with the [training video](#)³³ to understand how to score the check consistently.

6.6 Monitoring the check

We are keeping the coronavirus situation under close review and, if indicators show face to face monitoring activities are not going to be possible in June, we will provide further advice when the monitoring visits guidance is updated in spring 2021.

³¹ www.gov.uk/government/publications/key-stage-1-and-2-tests-and-phonics-screening-check-security-advice

³² www.gov.uk/government/publications/key-stage-1-phonics-screening-check-administration-guidance

³³ www.gov.uk/government/publications/phonics-screening-check-sample-materials-and-training-video

LAs have a statutory duty to make monitoring visits to at least 10% of maintained schools that are administering the check. LAs are also expected to monitor at least 10% of academies that have selected the LA for monitoring. STA may identify schools for LAs to include in their samples.

Monitoring visitors, on behalf of the LA or STA, will make unannounced visits to schools participating in the check before, during and after the check period. They will look for evidence that the school is following the published guidance on:

- keeping check materials secure
- administering and scoring the check

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

- see all materials and 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 an investigation if a monitoring visitor reports:

- administrative irregularities
- potential maladministration (which could include check administrators encouraging pupils to make another attempt at a word or reminding pupils to blend a word during the check)

These investigations are used to make decisions about the accuracy or correctness of pupils' results. Schools and LAs should refer to the [guidance on monitoring visits](#)³⁴, which will be updated in the spring, for further information.

Academies

Academies must choose which LA is responsible for monitoring their phonics screening check and must have a written agreement in place with their chosen LA. Academies will be presumed to be working with their geographical LA and should have informed STA by Friday 20 November, on the Primary Assessment Gateway, if they have chosen an alternate LA.

If a school became an academy on, or after, 2 September 2020 they will be part of their geographical LA's arrangements for monitoring the check and will be unable to select an alternate LA until the 2021/22 academic year.

³⁴ www.gov.uk/guidance/key-stage-2-tests-and-phonics-screening-check-monitoring-visits

6.7 Reporting check results

STA will publish the threshold mark on Monday 28 June on GOV.UK. Schools do not need to wait until the threshold mark is published before submitting their data to the LA.

Reporting to local authorities

Maintained schools and academies must report their pupils' check scores to their geographical LA by the deadline they specify. LAs must submit check data to DfE by Friday 23 July. There is no facility to amend data once the collection has closed.

Further support for schools and LAs is available in:

- the [check administration guidance](#)³⁵
- DfE's [data collection and submission guidance](#)³⁶

Reporting to parents

By the end of the summer term, headteachers must report to parents either:

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

For year 2 pupils who take the check in June 2021 (because they had not previously met the expected standard), schools must report both results to parents.

Full details about what should be reported to parents are in section 8.2.

Pupils who change schools

If a pupil changes school:

- before the check period – the receiving school should assess the pupil and submit data for them
- during the check period – the receiving school should find out whether the pupil has already taken the check (if not, they should assess the pupil and submit data for them)
- after taking the check – their result should be submitted by the school where they took the check and provided to the new school in the CTF

³⁵ www.gov.uk/government/publications/key-stage-1-phonics-screening-check-administration-guidance

³⁶ www.gov.uk/guidance/phonics-screening-check-data-collection

If a pupil arrives from a non-participating school or were EHE, the receiving school should consider administering the check and must submit data for them. Pupils who arrive after the check administration period, and who did not take the check, do not need to be included in that year's data submission.

6.8 How results will be used

DfE does not make school-level results for the phonics screening check available publicly.

Results from the check in June 2021 will be available in [Analyse School Performance](#)³⁷ and schools will also have access to [national and LA results](#)³⁸ to allow them to benchmark their pupils' performance.

³⁷ www.analyse-school-performance.service.gov.uk

³⁸ www.gov.uk/government/collections/statistics-key-stage-1

7 Maladministration

The term ‘maladministration’ refers to any act that:

- affects the integrity, security or confidentiality of national curriculum assessments
- could lead to results that do not reflect pupils’ unaided work

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

The [maladministration investigation procedures](#)³⁹ explain how STA investigates allegations, as well as roles and responsibilities relating to school visits. This is supported by [guidance for LAs](#)⁴⁰ carrying out visits on STA’s behalf.

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

Anybody with concerns about the administration of the assessments or any allegations of maladministration (which could include cheating) should report them by contacting the national curriculum assessments helpline on 0300 303 3013.

³⁹ www.gov.uk/government/publications/key-stage-1-and-2-maladministration-investigation-procedures

⁴⁰ www.gov.uk/guidance/key-stage-1-and-2-school-visits-following-an-allegation-of-maladministration

8 Reporting to parents

8.1 Annual reports

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

The term 'parent' is defined in section 576 of the [Education Act 1996](#)⁴¹ as:

- 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

Academies' requirements are set out in their funding agreements.

8.2 What reports must cover

The report must start from the day after the last report was given, or the date of the pupil's admission to the school, if later. 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 and mathematics
- comparative information about the attainment of pupils of the same age in the school
- comparative information about the attainment in the core subjects of pupils of the same age nationally, from 2019
- arrangements for discussing the report with the pupil's teacher

⁴¹ www.legislation.gov.uk/ukpga/1996/56

For maintained schools, it is a requirement that reports cover pupils' general progress in statutory subjects. This includes subjects within the KS1 national curriculum as well as 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](#)⁴²). These content requirements are based on Schedule 1 of the [Education \(Pupil Information\) \(England\) Regulations 2005](#)⁴³.

Pupils who change schools

If a pupil changes schools 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 9.3). This should be issued to the pupil's parents. The parents should have the opportunity to discuss the report with their child's teacher.

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 arrange for parents to discuss the report with their child's teacher (if the parent wishes).

Regulation 9 of the [Education \(Pupil Registration\) \(England\) Regulations 2006](#)⁴⁴ allows the dual registration of families that travel for occupational purposes. Regulations 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 because their parent is engaged in a trade or business that requires them to travel from place to place
- is at the time registered as a pupil at 2 or more schools

⁴² www.legislation.gov.uk/ukpga/1998/31/contents

⁴³ www.legislation.gov.uk/uksi/2005/1437/made

⁴⁴ www.legislation.gov.uk/uksi/2006/1751/contents/made

9 Keeping and maintaining records

9.1 Pupils' educational records

Maintained schools and non-maintained special schools must ensure that educational records are maintained and disclosed to parents on request, as prescribed in the [Education \(Pupil Information\) \(England\) Regulations 2005⁴⁵](#). 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

Information processed by a teacher solely for the teacher's own use is excluded from the definition of educational records.

Maintained schools and non-maintained special 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. These records must be updated at least once every academic year.

Under the General Data Protection Regulation (GDPR) and the [Data Protection Act 2018⁴⁶](#) (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 [register⁴⁷](#) as a data controller with the [Information Commissioner's Office⁴⁸](#) (ICO). Many schools consult their legal advisors for guidance on their responsibilities under the DPA and advice on developing their data policies. DfE provides suggested text for [school privacy notices⁴⁹](#).

⁴⁵ www.legislation.gov.uk/ukssi/2005/1437/made

⁴⁶ www.legislation.gov.uk/ukpga/2018/12/contents

⁴⁷ www.legislation.gov.uk/ukssi/2018/480/contents/made

⁴⁸ www.ico.org.uk

⁴⁹ www.gov.uk/government/publications/data-protection-and-privacy-privacy-notices

9.2 Disclosure of educational records

There are several pieces of legislation under which information may be accessed from public organisations, including schools. These include the GDPR, the DPA and the [Freedom of Information Act 2000](#)⁵⁰. Access to a pupil's educational record held by a maintained school or non-maintained special school is covered by a parent's right of access under the Education (Pupil Information) (England) Regulations 2005.

Under the 2005 Regulations, a maintained school's governing body must ensure that a pupil's educational record is made available for parents to see, free of charge, 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](#)⁵¹.

The 2005 Regulations describe the material that is exempt from disclosure to parents. This relates to information that the pupil could not lawfully be given under the DPA. It also relates to information that they would not have a right of access to under the DPA, by virtue of paragraph 18 in Schedule 1 or paragraph 16 in Schedule 2 to the Act. This includes material that 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](#)⁵² can provide further advice.

9.3 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 [CTF](#)⁵³. This requirement is set out in the [Education \(Pupil Information\) \(England\) Regulations 2005](#)⁵⁴, as amended.

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 this requirement but are expected to adhere to the following protocols as a matter of good practice.

⁵⁰ www.legislation.gov.uk/ukpga/2000/36/contents

⁵¹ www.ico.org.uk/for-the-public/schools/pupils-info

⁵² www.ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/right-of-access

⁵³ www.gov.uk/government/collections/common-transfer-file

⁵⁴ www.legislation.gov.uk/uksi/2005/1437/contents/made

Schools should arrange to exchange data by another secure method if transferring information to a school outside England, where school to school⁵⁵ (S2S) is not available. Information must be transferred within 15 school days of the pupil ceasing to be registered at their previous school.

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

- through the 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 is unable to 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, DfE recommends that the school should still complete the CTF and load it onto S2S. If a school does not receive CTFs for a new pupil, they can ask their 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) (England) Regulations 2005⁵⁶, as amended, explains more about the content of CTFs.

⁵⁵ www.gov.uk/school-to-school-service-how-to-transfer-information

⁵⁶ www.legislation.gov.uk/uksi/2005/1437/contents/made

10 Legal requirements and responsibilities

10.1 How the arrangements apply to different types of school

Maintained schools

Maintained schools, including maintained special schools, with pupils in KS1 must administer statutory assessments.

Maintained nursery schools

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

Academies (including free schools)

All references to academies include free schools as, in law, they are academies. The following information also applies to [alternative provision](#)⁵⁷ (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 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.

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 and mathematics.

Academies must arrange for their chosen LA to monitor the phonics screening check and moderate their TA and should have informed STA by Friday 20 November. Academy trusts must make sure their academies have complied with the external moderation, monitoring and data submission requirements in this publication.

Independent schools

Independent schools in England may choose to take part in the assessments for one or more subjects at the end of KS1, although they are not required to do so. Participating independent schools must follow the guidance in this ARA.

⁵⁷ www.gov.uk/government/publications/alternative-provision

Independent schools cannot formally administer the phonics screening check. They will be able to download the 2021 materials from GOV.UK from Monday 28 June, after the check administration window.

Pupil referral units

Pupils studying at a PRU but who are on the register of a maintained school or academy, are expected to take the phonics screening check and 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, but who attend a PRU, are expected to receive a comparable education to a pupil in a mainstream school. Therefore, it is recommended that KS1 assessments form part of their educational provision, where appropriate.

Ministry of Defence schools

MoD schools take part in the national curriculum assessments in line with the administration in England. This includes administering the phonics screening check and submitting TA.

Overseas schools

Overseas schools that are not MoD schools cannot formally participate in the phonics screening check or KS1 assessments. They will be able to download the phonics screening check materials from Monday 28 June, after the administration window.

Non-maintained special schools

Non-maintained special schools may take part in the KS1 assessments, 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 cannot formally administer the phonics screening check. They will be able to download the 2021 materials from GOV.UK from Monday 28 June, after the check administration window.

Home-educated pupils

Pupils who are EHE cannot participate in the phonics screening check or KS1 assessments, unless they are on the register of a maintained school, academy or participating independent school.

10.2 Special educational provision

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 to their peers.

10.3 Regulatory concerns

If you have any regulatory concerns that have not been fully addressed by STA in line with the published procedures, you can raise them with the Office of Qualifications and Examinations Regulation (Ofqual). Ofqual regulates qualifications, examinations and assessments in England.

11 Further information

11.1 Useful websites and links

- Primary Assessment Gateway

www.primaryassessmentgateway.education.gov.uk

- Get information about schools

www.get-information-schools.service.gov.uk

Key stage 1 tests

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

- Test administration guidance
- Access arrangements guidance

Teacher assessment

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

- TA frameworks
- Instructions for reporting TA including codes
- Exemplification material
- TA 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
- Guidance on administering the phonics screening check to year 2 pupils

National curriculum tests: practice materials

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

- Past papers and mark schemes
- Scaled score conversion tables

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
- TA guidance

11.2 Additional resources

- Information for parents

www.gov.uk/government/collections/national-curriculum-assessments-information-for-parents

- STA's playlist on YouTube

www.youtube.com/user/educationgovuk

- STA's media site

www.sta-videos.co.uk

11.3 General enquiries

For general enquiries about the assessment and reporting arrangements at KS1, contact the national curriculum assessments helpline on 0300 303 3013 or email assessments@education.gov.uk.



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The 'Assessment and Reporting Arrangements' (ARA) contains provisions made pursuant to Article 9 of [The Education \(National Curriculum\) \(Key Stage 1 Assessment Arrangements\) \(England\) Order 2004](#), as amended. The 2004 Order is made under section 87(3)(c) of the [Education Act 2002](#).

Under section 87(12) of the Education Act 2002, the ARA gives full effect to or otherwise supplements the provisions made in the 2004 Order and as such has effect as if made by the 2004 Order. The ARA provides information and guidance on national curriculum assessments and their administration.

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