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# Statutory assessment arrangements for the school year 2010/11

Key Stages 1, 2 and 3

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## Guidance

Guidance document No: 038/2010

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# Statutory assessment arrangements for the school year 2010/11

Key Stages 1, 2 and 3

<b>Audience</b>	Primary and secondary headteachers of mainstream and special schools, other school managers, assessment coordinators and teachers, governing bodies of maintained schools; local authorities and national bodies with an interest in education.
<b>Overview</b>	This publication sets out the statutory requirements for teacher assessment at the end of Key Stages 1, 2 and 3 for the school year 2010/11.
<b>Action required</b>	Headteachers and governing bodies of maintained schools must ensure that the requirements set out in this publication are understood by their staff and implemented fully, in line with the dates specified.
<b>Further information</b>	Enquiries about this publication should be directed to: Curriculum Division Department for Children, Education, Lifelong Learning and Skills Welsh Assembly Government Cathays Park Cardiff CF10 3NQ Tel: 029 2082 5751 e-mail: <a href="mailto:assessment@wales.gsi.gov.uk">assessment@wales.gsi.gov.uk</a>
<b>Additional copies</b>	This document can be accessed from the Welsh Assembly Government website at <a href="http://www.wales.gov.uk/educationandskills">www.wales.gov.uk/educationandskills</a>

The statutory assessment arrangements are based on The Education (National Curriculum) Assessment Arrangements for English, Welsh, Mathematics and Science (Key Stage 1) (Wales) Order 2002, The National Curriculum (Key Stage 2 Assessment Arrangements) (Wales) Order 2004, The National Curriculum (Key Stage 3 Assessment Arrangements) (Wales) Order 2005 and The Education (Pupil Information) (Wales) Regulations 2004, as amended.

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## Introduction

This publication replaces the 2009/10 versions of the Primary and Key Stage 3 statutory assessment arrangements booklets. It brings together details of the statutory assessment arrangements at Key Stages 1, 2 and 3 in the school year 2010/11.

Headteachers, governors, coordinators and teachers who will be involved in the end of key stage statutory assessment arrangements should familiarise themselves with the key requirements set out in this publication. This will enable school leaders and their staff to ensure that the statutory assessment arrangements are incorporated effectively in their planning for the year.

**Information on National Data Collection and reporting arrangements will be issued separately in the spring term 2011.**

**A summary of the key dates by when teacher assessment should be finalised for reporting and National Data Collection in 2011 can be found in Appendix E.**

Schools that have children at the end of the Foundation Phase, and that have therefore been exempted from the national curriculum, will receive separate guidance outlining the assessment and reporting requirements, in the spring term 2011.

### Update for 2010/11

#### Phasing out of Key Stage 1

The school year 2010/11 is the final year in which learners will be assessed against Key Stage 1 level descriptions (based on Curriculum 2000).

#### Implementation of the Foundation Phase, 2011/12

From the school year 2011/12, all 3 to 7-year-old learners will be assessed against the Foundation Phase assessment arrangements.

#### External moderation and verification

From the school year 2010/11, the Department for Children, Education, Lifelong Learning and Skills (DCELLS) will extend support to schools to cover the following areas.

- External moderation of core subject<sup>1</sup> teacher assessment within Key Stage 2 and 3 cluster groups. (A pilot involving cluster groups from the majority of local authorities will be completed by the end of 2010. The outcomes of this pilot will inform future national arrangements.)

<sup>1</sup> Includes Welsh second language where applicable to clusters.

- External moderation of teacher assessment for religious education at Key Stage 3. (Following a successful pilot in the school year 2009/10, phased national implementation of external moderation will now be rolled out. Further details will be sent to all secondary school headteachers in September 2010. This work will be managed on DCELLS' behalf by WJEC.)
- External verifiers' visits to special schools, Key Stage 3. (Following verifiers' visits to all mainstream schools, pilot work will take place to extend their visits to special schools. The visits will focus on whole-school assessment systems and schools' use of assessment information.)

## **Meeting the statutory requirements for teacher assessment**

Accurate and consistent teacher assessment should be at the heart of each school's policy and practice to ensure a high-quality learning experience and effective assessment for all learners.

All school leaders and individual teachers should see valid and reliable assessment as fundamental to the efficiency and effectiveness of both whole-school systems and best practice in all learning and teaching environments.

The statutory requirements for the moderation of teacher assessment, including external moderation, are designed to support reliable teacher assessment and robust school-based assessment systems.

## **Linked support**

### **School Effectiveness Framework (SEF)**

The SEF aims to make the whole education system (at school, local authority and national level) more effective; thus giving the best possible start to children and young people. All school and local authority assessment policies and systems should align with the Core Themes and Elements set out in the SEF.

The framework is based on collaborative working between schools, local authorities and the Welsh Assembly Government. The arrangements set out within this booklet should support effective learning communities as described within the framework document, *School Effectiveness Framework: Building effective learning communities together*.

## **Better Schools Fund**

The Better Schools Fund programme for 2010–11 has the following priority areas.

### **Priority area 1 – School Effectiveness**

### **Priority area 2 – Implementing the Welsh-medium Education Strategy**

### **Priority area 3 – Inclusion, Safeguarding and Promoting Well-being**

Eligible funding to local authorities under priority area 1 includes:

- measures to support statutory requirements for Key Stage 2 and 3 cluster groups to secure teachers' agreed understanding of national curriculum levels for each of English, Welsh first language, Welsh second language, mathematics and science
- measures which focus on reducing within-school and between-school variation through collaboration, clustering, networking and the development of Professional Learning Communities
- measures to support more effective primary/secondary partnerships (which can include provision of modern foreign languages at Key Stage 2), with improvements for learners at transition, thereby reducing the 'dip' in performance normally associated with transition.

### **Making the most of assessment 7–14**

Provides guidance on achieving alignment between assessment for learning and assessment of learning. It offers general principles to make the most of these different purposes of assessment in order to improve: outcomes for learners (both in attainment and well-being), the effectiveness of individual schools, and the education system as a whole.

## General requirements

### Headteachers<sup>2</sup> duties<sup>3</sup>

Headteachers of maintained primary and secondary schools (mainstream and special schools) have a duty to ensure effective delivery of the national curriculum and the statutory assessment arrangements.

**The following guidance summarises how headteachers are required to comply fully with the statutory assessment requirements.**

### End of key stage teacher assessment

Headteachers must:

#### for Key Stages 1, 2 and 3

- remind teachers of their contractual duty to administer the assessment arrangements
- identify which learners<sup>4</sup> should be assessed at the end of each key stage
- ensure that teacher assessment levels are recorded for each attainment target in all subjects with more than one attainment target
- ensure that overall subject levels are recorded for each subject.

Specifically:

#### for Key Stage 1

- ensure that end of key stage teacher assessment is finalised and recorded for English or Welsh first language, mathematics and science

#### for Key Stage 2

- ensure that end of key stage teacher assessment is finalised and recorded for English, Welsh first language (if the learner has followed the Welsh programme of study) or Welsh second language, mathematics and science

<sup>2</sup> Throughout this publication, where reference is made to the headteacher, the school governing body must ensure that the headteacher's duties are carried out by his or her nominated representative if the headteacher is temporarily or permanently absent.

<sup>3</sup> Headteachers' duties with regard to reporting to parents and National Data Collection are covered in separate guidance, to be issued in the spring term 2011. For further information on National Data Collection and reporting of teacher assessment, please refer to Appendix E.

<sup>4</sup> Throughout this publication, where reference is made to all learners, this refers to those pupils eligible for assessment except those for whom the arrangements have been disapplied.

### for Key Stage 3

- ensure that end of key stage teacher assessment is finalised and recorded for each core and non-core subject (see page 9).

### School-based standardisation and moderation<sup>5</sup>

Headteachers must ensure that for **English, Welsh first language or Welsh second language, mathematics and science (Key Stages 2 and 3), and for all non-core subjects (Key Stage 3 only)**:

- robust systems and procedures are in place to support accurate and consistent teacher assessment. These systems and procedures need to be focused on internal standardisation and moderation
- all teachers understand and apply the concept of best-fit judgements to learners' work, in relation to the national curriculum outcome/level descriptions (see *Making the most of assessment 7–14*).

This should allow teachers, within each subject, to confirm a shared understanding of national curriculum standards, based on an agreed selection of learners' work and supporting teacher commentary that shows the links to the level descriptions.

**Note:** For shared understanding and reliable teacher assessment at Key Stage 1, headteachers will want to also ensure that the same principles are applied.

#### Guidance on implementing this duty

In order to comply with these requirements, headteachers should ensure that teachers within their schools:

- have in place arrangements by which teachers confirm and maintain a shared understanding of national curriculum standards, using samples of their learners' work to generate a reference set of exemplars (standardisation procedures)
- have in place arrangements, using selected learner profiles, so that teachers moderate end of key stage assessments and apply the outcomes from this internal moderation prior to finalising all learners' end of key stage attainment

<sup>5</sup> Standardisation and moderation are defined within the DCELLS publication *Ensuring consistency in teacher assessment: Guidance for Key Stages 2 and 3*, published 2008. **Note:** These requirements may be interpreted with regard to the context of each school's particular circumstances (e.g. some small schools may wish to network with teachers from neighbouring schools in order to bring together a viable group of teachers for school-based standardisation/moderation purposes).



- maintain concise documentary evidence of these systems and procedures, and their annual application, for both internal and external quality assurance purposes
- undertake annual reviews to ensure ongoing added value to existing assessment arrangements and that procedures reflect best practice and direct ownership by all teachers.

### **Key Stage 2 and 3 cluster group moderation (core subjects)**

Headteachers must ensure that for **English, Welsh first language or Welsh second language, mathematics and science**:

- cluster group meetings for Key Stage 2 and 3 transition include robust arrangements for moderation of examples of Year 6 and Year 9 learner profiles selected from within the cluster group's own schools.

These arrangements should add value to school-based standardisation and moderation by strengthening teacher assessment. They should also ensure that good practice within the cluster is identified, shared and built upon, to set an agenda for improvement that reflects local circumstances and needs.

#### **Guidance on implementing this duty**

In order to comply with these requirements, headteachers should ensure that:

- their own school representatives attend all cluster group moderation meetings
- they allow appropriate time for cluster group moderation meetings, and network with other headteachers within the cluster group to coordinate teachers' availability
- their own teachers select learner profiles from their classes as evidence for the cluster group's moderation
- they support their teacher representatives' to share the outcomes of cluster group meetings with other staff
- agreed decisions and outcomes from cluster group meetings are implemented by all relevant staff within their own school, prior to end of key stage teacher assessment.

Practical guidance (including case studies of good practice) on operating cluster group moderation is provided in the DCELLS publication *Ensuring consistency in teacher assessment: Guidance for Key Stages 2 and 3*, sent to schools in spring 2008.

### **External moderation of teacher assessment at Key Stage 3 (non-core subjects)**

All non-core subject departments have been required to provide sample evidence for external moderation and feedback from the moderators. For some departments, further evidence will need to be sent to the external moderators for re-submission in spring 2011. Where this is the case, headteachers will be notified in September 2010 by WJEC (acting on behalf of the Welsh Assembly Government).

## Teacher assessment

### Learners to be assessed

**All learners in their final year of Key Stages 1, 2 and 3 in the school year 2010/11 must be assessed through teacher assessment.**

Headteachers are responsible for reporting results for all learners on their school roll as at the second Tuesday in May; this is known as the 'specified date on roll'. In 2011, the date for this will be **10 May**.

Learners who are moving to the next key stage programmes of study in the following school year are regarded as being in the final year of the relevant key stage. These learners will be recorded in school management information systems (MIS) as being taught in national curriculum year group 2, 6 or 9. It is this, rather than learners' dates of birth, that indicates whether they are eligible for assessment at the end of Key Stages 1, 2 or 3. Care should be taken to ensure that this information is correctly recorded within the school MIS.

Most learners will be 7, 11 or 14 years old at the end of the respective key stage. It is possible that some may be older and some may be taught in a class where the majority of learners are of a different age. For each key stage, learners must be statutorily assessed (i.e. they must receive an end of key stage teacher assessment) once only.

**Individual learners may move from one key stage to the next at a different age to the majority of their peers. However, if a school envisages that there may be exceptional grounds for moving a whole class of learners either early or later from one key stage to the next, this should be raised with the Curriculum Branch (see contact details in Appendix F) in advance of any implementation.**

### Subjects for which assessments are required

Statutory end of Key Stage 2 and 3 teacher assessment for Year 6 and Year 9 learners in summer 2011 must be against the revised school curriculum (Curriculum 2008). Statutory end of Key Stage 1 teacher assessment for Year 2 learners in summer 2011 must be against Curriculum 2000.

Teachers are required to make their statutory teacher assessments, at the end of the key stage, for each eligible learner in the following subjects.

### **Key Stage 1**

English or Welsh (first language)

Mathematics

Science

### **Key Stage 2**

English

Welsh first language (if the learner has followed the Welsh programme of study)<sup>6</sup> or Welsh second language

Mathematics

Science

### **Key Stage 3**

English

Welsh first language (if the learner has followed the Welsh programme of study)<sup>6</sup> or Welsh second language

Mathematics

Science

Modern foreign languages<sup>7</sup>

Design and technology

Information and communication technology

History

Geography

Art and design

Music

Physical education

In order to fulfil statutory requirements, end of key stage teacher assessment must include the following.

- A level **for each attainment target** (for subjects with more than one attainment target).
- An overall subject level for each subject (please see also table opposite and Appendices A, B and C).

<sup>6</sup> Schools are required to assess learners at the end of Key Stages 2 and 3 in either English and Welsh first language or Welsh second language. Learners should be assessed against the relevant programme of study which has been followed, i.e. learners following the Welsh first language programme of study should be assessed in Welsh first language.

<sup>7</sup> In cases where learners are studying more than one modern foreign language at Key Stage 3, schools must decide for each learner which **one** language should count for the purposes of statutory assessment.

### Summary table for calculating end of key stage teacher assessment

National curriculum levels/outcomes	Valid teacher assessment codes	Numerical value
Exceptional Performance	E	9
National Curriculum Level 8	8	8
National Curriculum Level 7	7	7
National Curriculum Level 6	6	6
National Curriculum Level 5	5	5
National Curriculum Level 4	4	4
National Curriculum Level 3	3	3
National Curriculum Level 2	2	2
National Curriculum Level 1	1	1
Working towards Level 1	W (KS1 only)	0
National Curriculum Outcome 3	A (KS2 and KS3 only)	0.75
National Curriculum Outcome 2	B (KS2 and KS3 only)	0.50
National Curriculum Outcome 1	C (KS2 and KS3 only)	0.25
Disappplied under sections 113–116 of the Education Act 2002	D	–
Not awarded a level for reasons other than disapplication	N	–

For subjects with more than one attainment target:

- subject levels/outcomes should be calculated using the numerical values assigned to each of the national curriculum outcome/level descriptions
- subject levels/outcomes should be calculated according to the weightings set out in Appendix A (Key Stage 1), Appendix B (Key Stage 2) or Appendix C (Key Stage 3).

For subject-level calculations of more than 1, halves should be rounded upwards to the next whole number (to award a national curriculum level). School management information systems should perform the calculations once attainment target data have been entered.

For subject-level calculations of less than 1, the number should be rounded to the nearest 0.25 (to award a national curriculum outcome). School management information systems should perform the calculations once attainment target data have been entered.

**Note:** DCELLS is undertaking further pilot work with special schools in order to identify appropriate codes below National Curriculum Outcome 1 to cover teacher assessment for those learners who are following a curriculum programme based on Routes for Learning.

### **Guidance on assessment**

The outcome/level descriptions in the national curriculum Orders describe the type and range of performance that learners working at a particular outcome/level should characteristically demonstrate. In deciding on a learner's outcome/level of attainment at the end of the key stage, teachers should judge which description best fits the learner's performance. Each description should be considered in conjunction with the description for adjacent levels.

The aim is for a rounded judgement that:

- is based on knowledge of how the learner performs across a range of contexts and over a period of time
- takes into account the different strengths and areas for development of that learner's performance
- is checked against adjacent outcome/level descriptions to ensure that the outcome/level awarded is the closest match to the learner's performance in each attainment target or subject, as applicable.

In order to arrive at a rounded judgement of a learner's performance in each attainment target/subject, teachers' judgements should be based on a range of work drawn from:

- practical and oral work
- written work completed in class
- homework
- school-based assessments.

Teacher assessment should be based on existing evidence of attainment and not on the basis of any projections of learners' future performance.

Teacher assessment should be based securely on the standards set out in the outcome/level descriptions. This understanding should be achieved through standardisation of examples of learners' work, and moderation of selected learner profiles, which reflect the range of attainment within the school/cluster group.

Guidance on best-fit judgements are provided in *Making the most of assessment 7–14*.

### **Recording and retaining evidence**

The type and range of record keeping to assist with teacher assessment is a matter for schools to decide. Elaborate arrangements for recording assessments and retaining evidence are neither required for national curriculum assessment purposes nor necessary to satisfy Estyn inspections.

Guidance on the keeping, disposal, disclosure and transfer of a pupil's educational record can be found in the National Assembly for Wales Circular 18/2006 *Educational Records, School Reports and the Common Transfer System – the keeping, disposal, disclosure and transfer of pupil information*.

Guidance on effective record keeping and a range of examples of recording formats can be found in the booklet *Making Effective Use of Assessment Information: Recording Key Stages 1–3* (ACCAC, 2000). This was re-issued to schools in 2005.

When keeping records, schools should consider the implications of the Data Protection Act 1998. Personal and medical information should also be handled sensitively.

## **Support materials**

The following publications have been issued to support teacher assessment against Curriculum 2008.

*English: Guidance for Key Stages 2 and 3*

*Welsh: Guidance for Key Stages 2 and 3 (Welsh only)*

*Welsh second language: Guidance for Key Stages 2 and 3*

*Science: Guidance for Key Stages 2 and 3*

*Mathematics: Guidance for Key Stages 2 and 3*

*Art and design: Guidance for Key Stages 2 and 3*

*Design and technology: Guidance for Key Stages 2 and 3*

*Geography: Guidance for Key Stages 2 and 3*

*Information and communication technology: Guidance for Key Stages 2 and 3*

*Modern foreign languages: Guidance for Key Stages 2 and 3*

*Physical education: Guidance for Key Stages 2 and 3*

*Supporting learners' higher-order literacy skills (Key Stage 3 into Key Stage 4, English and Welsh)*

*Developing higher-order literacy skills across the curriculum (Key Stage 3 into Key Stage 4, English and Welsh)*

*Guidance on the teaching of higher-order reading skills: INSET opportunities for teachers of all subjects across the curriculum at Key Stages 2 and 3*

*Guidance on the teaching of writing skills: INSET opportunities for teachers of all subjects across the curriculum at Key Stages 2 and 3*

*Developing higher-order scientific enquiry skills (Key Stage 3 into Key Stage 4)*



## Transition from Key Stage 2 to Key Stage 3

Teachers in both Key Stage 2 and Key Stage 3 schools need to agree the most appropriate time for transfer of assessment information. In general, for teacher assessment this should be before the end of the term preceding transfer.

Liaison between Year 6 and Year 7 teachers, and target setting between learners and teachers at the start of Year 7, are likely to assist continuity between the two key stages.

### **Transition plans: Legal background**

As a result of section 198 of the Education Act 2002 and the Transition from Primary to Secondary School (Wales) Regulations 2006, maintained secondary schools and their partner primary schools are required to jointly draw up plans to facilitate learners' transition from primary to secondary school. Plans must set out how the secondary schools and their associated primary schools will work together to achieve consistency in assessment, monitoring and tracking of learners' progress.

Guidance for schools was published in National Assembly for Wales Circular 30/2006 *Guidance on the preparation of Key Stage 2 to Key Stage 3 Transition Plans* and distributed to all maintained schools in Wales, local authorities and other interested organisations.

As part of the Aiming for Excellence programme for raising standards in Key Stage 3, a range of publications was produced in 2004 (see page 16). These provide advice and guidance for schools and local authorities to support effective transition from Key Stage 2 to Key Stage 3 and to achieve continuity in learning and teaching at the time of transition.

During 2007/08, the Welsh Assembly Government commissioned Estyn to undertake an evaluation of the use of transition plans by primary and secondary school partnerships to improve the quality of learning and standards. Their report *The impact of transition plans: An evaluation of the use of transition plans by primary-secondary school partnerships to improve the quality of learning and standards* was published on the Estyn website in June 2008.

Subsequently, Estyn was commissioned to produce a follow-up report on the impact of Key Stages 2 to 3 transition plans in promoting continuity and progression in learning. Estyn's report *Transition plans and grant: An evaluation of the impact of transition plans and grant on primary and secondary school partnerships at key stage 2 and key stage 3* was published on the Estyn website in March 2010.

### **Support materials**

*Aiming for Excellence in Key Stage 3: Transition from Key Stage 2 to Key Stage 3*

(BBC Wales/Estyn/Welsh Assembly Government/ACCAC, 2004)

(a series of two videos and accompanying booklet available from BBC Wales)

*Aiming for Excellence in Key Stage 3: Moving On . . . Improving Learning, Effective Transition from Key Stage 2 to Key Stage 3*

(Estyn/Welsh Assembly Government/ACCAC, 2004)

*A Survey of Welsh as a Second Language in Key Stages 2 and 3 and Transition*

(Estyn, 2004)

*Aiming for Excellence in Key Stage 3: Bridging the Gap . . . Developing and using bridging units to support effective transition from Key Stage 2 to Key Stage 3*

(Estyn/Welsh Assembly Government/ACCAC, 2004)

## Appendix A

### Calculating teacher assessment subject levels: Key Stage 1 (Curriculum 2000)

When calculating the subject level:

- the **English** attainment targets should be weighted equally as follows:
  - Oracy (En1) 1
  - Reading (En2) 1
  - Writing (En3) 1
- the **Welsh** attainment targets should be weighted as follows:
  - Oracy (Cy1) 2
  - Reading (Cy2) 1
  - Writing (Cy3) 1
- the **mathematics** attainment targets should be weighted as follows:
  - Using and Applying Mathematics (Ma1) 1
  - Number and Algebra (Ma2) 2
  - Shape, Space and Measures (Ma3) 1
- the **science** attainment targets should be weighted as follows:
  - Scientific Enquiry (Sc1) 3
  - Life Processes and Living Things (Sc2) 1
  - Materials and their Properties (Sc3) 1
  - Physical Processes (Sc4) 1

Halves should be rounded upwards to the next whole number. School management information systems should perform the calculations once attainment target data has been entered.

#### An example for Welsh

To calculate the subject level for this learner, total column (c) then divide by the total of column (b) ( $7 \div 4 = 1.75$ ). Round to the nearest whole number. This learner has attained Level 2.

Attainment target	(a) Level	(b) Weighting	(c) Level x Weighting
Oracy (Cy1)	2	2	4
Reading (Cy2)	1	1	1
Writing (Cy3)	2	1	2
<b>Total</b>		<b>4</b>	<b>7</b>

### An example for mathematics

To calculate the subject level for this learner, total column (c) then divide by the total of column (b) ( $10 \div 4 = 2.5$ ). Round to the nearest whole number. This learner has attained Level 3.

Attainment target	(a) Level	(b) Weighting	(c) Level x Weighting
Using and Applying Mathematics (Ma1)	2	1	2
Number and Algebra (Ma2)	3	2	6
Shape, Space, and Measures (Ma3)	2	1	2
<b>Total</b>		<b>4</b>	<b>10</b>

### An example for science

To calculate the subject level for this learner, total column (c) then divide by the total of column (b) ( $4 \div 3 = 1.3$ ). Round to the nearest whole number. This learner has attained Level 1.

Attainment target	(a) Level	(b) Weighting	(c) Level x Weighting
Scientific Enquiry (Sc1)	D	–	0
Life Processes and Living Things (Sc2)	W	1	0
Materials and their Properties (Sc3)	2	1	2
Physical Processes (Sc4)	2	1	2
<b>Total</b>		<b>3</b>	<b>4</b>

## Appendix B

### Calculating teacher assessment subject levels: Key Stage 2 (Curriculum 2008)

When calculating the subject level:

- the **English** attainment targets should be weighted equally as follows:
  - Oracy (En1) 1
  - Reading (En2) 1
  - Writing (En3) 1
- the **Welsh** attainment targets should be weighted as follows:
  - Oracy (Cy1) 4
  - Reading (Cy2) 3
  - Writing (Cy3) 3
- the **Welsh second language** attainment targets should be weighted as follows:
  - Oracy (Ca1) 7
  - Reading (Ca2) 1.5
  - Writing (Ca3) 1.5

For subject-level calculations of less than 1, the number should be rounded to the nearest 0.25 (to award a national curriculum outcome). For subject-level calculations of more than 1, halves should be rounded upwards to the next whole number (to award a national curriculum level).

#### An example for Welsh second language

To calculate the subject level for this learner, total column (c) then divide by the total of column (b) ( $44 \div 10 = 4.4$ ). Round to the nearest whole number. This learner has attained Level 4.

Attainment target	(a) Level	(b) Weighting	(c) Level x Weighting
Oracy (Ca1)	5	7	35
Reading (Ca2)	3	1.5	4.5
Writing (Ca3)	3	1.5	4.5
<b>Total</b>		<b>10</b>	<b>44</b>

## Appendix C

### Calculating teacher assessment subject levels: Key Stage 3 (Curriculum 2008)

When calculating the subject level:

- the **English** attainment targets should be weighted equally as follows:
  - Oracy (En1) 1
  - Reading (En2) 1
  - Writing (En3) 1
- the **Welsh** attainment targets should be weighted as follows:
  - Oracy (Cy1) 4
  - Reading (Cy2) 3
  - Writing (Cy3) 3
- the **Welsh second language** attainment targets should be weighted as follows:
  - Oracy (Ca1) 3
  - Reading (Ca2) 1
  - Writing (Ca3) 1
- the **modern foreign language** attainment targets should be weighted as follows:
  - Oracy (M11) 2
  - Reading (M12) 1
  - Writing (M13) 1

For subject-level calculations of less than 1, the number should be rounded to the nearest 0.25 (to award a national curriculum outcome). For subject-level calculations of more than 1, halves should be rounded upwards to the next whole number (to award a national curriculum level).

#### An example for Welsh

To calculate the subject level for this learner, total column (c) then divide by the total of column (b) ( $47 \div 10 = 4.7$ ). Round to the nearest whole number. This learner has attained Level 5.

Attainment target	(a) Level	(b) Weighting	(c) Level x Weighting
Oracy (Cy1)	5	4	20
Reading (Cy2)	5	3	15
Writing (Cy3)	4	3	12
<b>Total</b>		<b>10</b>	<b>47</b>

## Appendix D

### Disapplication and modification

Only in very rare circumstances will there be a need to disapply national curriculum teacher assessment for a learner. For subjects with more than one attainment target where a single attainment target has been disapplied, an overall subject level may still be calculated using the remaining attainment targets and their weighting as set out in Appendices A, B and C. A subject level should not be awarded where more than one attainment target has been disapplied. In this case, the overall subject level will be reported as disapplied.

Where it is necessary to disapply teacher assessment for a pupil, this may be done through:

- **section 113** of the Education Act 2002, which specifies that some or all of the national curriculum may be modified or disapplied **by a pupil's statement of special educational needs**
- **sections 113–116** of the Education Act 2002, which specifies that some or all of the national curriculum may be **temporarily disapplied** for a pupil if, for the time being, it is inappropriate to offer the national curriculum as it currently applies to him/her.

### Temporary disapplication

Temporary disapplications are made in accordance with the Education (National Curriculum) (Temporary Exceptions for Individual Pupils) (Wales) Regulations 1999. A temporary disapplication is a direction from a headteacher of a maintained school in respect of a registered pupil at the school that the requirements of the national curriculum should be disapplied or modified in some way. They are not intended to provide long-term exemptions from the national curriculum provisions and are likely to be needed in rare circumstances only. A direction cannot be given if the circumstances that led to that direction are likely to change within six months, or if the circumstances indicate a need for the pupil to be assessed under section 323 of the Education Act 1996 with a view to making or amending a statement of special educational needs.

It is expected that headteachers will use their powers of direction sensitively and sparingly. All pupils should have the opportunity of benefiting from the national curriculum, the framework of which provides wide scope for teachers to deal with the full range of individual pupils' needs without the need for exceptional arrangements. A temporary disapplication should be considered only when it is clear that a pupil's present circumstances or conduct mean that he/she cannot participate fully in the national curriculum and its assessment arrangements.

There are two types of temporary disapplication that headteachers can make under sections 113–116 of the Education Act 2002.

1. A **general direction** for pupils without, or not needing a statement, but for whom temporary disapplication is nonetheless needed.

Examples follow where general directions could be needed to allow exemption from aspects of the national curriculum. This list is not intended to be exhaustive, nor should it be assumed that all such cases as those listed below will need temporary exemptions. It is only in rare circumstances that a temporary exemption should be considered. Such circumstances include:

- pupils who arrive from such a different educational system that they require a period of adjustment to the national curriculum
- pupils who have had spells in hospital, been educated at home or been excluded from school and need time to adjust
- pupils who temporarily have severe emotional problems (perhaps because of a family crisis) and need access arrangements.

2. A **special direction** for pupils who, in the opinion of the headteacher, have a long-term need for exemptions or modifications to the national curriculum, which can only be made through a statement of special educational needs, and for whom temporary exemption is necessary while the process of assessment or reassessment takes place.



If, in the opinion of a headteacher, a pupil has (or probably has) special educational needs which are such that the local authority would be required to determine the special educational provision that should be made for him/her, whether initially or on review of an existing statement, it might be appropriate to give a special direction.

These requirements apply also to directions that started as general directions but have been varied for the purposes of special educational needs assessment. Local authorities are responsible for the assessment of pupils in their area who need, or may need, special educational provision to be determined by the local authority to meet their needs.

### **Procedures for giving directions**

Before giving a direction, the headteacher must:

- discuss the pupil's circumstances and needs with his or her parents<sup>8</sup> and teachers
- consult with educational psychologists, medical officers or other specialist staff
- in the case of a special direction, consult the local authority, and the responsible authority (if different). The responsible authority is the body responsible for maintaining the statement of special educational needs.

### **Form and content of the direction**

The direction must be in writing and give brief particulars of:

- the provisions of the national curriculum being modified or disapplied
- the operative date of the direction, and if that is less than one month after the date on which the direction is given the reasons for that
- the operative period of the direction
- the action that is being taken and the reasons for it
- why exceptional arrangements are necessary insofar as it differs from what would otherwise be provided

<sup>8</sup> Throughout this publication, where reference is made to the terms 'parent' and 'parents', this also includes others with parental responsibility.

- (in the case of a general direction) the manner in which the headteacher will secure full implementation of the curriculum for the pupil at the end of the operative period
- (in the case of a special direction) why, in the headteacher's opinion (giving the reasons for that opinion), the pupil probably has special educational needs for which the responsible authority would be obliged to make special education provision.

In addition, it is recommended that a **general direction** should:

- include the reasons why the pupil's present circumstances make it inappropriate to continue offering the national curriculum provisions that currently apply to him/her
- indicate how these circumstances seem likely to be changed over the period of the direction
- indicate how the pupil will be enabled to adjust to those national curriculum requirements that have been modified or lifted during the direction
- advise the parent of the right of appeal to the governing body.

In addition, a **special direction** must:

- have been the subject of consultation with the local authority
- include the reasons why, in the opinion of the headteacher, the pupil has, or probably has, special educational needs requiring an assessment of or amendments to an existing statement by the responsible authority.

It is recommended that a special direction should refer to any procedures the school has used to analyse and monitor the pupil's needs and difficulties and any action taken to address them, including any special support offered.

Headteachers need not describe at the outset plans for reapplying the national curriculum to the pupil in the event of a statement not being made or amended.

## Variation and revocation of directions

A headteacher may vary any direction that he/she has given, except so as to extend its operative period, if he/she considers the provision no longer appropriate for that pupil.

Where a headteacher considers a variation to a direction appropriate, he/she should (by a notice in writing) set out:

- those provisions of the direction which are to be varied
- brief particulars of the variations to be made and the reasons for them.

A variation to a direction shall not come into force until at least one month after the date on which notice of variation is given, unless the headteacher is satisfied that it is essential and in the interests of the pupil, or for other educational reasons for it to be brought into force earlier.

Where a headteacher considers that a direction given by him/her is no longer appropriate for the pupil, he/she should (by a notice in writing) give brief particulars of:

- the reasons for the revocation
- the date on which the revocation is to take effect
- a description of the manner in which he/she proposes to secure the full implementation, in relation to the pupil, of the provisions of the national curriculum after the direction has ceased to have effect (unless those particulars are unchanged from those contained in the initial direction, if any, except in their timing).

## Duration of the direction

Any direction must specify when the exceptional arrangements (i.e. how long the direction will last for) will start and end, or the factors that will determine their ending.

The direction may not specify a date for it coming into force of less than one month from the date on which it is given, unless the headteacher is satisfied that it is essential and in the interests of the pupil, or for other educational reasons that the direction should come into force earlier.

The maximum period that a direction may apply for is detailed as follows.

In the case of a general direction:

- a fixed period not exceeding six months, or
- a period determinable when the headteacher is satisfied that the circumstances that gave rise to it no longer apply.

In the case of a special direction:

- a period when a statement of special educational needs is made or when modified, or
- a period ending not later than one month after the responsible authority gave notice to the headteacher that they do not intend to make or modify a statement of special educational needs for the pupil.

Any direction will cease to have effect if a pupil is removed from the register of a school. It is for the headteacher of any school to which such a pupil transfers to judge the pupil's needs and make provisions accordingly.

## **Information to be provided about directions**

The following information must be provided about directions.

- Headteachers must give a direction in writing stating whether the direction is general or special. This should indicate the nature of the alternative provision being made for the pupil and how long the disapplication will last, up to a maximum of six months.
- A copy must be kept at the school with the pupil's educational records.
- Copies must be sent as soon as a direction is given, and in any event within three school days, to the chair of the governing body, the local authority (and the relevant authority if different from the authority which maintains the school) and at least one of the pupil's parents as registered by the school.
- Copies must be sent by first-class post and the parents' copies must be sent to their registered address.
- Parents must be informed of their right of appeal.

Where headteachers have reason to believe that a parent may have difficulty in understanding the direction, they must offer appropriate assistance, for example, by providing an interpretation or translation of the documents, or arranging to discuss them with the parents.

### **Procedure for parental requests and appeals**

Parents may ask the headteacher to give a direction temporarily exempting their child from the national curriculum. Such requests may be made orally or in writing and should include the reasons for it. The headteacher need not consider such a request more than once in each operative period for that direction, and the operative period of any further direction. In considering potential requests for a direction, the following procedures need to be followed.

- Headteachers should discuss requests with parents and seek to resolve any difficulties without resorting to formal procedures. Should this fail, parents may make a formal request either in writing or orally to the headteacher. They must give reasons for it.
- Headteachers must respond to requests within a fortnight. If they accept the request, they must send copies of the direction to the parents, the governing body and, where appropriate, the local authority.
- If the headteacher decides not to meet the request, he/she must write to the parents giving reasons for rejecting it and giving details of their right of appeal. Copies must be sent to the governing body and, in the case of a maintained school, the local authority (and the responsible authority if different).
- Where a parent may have difficulty in understanding the letter, because of difficulty with reading or with understanding the language, the headteacher should make appropriate arrangements to explain it or arrange for a translation to be made where necessary.
- If the headteacher does not respond within a fortnight, or refuses the request, the parents have the right of appeal to the governing body.
- Governing bodies are expected to hear appeals with all due speed, to allow representations from parents, accompanied by a friend if they wish, as well as the headteacher, and to allow specialist staff to attend if necessary.

- The governing body may either confirm the headteacher's action or direct him/her to take any other action it considers appropriate. The governing body must notify the parents and headteacher in writing of its decision.
- If parents remain dissatisfied, they may make a complaint. In the case of maintained schools, this should be made under arrangements agreed by the local authority.

## Appendix E

### National Data Collection 2011: Key dates

Key dates for the school year 2010/11	
By 29 April 2011	Schools to receive guidance on National Data Collection and reporting arrangements from the Welsh Assembly Government
10 May 2011	Date on roll
11 May 2011	The Data Exchange Wales initiative (DEWi) available for upload of completed NDC files
By 17 June 2011	All teacher assessments to be available on DEWi for the Welsh Assembly Government to download (note that to meet this deadline, a local authority may set an earlier date to facilitate local validation)
24 June 2011	Individual schools notified of provisional results for core and non-core subjects (KS3 only) at school summary level
By 8 July 2011	Final deadline for submission of amended files following validation
8 July 2011	Foundation Phase Pilot and Early Start schools with eligible children submit end of Foundation Phase assessment spreadsheet to DEWi
By the end of summer term 2011	School reports to parents
By end of August 2011	National and local authority results published. Data passed to Estyn to inform inspections in the 2011/12 academic year
By end of August 2011	School comparative report including benchmarking available for schools to download from DEWi

(Schools should upload and validate their completed file as soon as it is ready rather than waiting until the deadline – this will help local authorities and the Welsh Assembly Government to process files and resolve queries earlier.)

## Appendix F

### Useful contacts

<b>Department for Children, Education, Lifelong Learning and Skills (DCELLS)</b>		
<b>For queries on assessment</b>	Assessment Branch	029 2082 5751 assessment@wales.gsi.gov.uk
<b>For queries on the school curriculum</b>	Curriculum Branch	curriculum@wales.gsi.gov.uk
<b>For queries on Foundation Phase</b>	Foundation Phase Branch	029 2082 6075 029 2082 6528 foundationphaseinfo@wales.gsi.gov.uk
<b>For queries on Key Stage 2/3 transition</b>	Curriculum Support Branch	029 2082 3056
<b>For queries on Better Schools Fund grant payments for maintained schools</b>	School and Local Authority Effectiveness Branch	029 2082 6006
<b>For queries on National Data Collection and reporting of teacher assessment</b>	School Information and Improvement Branch	NDC@wales.gsi.gov.uk
<b>For queries about additional learning needs</b>	Support for Learners Division	029 2082 6078
<b>For queries on INSET days</b>	Learning, Improvement and Professional Development Division	practicereviewanddevelopment@wales.gsi.gov.uk
<b>For queries about Professional Standards, Performance Management and Continuous Professional Development</b>	Learning, Improvement and Professional Development Division	practicereviewanddevelopment@wales.gsi.gov.uk
<b>For queries about the implementation of the School Effectiveness Framework</b>	SEF Branch	029 2082 6003 SEF@wales.gsi.gov.uk
<b>Welsh Assembly Government</b>		
<b>For data and validation queries</b>	Statistical Directorate	029 2082 5968 NDC@wales.gsi.gov.uk

Statutory assessment arrangements for the school year 2010/11  
Key Stages 1, 2 and 3  
September 2010  
Guidance document  
No: 038/2010