1.   **Schedule 4 Structure**

This Schedule 4 includes the following parts:

- ☐ **Part 1:** Statement of Requirements

- ☐ **Part 2:** Dependencies

- ☐ **Part 3:** Product Description Template

- ☐ **Part 4:** Product Breakdown Structure as described in PRINCE2

2.   **STA Approvals and Comments**

2.1   **Comments Process**

Where a reference is made in the Agreement is to the "**Comments Process**" the Parties shall follow the following process:

2.1.1   The Supplier shall ensure that it provides STA with an opportunity to review specified documents or proposals, in accordance with the following procedure (the "**Comments Process**"):

(i)   the Supplier shall submit the specified documents or proposals required under this Agreement (each a "**Proposal**") to STA in time for this Comments Process to be completed prior to any relevant Milestone Dates or other deadlines;

(ii)   if the Supplier has received comments from STA on, or STA has requested amendments to, the Proposal (such comments and amendments together being known as "**STA Comments**") within 5 Business Days of STA's receipt of the Proposal, then the Supplier shall promptly and in any event within 3 Business Days of receipt of the STA Comments:

(a)   incorporate any STA Comments into the Proposal; and

(b)   in respect of any STA Comments not so incorporated, provide STA with reasons as to why those STA Comments were not incorporated into the Proposal (such reasons to be set out in a Quality Review Form); and

(iii)   notwithstanding anything to the contrary in this Agreement, STA shall be entitled to provide the STA Comments by email.

2.2   **Approvals Process**

Where a reference is made in this Schedule 4 (including any Product Description) to the "Approvals Process" the Parties shall follow the Approval Process set out in Clause 7.3.1 (Approval Process) of this Agreement.

3.   **Glossary**

Capitalized terms and expressions in the Statement of Requirements at Part 1 of this Schedule 4 shall have the meanings attributed to them in the Glossary at Appendix 2 to the Statement of Requirements, where not defined in Clause 1.1 (Definitions) of this Agreement.

This document details the Statement of Requirements and includes three appendices:

Appendix 1 - School types and their participation status in National Curriculum Tests and Assessments.

Appendix 2 - Glossary of Terms

Appendix 3 – IT Health Check Guidance

Goal 1: Set-Up and Mobilisation of Operational Delivery

The Supplier must have implemented a complete Operational Delivery Infrastructure and demonstrated readiness for delivery against all requirements no later than 2359 hours on 31 August 2019

1. **Aims and Objectives**

1.1 The Supplier shall perform all obligations under this Goal 1 in accordance with the Set-Up PID.

1.2 The Supplier shall

   1.2.1 prepare and present an Operational Delivery Infrastructure to STA no later than 2359 hours on 31 August 2019;

   1.2.2 provide STA with progress reports at an appropriate level of detail and frequency in order that STA is reassured that Set-Up is progressing as agreed, in a controlled manner, enabling any potential slippage to be detected at the earliest opportunity in order to maintain the critical path;

   1.2.3 establish effective working relationships with STA through its Operational Delivery teams that foster and maintains an open and collaborative approach;

1.3 implement knowledge management and knowledge transfer processes to ensure smooth handover from Set-Up to Operational Delivery; and

1.4 provide STA with assurance that the solution developed during Set-Up can support year 1 volumes and, in each and every subsequent year of the Agreement can be scaled up as necessary to meet changing volumes for each subsequent Test Cycle.

2. **Business Rules**

2.1 The Operational Delivery Infrastructure to be prepared by the Supplier during Set-up will be as set out in the Supplier's Solution.

2.2 The Exit Management Plan and Exit Information Document as they relate to Set-Up are those as set out in the Supplier's Solution.

2.3 Set-Up must be completed by the Supplier utilising recognised structured controls for managing projects (including PRINCE 2), risks, systems and systems development. These will as set out in the Supplier's Solution.

2.4 The Supplier shall have in place from the Effective Date sufficient experienced and accredited project and risk managers (as set out in the Supplier's Solution) to manage and control Set-Up.

2.5 In order to satisfy the condition in Clause 4.1 of this Agreement that the Supplier shall complete Set –Up by 2359 hours on 31 August 2019, the Supplier must have:

   2.5.1 implemented a complete Operational Delivery Infrastructure in accordance with the Set-Up PID, and any testing strategy and plan as set out in the Supplier's Solution. Testing must have demonstrated that the Operational Delivery Infrastructure is capable of marking onscreen all identified test instruments against the volumetrics on which the Supplier's Solution is based (as the same may be varied by agreement with STA);

   2.5.2 successfully completed the testing of systems which will be used to support the delivery of the Services in accordance with the Cabinet Office Security Policy Framework. Such

systems shall include those used for onscreen marking and (in relation to Systems) Clause 25 (System) shall have been complied with and the testing shall include an end to end test to demonstrate that the required data outputs are produced by such systems intended for use in the delivery of Services;

2.5.3   placed in escrow with STA's chosen escrow provider, a copy of any software and documentation which will be used in the delivery of Services in accordance with Clause 30.1 (Escrow and Holding),provided that the items placed in escrow must have been verified by STA's chosen escrow provider;

2.5.4   in compliance with the Cabinet Office Security Policy achieved full accreditation of Operational Delivery Infrastructure; and have all appropriate security management documentation in place;

2.5.5   obtained STA Approval for the updated Operational Delivery PID (which shall include the Operational Delivery Plan and associated Product Descriptions);

2.5.6   obtained STA Approval for the strategy and plan for knowledge management and knowledge transfer for the transition to Operational Delivery and to be applied in the event of any subsequent change in the Supplier's personnel;

2.5.7   developed and obtained STA Approval for the suite of Management Information to be used to monitor and report on the progress of Operational Delivery;

2.5.8   obtained STA Approval for a fully tested Business Continuity Plan or plans;

2.5.9   (without prejudice to the provisions of Clause 40.1 (Exit Management Plan and Exit Information)) obtained STA Approval for an updated Exit Management Plan and Exit Information Document for Operational Delivery. These documents must cover Services provided by the Supplier and its Subcontractors or other delivery partners;

2.5.10 obtained STA Approval for a production and logistics strategy and production and logistics plan for the manufacture, collation and delivery of all National Curriculum Assessments Materials by the required delivery dates for each Test;

2.5.11 obtained STA Approval for a strategy and structure for the Marker Capacity Model to be deployed for each Test Cycle;

2.5.12 obtained STA Approval for the Marker Retention and Recruitment Strategy;

2.5.13 obtained STA Approval for a complete and coherent communications strategy. This must include a quality assurance regime including customer satisfaction and feedback surveys targeted at Schools, Local Authorities and Markers, ensuring that:

•   customer service meets industry best practice

•   enquires and complaints are responded to accurately and within specified timescales

•   lessons can be learned to inform continuous improvements in the instructions, advice and guidance provided leading to a reduction in the number of enquiries and complaints received;

2.5.14 recruited all personnel required for the purpose of Operational Delivery and provided up-to-date CVs to STA in respect of Key Personnel including senior Markers;

2.5.15 placed in escrow with STA's chosen escrow provider, the Supplier Agreements as required by Clause 30.1 (Escrow and Holding);

2.5.16 successfully completed development and testing pursuant to Clause 25 (System) of its Onscreen Marking Solution to demonstrate to STA that it is capable of processing planned future volumes across the full suite of assessments using its Onscreen Marking Solution which must:

2.5.16.1   include functionality for the Supplier and identified individuals (e.g. supervising Markers) to send messages to Markers (as individuals or in specified groups), including making the messages mandatory for Markers to read. It must also include the facility for Markers to respond to messages;

2.5.16.2   enable Markers and Supervising Markers to highlight responses and whole papers which require the attention of identified individuals e.g. suspected cases of Maladministration;

2.5.16.3   allow Markers to mark from any UK location;

2.5.16.4   not limit the format or construction of the National Curriculum Assessments it is used to mark;

2.5.16.5   not limit the quality assurance procedures that can be applied to marking, or the parameters that can be applied to them;

2.5.16.6   not allow the Marker to input a mark which exceeds the maximum marks available for an Item;

2.5.16.7   not limit the number of times an Item can be re-distributed for marking;

2.5.16.8   cleanse all marks from a Stopped Marker for an item and re-distribute the items to be re-marked;

2.5.16.9   ensure that the identity of the Pupil and School to which a Test Script relates is not made available to a Marker marking onscreen and that Test Scripts are anonymised;

2.5.16.10   ensure that Markers can only access marking for the Items to which they have been allocated to mark, and for which they have successfully passed both Standardisation and all required On-going Marking Quality Assurance checks;

2.5.16.11   ensure that Supervising Markers can only access data for Markers in their supervision line in the Marking Hierarchy;

2.5.16.12   enable Markers not only to view a focused/zoned-in image of an Item Response on the page of a Test Paper, but also to view the entire Test Paper page (e.g. outside the allocated question area) to ensure all creditworthy responses from a Pupil are marked;

2.5.16.13   be configurable for each Test Cycle to allow for changes in variable characteristics including):

- Test or Mark Scheme structure

- Ongoing Marker Quality Assurance tolerances

- the Marking Hierarchy, structure and the number of Markers

- Marking Allocations and the number of Test Scripts to be marked;

2.5.16.14   allow the distribution and re-distribution of Item responses for marking to Markers to be controlled at both group and individual Marker level, and in accordance with business rules agreed with STA;

2.5.16.15   capture and provide a full audit trail in relation to the Allocation, Re-Allocation and Marking of each Item Response and Marking Quality Assurance Item;

2.5.16.16   provide Management Information reports to Supervising Markers, which facilitate management of their teams (e.g. tracking markers' progress, providing outcomes of quality assurance checks);

2.5.16.17   enable agreed volumes of Test Script images and mark data from Valid Markers, ensuring this is Accurate Item Level Data, to be supplied to STA at specified points;

2.5.16.18   enable the training of Markers (on the Mark Scheme and the use of the OSM solution itself);

2.5.16.19   allow Markers to complete practice onscreen, prior to Onscreen Standardisation and controls Markers' access to each quality assurance stage and to Item Responses to mark;

2.5.16.20 allow Item Responses to be marked by multiple Markers, with adjudication between each set of marks by a Supervising Marker, when discrepancies arise;

2.5.16.21 allow for the capture of Item codes as well as marks;

2.5.16.22 ensure Item Level Data Quality Assurance data from all Markers, is captured and supplied to STA at specified points;

2.5.16.23 include the functionality to manually stop a marker from continuing to mark;

2.5.16.24 allow for the input of a code (to be determined by STA) against each Pupil Record to show the Pupil's status;

2.5.17 implemented documented security management procedures which comply with the requirements listed in the Cabinet Office Security Policy (SPF) and HMG guidance on Risk Management at OFFICIAL to be found at (https://www.gov.uk/government/collections/securing-technology-at-official) and which shall be maintained by the Supplier throughout the Term. An appropriate risk management methodology must be used to assess the risk and the approach to be taken. Details of acceptable methodologies can be obtained via https://www.cesg.gov.uk/guidance/critical-appraisal-risk-methods-and-frameworks

2.5.18 gained (and procured that all subcontractors, third parties and supply chains that the Supplier deals with have gained) the following BIS Cyber Essentials scheme certifications within the timescales below and as outlined within HMG Procurement Policy Note 09/14;

(ii) A Stage 1 Cyber Essentials (CE) certification within 2 months of the Effective Date.

(iii) A Stage 2 Cyber Essentials PLUS (CE+) certification within 6 months of the Effective Date.

(save that persons who conform to a recognised equivalent standard i.e. ISO27001 or commits to use Cabinet Office Supplier Assurance Framework Good Practice Guide v2.0 are exempt from this requirement);

2.5.19 appointed a security manager (who shall be one of the Key Personnel) who must have ultimate responsibility and authority for all aspects of information governance and security management relating to the Supplier and any Subcontractor's delivery of the Service, including:

2.5.19.1 the specification and implementation of appropriate security policies and standards, specific to the Service being delivered, that comply with the current HMG Policy Framework (SPF) and the principles of ISO/IEC 27001 or an equivalent standard depending on the approach taken to information risk management;

2.5.19.2 monitoring compliance with the security policies defined above in the delivery of the Service;

2.5.19.3 notifying STA of any security breaches;

2.5.19.4 providing STA with regular Management Information reports, in relation to (but not limited to) details of missing packages, Missing Test Scripts, courier exception reports and other security related incident reports;

2.5.19.5 reviewing and updating the risk log with security related risks;

2.5.19.6 monitoring the security performance of any appointed Subcontractor(s) and ensuring their service delivery complies with the HMG Policy Framework;

2.5.19.7 undertaking investigations relating to security incidents in accordance with Industry Practice as described in ITIL v3.0. and in accordance with ISO 23301or equivalent;

2.5.20 obtained STA Approval for an updated version of the security management plan (SMP) set out in the Supplier's Solution. (which update shall continue to be based on, and compliant with, the principles of ISO/IEC 27001, incorporating detailed security policies,

standards and controls and shall cover all aspects of Set-up and Operational Delivery, including physical security, infrastructure, platforms, applications, services and interfaces;

2.5.21   obtained STA Approval for the Supplier's security policy, which shall document the policy and procedures for:

      2.5.21.1   securing, controlling and monitoring access to buildings and data;

      2.5.21.2   control of photographic and copying equipment, and banning such equipment from areas where National Curriculum Assessment Materials and/or Test Scripts are held;

      2.5.21.3   control and encryption of sensitive electronic data on all devices, including memory sticks;

      2.5.21.4   ensuring no secure material is left unattended, including within the Supplier's premises (except when in secure storage);

      2.5.21.5   suitable and secure storage of all hard copy sensitive material;

      2.5.21.6   ensuring responsibilities and duties of all Personnel with regard to security are defined, and communicated to Personnel;

      2.5.21.7   certified disposal of all waste material, printing plates and data that is no longer needed;

      2.5.21.8   security checks on people with access to sensitive data and materials;

      2.5.21.9   control of the transfer of sensitive material outside the organisation, with appropriate authorisation and signature;

      2.5.21.10   communicating with and management of Subcontractors with regards to security;

      2.5.21.11   regular review and testing of the security policy and procedures;

      2.5.21.12   maintaining records of security audits and breaches of security;

2.5.22   if and to the extent that it is agreed between the Parties pursuant to this Agreement to do so prior to the Operational Services Commencement Date, complied fully with the GDS Service Standards in respect of those GOV.UK Deliverables which must be successfully delivered before the Operational Services Commencement Date, and ensured that such GOV.UK Deliverables have successfully passed the GOV.UK Assessments, as confirmed in writing by the Government Digital Service.

2.5.23   save where the Supplier has given prior notice to STA to the contrary and STA has agreed to exempt any GOV.UK Deliverables from the requirements under this paragraph, ensured to the satisfaction of STA that any GOV.UK Deliverables which the Parties have agreed are due for a GOV.UK Assessment after the Operational Services Commencement Date have been designed and continue to be designed in a way which ensures that they will comply fully with the GDS Service Standards and will be capable of passing the GOV.UK Assessment by the dates agreed by the Parties.

Goal 2: Manufacture of National Curriculum Assessments Materials

To produce the National Curriculum Assessments Materials to fully meet the design, quality, digitisation and delivery requirements specified by STA.

1.   **Aims and Objectives**

        The Supplier shall

1.1   produce all the National Curriculum Assessments Materials for Key Stage 1, Key Stage 2 and Phonics Screening Check necessary for Schools, Local Authorities and Markers;

1.2   ensure that all National Curriculum Assessments Materials are produced in accordance with STA's print specifications and instructions as notified by STA in writing to the Supplier from time to time;

1.3   ensure the National Curriculum Assessments Materials are manufactured in such a way as to allow digitisation in preparation for onscreen marking; and

1.4   ensure all National Curriculum Assessments Materials produced are of a consistent quality so that no Pupils are disadvantaged at the point they take the tests through receiving defective materials.

2.   **Business Rules**

        The Supplier shall

2.1   produce National Curriculum Assessments Materials in accordance with the Security Management Plan and shall treat National Curriculum Assessments Materials as OFFICIAL-SENSITIVE until the point of administration in Schools in accordance with statutory National Curriculum Assessment timetables as detailed each year in the Key Stage 1 Assessment and Reporting Arrangements and Key Stage 2 Assessment and Reporting Arrangements;

2.2   produce materials to allow every Pupil to sit a test for which he or she is registered; or who has recently arrived at a School and is eligible to take the tests;

2.3   provide contingency materials whilst also minimising wastage;

2.4   plan production to ensure the timelines for the collation and delivery of consignments to Schools is maintained. The Supplier must produce a written production plan for STA's Approval to demonstrate this as required by the Approved Operational Delivery Plan;

2.5   ensure that all Schools must receive the National Curriculum Assessments Materials they require in relation to a Test before the first day that such Test can be sat by any Pupil;

2.6   obtain STA Approval for any additions or variations to the National Curriculum Assessments Materials (whose design and content is fixed by the STA and notified to the Supplier from time to time) that are required by the Supplier, (e.g. to facilitate scanning);

2.7   supply PDF proofs and/or hard copy production samples of all Components for Approval by STA on or before the date identified in the production plan;

2.8   demonstrate that all materials produced match both the specifications provided and the Approved production proofs;

2.9   provide STA with a Project Quality Plan as required by the Approved Operational Delivery Plan; for print production in accordance with Prince2 and provide management information to demonstrate that this plan has been adhered to; and

2.10   develop and obtain STA Approval as required by the Approved Operational Delivery Plan for processes to manage exceptions that occur during any part of the delivery where confidential materials could be accidentally released into the public domain.

Goal 3: Delivery of the National Curriculum Assessments Materials

To deliver all National Curriculum Assessment Materials and supporting documents to Schools and other identified recipients, to collect all KS2 Test Scripts from Schools and return marked KS2 Test Scripts to Schools by the dates stipulated by STA.

1.   **Aims and Objectives**

The Supplier shall

1.1   ensure that all National Curriculum Assessments Materials and supporting documents required for a National Curriculum Assessment to be administered are received by the School for every Pupil who is registered before the National Curriculum Assessment is scheduled to start.

1.2   ensure all National Curriculum Assessments Materials required for marking are collected from Schools promptly after any Test has been completed;

1.3   minimise the burden on Schools including:

*   providing clear and precise instructions

*   making the delivery and collection process as simple as possible

*   minimising the number of deliveries and collections to and from Schools across all tests; and

1.4   minimise the possibility of materials from one National Curriculum Assessment becoming mixed with materials from another test.

2.   **Business Rules**

All National Curriculum Assessments

The Supplier shall

2.1   create consignments for each School, which contain sufficient quantities of all National Curriculum Assessments Materials required by each School to administer the National Curriculum Assessment and deliver the correct quantity of National Curriculum Assessments Materials to the intended recipient, in accordance with the Approved Operational Delivery Plan, without any loss or damage in transit;

2.2   have a documented tested and Accepted process in place by the start of the first Test Cycle in order to track and trace all deliveries and collections;

2.3   report daily to STA on the progress of deliveries and collections against the planned delivery profile (which shall be submitted on a daily basis by the Supplier to STA for Comment and to have an agreed mechanism in place to be used, in the event of slippage, to bring the delivery schedule back on plan;

2.4   resolve any security incidents that prevent satisfactory achievement of the Supplier's obligations in line with the Incident Management Plan;

2.5   plan and perform deliveries to allow every School to check National Curriculum Assessments Materials received and request any supplementary or additional National Curriculum Assessment Materials so that they can be delivered before tests are scheduled to take place;

2.6   deliver all National Curriculum Assessments Materials, including supplementary or additional materials, to ensure every Pupil being assessed has the relevant National Curriculum Assessments Materials;

2.7   ensure a delivery note is signed and kept by the School to allow for subsequent audit by STA;

2.8   minimise the amount of time that secure National Curriculum Assessments Materials are stored at a School;

2.9   ensure deliveries to Schools are only attempted between 9 am and 3.30 pm and on days when the School is open;

2.10   not require Schools to book collections;

2.11   ensure the number of deliveries and collections to individual Schools, Local Authorities and Markers are minimised;

2.12   ensure individual packages of National Curriculum Assessments Materials are received at their destination within 24 hours of despatch or collection;

2.13   ensure National Curriculum Assessments Materials are only delivered and collected from the School's registered address as shown on Edubase;

2.14   report any errors or omissions in Edubase, as identified by the Supplier, to STA on a daily basis;

2.15   report any deviations from expectations (e.g. unable to deliver due to School emergency closure) to STA within 1 working day;

2.16   ensure location of all National Curriculum Assessments Materials is accounted for throughout the delivery and collection process;

2.17   ensure the Supplier has a reconciliation process that immediately identifies any National Curriculum Assessments Materials not received at the intended destination within 24 hours; and the Supplier notifies STA within 2 working hours;

2.18   hold all National Curriculum Assessments Materials in accordance with the Security Management Plan both before the tests are administered in Schools and following their completion where they contain Pupil Data;

2.19   ensure a full audit is made of any electronic transactions regarding downloading National Curriculum Assessments Materials; and

2.20   the Supplier shall (without prejudice to the obligation to produce hard copy materials) also make National Curriculum Assessments Materials available electronically to Schools for download: at the times specified in the Approved Operational Delivery Plan;

For KS2 Only

The Supplier shall

2.21   collect all KS2 Test Scripts from all Schools including Service Children's Education Schools from British Forces Post Office currently at RAF Northolt and in time to meet an Approved scanning schedule; and

2.22   return KS2 Test Scripts, which have been marked on paper, to Schools by the date of Return of Results.

Goal 4: Recruitment and Management of Markers

The Supplier must recruit, contract and manage sufficient Markers to ensure all externally marked National Curriculum Assessments are marked to the required standard and by the dates specified by STA

1.   **Aims and Objectives**

The Supplier shall for KS2 National Curriculum Assessments:

1.1   produce a Marking Capacity Model for each Test of each Test Cycle for STA's Approval as required in the Approved Operational Delivery Plan. The Marking Capacity Model will determine: the number and type of markers that need to be contracted; the items and the volume of marking each Marker will complete; how contingency Marking Capacity will be built; and the Marking Hierarchy / structure to be deployed;

1.2   provide a rationale for the Marking Capacity Model assumptions to STA for Approval as required in the Approved Operational Delivery Plan;

1.3   produce a marking plan for Approval by STA which outlines the marking processes and procedures that will be followed and deadlines to which marking should progress. It should also outline how contingency measures will be utilised in the event that marking falls behind expected progress;

1.4   produce a set of Marking quality assurance procedures for each Test Cycle for STA's Approval as required in the Approved Operational Delivery Plan, which set out the proposed On-going Marking Quality Assurance (QA) processes that will be followed, the timing of those QA processes and the proposed parameters and tolerances that will apply to each;

1.5   recruit sufficient Suitably Qualified Markers (including vetting of New Markers) who shall be contracted, in accordance with the agreed Marking Capacity Model, to complete marking of each Test Script (including Braille) in accordance with the Approved QA process (set for that Test Cycle) ensuring that all marking deadlines are met;

1.6   recruit and contract Markers by no later than one month prior to their first training event;

1.7   obtain STA Approval by no later than the commencement of each Test Cycle for an annually updated Marker Retention and Recruitment Strategy in the light of lessons learnt and any changes for each Test Cycle;

1.8   retain as many high quality Markers (i.e. those that met the required On-going Marking Quality Assurance standards and completion of their allocations of Marking on time) as possible from the previous Test Cycle;

1.9   obtain STA Approval as required in the Approved Operational Delivery Plan for an annually updated Marker Retention and Recruitment Strategy in accordance with lessons learnt and changes for each Test Cycle;

1.10   obtain STA Approval as required in the Approved Operational Delivery Plan for the terms on which Markers are engaged for a Test Cycle which shall not be amended during that Test Cycle. Markers may not be contracted until the terms have been Approved ensure that any system utilised in the recruitment of Markers shall output data in the format required to meet Management Information requirements in order to provide assurance on the progress of Marker recruitment and contracting;

1.11   obtain STA Approval as required in the Approved Operational Delivery Plan for a contractual fees and expenses structure, which encourages Marker retention;

1.12   provide a single point of access solution to Markers for any online systems that they are required to utilise in their support of the delivery of the service;

1.13   provide appropriate supervision and guidance to Markers, and manage them through clear and effective processes;

1.14   utilise Supervising Markers and on-going communications for Marker supervision and guidance to ensure that Markers:

        1.14.1   attend Mark Scheme Training;

        1.14.2   successfully complete Standardisation and receive feedback before being permitted to mark Live Test Scripts;

	1.14.3	complete on-going Quality Assurance Processes during Live Marking, and receive on-going support and feedback;

	1.14.4	complete marking and marking Quality Assurance Processes to agreed deadlines (in accordance with the agreed marking plan);

1.15 obtain STA Approval as required in the Approved Operational Delivery Plan for a defined process for the handling of Stopped Markers for each Test Cycle, and handle all Stopped Markers in accordance with that process; and

1.16 ensure (i) that only marks from Markers that pass all required Marking quality assurance processes, within Marking quality parameters Approved by STA for each Test Cycle, can be included in Accurate Pupil Level Data (ii) that Marking from Markers who fail to pass the Marking quality assurance processes shall be cleansed and re-marked by a Valid Marker, provided that all marking and quality assurance data from Stopped Markers shall be retained by the Supplier for the purposes of generating Marker performance grades.

2. **Business Rules**

The Supplier shall

2.1 ensure that as a minimum, all Expert Markers must have qualified teacher status and at least 1 year's teaching experience;

2.2 capture and store securely in accordance with the Requirements of Goal 14 of this Schedule all personal and marking data from all Markers, including that used in the maintenance of the Marker Register;

2.3 only appoint New Markers in a non-supervisory role;

2.4 comply with maximum 30 day payment terms in respect of all Marker payments and expense payments which the Supplier is liable to make;

2.5 produce for STA Approval as required by the Approved Operational Delivery Plan a Marking Plan, and associated marking progress targets for Markers shall show how Key Milestone Dates (e.g. for Datafeeds) and the final results Datafeed will be met. This should inform the Supplier's approach to the numbers of Markers, their Allocations and all other relevant factors within their proposed Marking Capacity Model;

2.6 ensure that Markers declare and or identify conflicts or potential interests with any School and or any Pupil's Test Script that is identifiable to them and which they have allocated to mark;

2.7 provide STA a copy of the person specifications for each type of Marker the Supplier intends to use;

2.8 ensure that no one who fails to pass Standardisation at the first attempt shall be permitted to act as a Supervising Marker for the related Test Cycle (but Markers may be given 2 attempts to pass Standardisation);

2.9 gather feedback from Markers on all aspects of the Test Cycle, so as to allow Markers to detail their satisfaction with key elements of the solution and provide opportunity for them to make suggestions for improvement, and the Supplier shall produce a report as required in the Approved Operational Delivery Plan on the findings which makes recommendations for changes; and

2.10 issue Markers with a Marker performance grade at the end of each Test Cycle, which reflects the quality of their marking and adherence to deadlines. Supervisory Markers shall be issued with a performance grade that reflects their performance in their supervisory role. Performance grades shall be used by the Supplier to inform future recruitment activity. The Supplier will provide STA with details of the algorithm or other criteria by which performance grades are awarded for Comment.

Goal 5 - To ensure that all markers are trained to the required standard ("Standardisation") before marking commences.

1.   **Aims and Objectives**

        The Supplier shall

1.1   obtain STA Approval as required in the Approved Operational Delivery Plan for (and thereafter comply with) a Marker Training Plan that will ensure all Markers are trained and complete Standardisation before marking of KS2 Test Scripts starts;

1.2   develop and obtain STA Approval as required in the Approved Operational Delivery Plan for Mark Scheme Training, Practice, Standardisation and Ongoing Marker Quality Assurance Materials that support high quality training and quality assurance activities and ensure Markers successfully complete Standardisation to equip them to mark to the standards required in accordance with the published Mark Scheme;

1.3   develop and obtain STA Approval as required in the Approved Operational Delivery Plan for high quality training, communications and guidance materials, which support the accurate use of all systems and processes utilised by Markers and ensure all Markers are competent in their use; and

1.4   ensure the distribution of materials to Markers to ensure all Markers receive all required materials sufficiently in advance of Mark Scheme Training to allow them to prepare fully for the training event.

2.   **Business Rules**

        The Supplier shall

2.1   minimise the number of Markers who have access to National Curriculum Assessments Materials prior to Test Week with the requirement to keep National Curriculum Assessments Materials secure in mind;

2.2   minimise the number of deliveries and collections to and from each Marker;

2.3   ensure that all Markers complete Mark Scheme Training prior to undertaking Practice, Standardisation and Live Marking;

2.4   trial Mark Scheme Training, Practice, Standardisation and Ongoing Marker Quality Assurance Materials, with a minimum of 20 Markers per test paper, during their development. STA representatives will have an assurance role in the development of the training and quality assurance materials to ensure they accurately reflect Mark Scheme intentions;

2.5   ensure that all Mark Scheme Training, Practice, Standardisation and Ongoing Marker Quality Assurance Materials must accurately reflect the final (signed off) copies of the Test Papers and Mark Schemes for each Test, as handed over to the Supplier by STA;

2.6   ensure that any Markers engaged in marking modified versions of the test papers e.g. braille, modified large print, must be trained and receive guidance on any bespoke marking or Mark Scheme requirements for Modified Tests;

2.7   invite representatives of STA to attend and participate in Mark Scheme Training Material development meetings and permit representatives of Ofqual and any other STA approved bodies to attend as observers; and

2.8   permit representatives of STA, Ofqual and any other STA approved bodies to attend marker training events as observers.

Goal 6: Marking incl. Quality Standards

To have all Key Stage 2 Test Scripts marked onscreen by a Valid Marker within an agreed timeframe to meet defined quality standards for data and marking.

1.   **Aims and Objectives**

        The Supplier shall

1.1   ensure that Test Scripts shall be marked onscreen, using an electronic Mark Capture Mechanism to capture mark data for each Test Item in accordance with the Mark Scheme;

1.2   ensure that Test Scripts with additional pages e.g. containing Pupil responses, will be marked onscreen, and be subject to the same level of Item Level Mark Capture and Marking quality assurance as those without additional pages;

1.3   ensure that Test Scripts which by exception cannot be scanned or read onscreen by Markers shall be marked and their Item Level marks captured electronically. The marking of Test Scripts that cannot be marked onscreen must be subject to the same level of quality assurance as those marked onscreen and processed in time to meet the non-negotiable deadline for Return of Results;

1.4   account to STA for every Pupil in the KS2 Cohort to ensure that either a full or partial Test Script has been received or a valid code showing reasons for the Pupil not sitting the test is recorded;

1.5   identify full or partial Test Scripts which have not been received or prepared for online marking and resolve these cases in a way that minimises the burden on Schools, while chasing, locating, retrieving and marking, or justifying to STA the reason for the missing Test Script in time for Return of Results;

1.6   after scanning or equivalent, securely store in accordance with the requirements of Goal 14 all hard copy Test Scripts for the remainder of the Test Cycle, so that they can be easily retrieved to resolve marking queries and/or Maladministration cases. STA consent must be received in writing before destruction of any Test Scripts;

1.7   mark all the Test Scripts by the dates specified by STA from time to time;

1.8   deliver and collect hard copy Test Scripts which cannot be marked onscreen, to and from Markers or a Central Marking Panel location, where there is a requirement to mark hard copy Test Scripts;

1.9   implement a retrieval process that enables hard copy Test Scripts to be retrieved against the name of a Pupil and/or School within 2 working days of an STA request and Test Script images retrieved immediately on request; and

1.10   automate, where possible, the Matching of Test Scripts to Pupil data, accessing data as required without manual intervention.

2.   **Business Rules**

        The Supplier shall

2.1   at all times comply with the requirements detailed in the Data Exchange Standard in the provision of the Services;

2.2   provide Marked Item Level Data, Accurate Pupil Level Data and Accurate Item Level Data;

2.3   ensure that all Test Scripts are matched to the correct Pupil at the correct School;

2.4   obtain STA Approval for the On-going Marking Quality Assurance (QA) regime for each test before the beginning of each Test Cycle and as a minimum shall include training, practice, and Standardisation, and the system must be able to control a Marker's access to marking dependent on their performance;

2.5   prioritise Marking and Re-marking for distribution, where marks from a Valid Marker already exist for other Item Responses for the same test and same Pupil's Test Script;

2.6   ensure that the Allocation of Test Scripts that cannot be marked onscreen ensures no Marker is allocated a hard copy Test Script from a Pupil or School in which they have a declared personal interest;

2.7   make the proposed scanning (or equivalent) schedule available to STA in advance of the Test Cycle;

2.8   provide STA with Accurate Item Level Data in accordance with Key Milestone 6 as detailed in Schedule 5 of the Agreement;

2.9   provide STA with Accurate Pupil Level Data 1 working day before the due date of Key Milestone 7, as detailed in Schedule 5 of the Agreement;

2.10   provide STA with all Marked Item Level Data in the possession of the Supplier within 24 hours of request; and

2.11   agree with STA for each Test Cycle, the value of all variable characteristics in the Onscreen Marking Solution and then configure them as agreed for that Test Cycle. The Onscreen Marking Solution should not place any limits on any of these variables.

Goal 7: Judgemental Exercise

To undertake a Judgemental Exercise to inform the process of determining Expected Standard threshold performance for each test in order to set or maintain standards year-on-year.

1.   **Aims and Objectives**

        The Supplier shall

1.1   produce a set of Judgemental Exercise procedures for STA Approval as required in the Approved Operational Delivery Plan including the provision of all necessary Markers, materials and systems to time and quality parameters Approved by STA for each Test Cycle, in order that the Judgemental Exercise process is completed in time for presentation at the Standards Maintaining Meeting;

        (a)   manage the Judgemental Exercise process; and

        (b)   store securely, update and maintain an electronic archive of Test Scripts at the agreed Threshold Mark Point and provide this at the end of each Test Cycle.

2.   **Business Rules**

        The Supplier shall

2.1   select Five exemplar Test Scripts for each test at the required mark point and justify the reasons for their selection to STA;

2.2   anonymise all Test Scripts used in the Judgemental Exercise of Pupil data;

2.3   ensure that all Test Scripts used in the Judgemental Exercise are accurately marked and that this is verified by the most senior Marker;

2.4   ensure that Judgemental Exercise participants are of the highest quality and drawn from the pool of most senior members of the Marking Hierarchy;

2.5   provide Judgemental Exercise participants with a set of Archive Materials and test performance descriptors in advance of the Judgemental Exercise meeting;

2.6   provide qualified and experienced test assessment staff to present the Judgemental Exercise outcomes at the Standards Maintaining Meeting, which takes place to determine the Expected Standard once all Marking has been completed and prior to Return of Results;

2.7   provide an audit trail of all Judgemental Exercise participants' decisions;

2.8   ensure that the Judgmental Exercise procedures contain a mechanism to allow additional Test Scripts to be presented to participants, when agreement on Thresholds cannot be met by participants, utilising the original set of materials;

2.9   maintain on behalf of STA the electronic archive of test scripts at the Expected Standard to be updated by the Supplier at the end of each Test Cycle with the 5 Test Scripts used in the Judgmental Exercise; and

2.10   provide online access to the electronic archive of all Test Scripts so they can be searched, viewed and downloaded by STA.

Goal 8: Reviews

To provide a Reviews service, to process Review Applications against an agreed quality assurance regime and return Review Outcomes to Schools by the date specified by STA.

1.   **Aims and Objectives**

The Supplier shall

1.1   produce a set of Reviews procedures and a plan for the management and processing of Review Applications for all externally marked National Curriculum, Tests, for STA's Approval as required in the Approved Operational Delivery Plan, prior to the implementation of those procedures for each Test Cycle;

1.2   produce a set of Review Marking quality assurance procedures, for STA's Approval as required in the Approved Operational Delivery Plan, which outline: the proposed Review Marking quality assurance processes that will be followed, how the quality assurance materials will be developed, the timing of each quality assurance check and the proposed parameters/ tolerances that will apply to those processes;

1.3   develop and obtain STA Approval, as required in the Approved Operational Delivery Plan, for review Marking Training Materials that support high quality re-training and quality assurance activities and ensure Review Markers successfully conduct Re-Standardisation to equip them to conduct Review Marking to the standards required in accordance with the published Mark Scheme;

1.4   conduct the Reviews process, in accordance with the agreed Reviews procedures and Review Marking quality assurance procedures, including: the provision of all necessary re-training and administration materials and systems to the agreed time and quality parameters, and the recruitment and management of Review Markers to complete all required review marking, in order that the Reviews process is completed sufficiently in advance of Key Milestone 8 by which Review Outcomes must be returned to Schools;

1.5   ensure sufficient Review Marking Capacity Model, in order that the contracted Review Markers can complete all Review Marking to time and quality requirements, by Key Milestone 8;

1.6   provide a web based System (which must have System Development Acceptance) that allows Schools to submit Review Applications in the most efficient manner possible. This should be aligned with the system Schools use to access Test Script Images as described in Goal 11;

1.7   ensure onscreen reviewed KS2 Test Script Images are updated with Review Item Level Marks and returned to Schools electronically, so Schools can view and download their Pupils reviewed Test Scripts on, and after, Key Milestone 8;

1.8   return KS2 Test Scripts, which have been reviewed on paper to Schools by Key Milestone 8;

1.9   manage Review Markers effectively through clear and effective processes, utilising Supervising Markers and on-going communications to ensure they:

1.9.1   attend any necessary training for Review Marking;

1.9.2   successfully complete Re-Standardisation and receive feedback, before being permitted to Review Mark;

1.9.3   complete on-going quality assurance checks during Review Marking, and receive on-going support and feedback;

1.9.4   complete Review Marking and associated Review reports to agreed deadlines.

1.10   produce a set of procedures and plans for the management of Process Reviews, for STA's Approval as required in the Approved Operational Delivery Plan, and manage Process reviews in accordance with the agreed procedures and plans; and

1.11   maintain a full audit trail of the Reviews process such that it is possible to verify if due process has been followed in the event of a Process Review application being received.

2.   **Business Rule**

The Supplier shall

2.1   ensure that Review Markers mark all the items they are allocated for Review Marking, within Approved quality parameters during Live Marking;

2.2   prioritise Markers for appointment for Review Marking based on their quality of marking in the initial Live Marking e.g. the most consistent and accurate markers are prioritised;

2.3   ensure that all Markers must pass Re-Standardisation before being permitted to conduct Review Marking;

2.4   ensure that all Markers undertake regular On-going Marking Quality Assurance checks during their Review Marking, and complete these within the agreed marking quality parameters for Review Marking;

2.5   ensure that only Review Marking from Review Markers that pass all Ongoing Marker Quality Assurance checks in Live Marking, and who meet all the required Review Marking quality assurance checks is returned to Schools, and that Review Marking from Review Markers who fail to pass the necessary Review Marking quality assurance checks is cleansed and re-reviewed by a Valid Review Marker;

2.6   ensure that Review Marking is conducted onscreen wherever Test Scripts submitted for review are suitable for onscreen marking;

2.7   ensure that all items in a Pupil's Test Script are reviewed as part of a Review of Marking;

2.8   ensure that Review Markers have visibility of the original Marker's marks, so they are reviewing the original marking, not conducting a blind re-mark;

2.9   ensure that the Review Marking system captures a secondary set of Review Item Level Marks) alongside (but not replacing) the original mark data, and record the original Marker and Review Marker details. Review Item level marks are required for all Review Marking, regardless of whether the Test Script is reviewed onscreen or on Paper (by exception);

2.10   ensure that Review Markers have timely access to appropriate supervision and guidance throughout Review Marking;

2.11   not accept any Review Applications outside the 10 calendar day period running from the date of Return of Results, except where Schools have received results after the official date for Return of Results (e.g. due to initial suppression during a Maladministration Investigation);

2.12   return Review Outcomes to Schools by Key Milestone 8. Both the Original and Review Marks, and a report summarising the rationale for the Review Marks assigned shall be returned to Schools as part of the Review Outcome;

2.13   handle data relating to the number of Review Applications and their outcomes under the rules that govern the use of Official Statistics;

2.14   ensure that the systems utilised in processes that support the conduct of Reviews must output all data in the format required to meet Management Information requirements;

2.15   only charge Schools for a Review, where the test outcome for a Pupil does not change as a result of the review, (unless the Review discloses a Clerical Error made by the Supplier or a Marker in which case there shall be no charge irrespective of the effect of the Review on the test outcome);

2.16   contribute to the development of guidance documentation to Schools on the Reviews process (which STA is responsible for producing and circulating); and

2.17   ensure that Supplier personnel involved in Process Reviews are independent of those involved in the conduct or management of Marking Reviews.

Goal 9: Data

To provide to STA all School and Pupil related data throughout each Test Cycle and full and accurate KS2 Results for each Pupil in advance of the date determined for Return of Results and until all Results are finalised.

1. **Aims and Objectives**

    The Supplier shall

1.1 ensure the accurate and timely provision of all Datafeeds for each Test Cycle, in accordance with the agreed DES;

1.2 develop and obtain STA's Approval for a data Quality Assurance regime;

1.3 implement the Approved data Quality Assurance regime;

1.4 monitor the quality of the School and Pupil related data regularly and where quality issues are identified, and shall work with other relevant parties to ensure they are resolved economically and efficiently;

1.5 provide a flexible solution to allow additional bespoke School and Pupil related data collection to be completed at STA's request;

1.6 provide a solution that minimises any manual handoffs of School and Pupil related data, therefore maximising automation and reducing error and potential points of failure; and

1.7 (without prejudice to the provisions of Clauses 13 (Third Party Co-operation) and 25.2 (Capacity, Compatibility and Interoperability) of the Agreement) integrate data received from STA and STA Service Providers with any other data on the System in such manner as STA shall direct and enable STA and STA Service Providers via the System (i) to provide the Supplier with data to be held on the System (whether or not it is to be integrated with other data) and/or (ii) to access download and use any data that is on the System.

2. **Business Rules**

    The Supplier shall

2.1 supply School and Pupil related data to STA in accordance with the Data Exchange Standards (DES);

2.2 ensure that Teacher Assessment data is accurately linked to a Pupil with 100% accuracy;

2.3 provide School and Pupil related data at the frequency requested by STA;

2.4 ensure that any approved changes to Pupil Records (including changes to assessing Status, changes to results and changes to Pupils' details) are recorded and amended within 24 hours;

2.5 provide a release note with each Datafeed, which includes a description of the data release, what data it contains, any issues identified and the date and time of the release;

2.6 make School and Pupil related data in the Supplier's possession available to STA for interrogation, including the ability to view but not edit raw data;

2.7 make available to STA any Item, School or Pupil related data in the Supplier's possession within 24 hours of written request

2.8 correct any errors in School or Pupil related data identified in writing by STA within 24 hours.

Goal 10: Management of Operational Delivery

To undertake robust, collaborative management of Operational Delivery to ensure successful completion of each Test Cycle.

1. **Aims and Objectives**

The Supplier shall

1.1　ensure that day-to-day operational management of the Services are of a high quality, conducted professionally against agreed ways of working and standards of behaviour by building a collaborative working relationship between the Supplier's and STA's Operational Delivery personnel based on trust and openness;

1.2　have robust management controls and Management Information to:

1.2.1　provide a comprehensive view of actual progress of Operational Delivery against plan with supporting evidence as necessary;

1.2.2　ensure potential problems are identified as early as possible so that corrective actions can be taken to keep Operational Delivery on track.

1.3　obtain STA Approval for a plan of comprehensive corrective actions, mitigations and specific timescales in the event of any slippage against plan in order to restore progress back to plan;

1.4　put in place clear internal governance arrangements that allow for rapid and effective decision taking and escalation of issues requiring resolution by adopting a "fix first, argue later" approach, and provide STA with a copy of the same (and any revisions);

1.5　achieve year on year efficiency gains throughout the duration of the Agreement; and

1.6　implement a robust knowledge management and knowledge transition plan to support the learning and development of new personnel, as and when they are introduced by the Supplier or its Subcontractors.

2. **Business Rules**

The Supplier shall

2.1　obtain STA Approval for each iteration of the Operational Delivery Plan which the Supplier shall ensure;

2.1.2　is fully aligned to and compliant with PRINCE2 methodology; and

2.1.3　contains Milestone Dates for all Milestones to be achieved during the relevant Test Cycle (including those described in Schedule 5 (Key Milestone Acceptance Criteria and Service Levels); and

2.1.4　shall be updated for each Test Cycle with a planned schedule for each of the appropriate components of Operational Delivery (such components shall include but not be limited to printing, manufacture, collation, logistics, Marker recruitment, Marker training and Marking) showing how the component will progress to completion on time; and

2.1.5　contains a rectification plan for each component described in paragraph 2.3 that determines the actions to be taken by the Supplier in the event that the progress to completion of such a component falls behind schedule.

2.2　use the PRINCE2 product based project management methodology to manage and control Operational Delivery;

2.3　update the Operational Delivery PID (including for the avoidance of doubt the Operational Delivery Plan) for each Test Cycle annually and obtain STA Approval for each update;

2.4　utilise Management of Risk (MoR);

2.5　conduct robust internal quality assurance and approval of Products before provision to STA, maintaining accurate records of all Products (configuration management and version control);

2.6　attend all governance meetings with STA, including daily and weekly operations meetings;

2.7　provide the agreed Management Information at the time and dates specified by STA;

2.8   meet all Key Milestone Dates and specified Service Levels;

2.9   conduct a lessons learned review and end product report for STA approval (for both) upon the completion of each Product to inform continuous improvement;

2.10   review, update and obtain STA Approval for a knowledge management and knowledge transfer plan for Supplier Personnel on an annual basis;

2.11   provide information required by STA to respond to Parliamentary Questions or requests under the Freedom of Information or Data Protection Acts within 3 working days and 1 working day respectively of STA asking for such information or within any other period specified by STA; and

2.12   provide such information as is required by STA of their policy and processes for workforce training, development and maintaining skills, to support the apprenticeships and skills through public procurement.

Goal 11: Operational Systems

To enable Schools and Local Authorities to provide information and data required for the administration of National Curriculum Assessments, to access National Curriculum Assessment Materials and receive results for their Pupils.

1.   **Aims and Objectives**

        The Supplier shall

1.1   operate an online System which shall enable Schools or Local Authorities to access it through a single login mechanism which grants access to all the functions they require in connection with the administration of the National Curriculum Assessments and which (without limitation) shall:

1.2   enable Schools to apply to or notify STA of Access Arrangements and Special Consideration requests for individual Pupils or a complete Cohort and for STA to respond to requests in accordance with set deadlines;

1.3   enable Schools to download National Curriculum Assessment Materials for KS1, PSC and, the KS2 Mark Schemes at the times specified in the Approved Operational Delivery Plan;

1.4   enable Schools to inform STA of incidents of Pupils cheating in the tests;

1.5   enable Schools to provide notifications of aids used in the tests;

1.6   enable Schools or Local Authorities to submit a KS2 Teacher Assessment outcome for each core subject for each Pupil, ensuring all Schools have submitted an outcome for each Pupil by the set deadline, regardless of whether or not a Pupil sat a Test;

1.7   enable the Head teacher from each School administering the PSC and/or National Curriculum Assessment to submit a declaration that confirms they have been administered correctly, ensuring a declaration has been submitted by all Schools by the set deadline;

1.8   enable all Schools to access all KS2 test outcomes and Test Script Images with Item Level Data for their Pupils on the date specified by STA;

1.9   enable KS3 Schools and Local Authorities to obtain KS2 test outcomes and teacher assessments for Pupils in their new KS3 Pupil intake;

1.10   enable the collection of information from a School in relation to any other activity (e.g. registration of Pupils for the tests, collection of material requirements or their equivalents);

1.11   enable the provision of data to Schools or Local Authorities that is required either by legislation or that will provide a better service to Schools;

1.12   enable Schools and Local Authorities to manage the users from their organisations who will have access to the solution;

1.13   enable Schools and Local Authorities to be notified of upcoming deadlines on entry into the system;

1.14   provide notification to Schools and Local Authorities confirming the activities they have undertaken;

1.15   maintain an accurate and up-to-date database of all Schools in England (including hospital Schools and Pupil Referral Units) that have Pupils at KS1, KS2 and KS3; recording all changes including School closures, mergers and conversions to inform reconciliation and chase activity;

1.16   enable Schools and/or Local Authorities to notify completion of their agreed responsibilities for input of Teacher Assessment outcomes;

1.17   include provision of a secure alternative to email to enable Schools to ask questions of a confidential nature in relation to access arrangements in order to comply with the GDPR;

1.18   only enable Schools and Local Authorities to view data relating to the current or most recent Test Cycle (for example, Results from one Test Cycle will be available until a specified period in the next Test Cycle); and

1.19   utilise Email where appropriate to notify Schools of activities undertaken in the solution (e.g. confirmation of a submission of an additional time application). However such emails must not contain any Pupil data.

1.20   ensure that the consequences of changes to the database of Schools are reflected appropriately throughout the online System (so that for example, in the case of a mainstream School becoming an academy, all orders placed and pupils registered are associated with the new School);

1.21   ensure that all Schools for whom it is obligatory or optional in accordance with Appendix 1 to this document (entitled "School types and their participation status in National Curriculum Assessments and Assessments") are able to participate in the National Curriculum Assessments and Assessments and shall identify in advance of delivery of National Curriculum Assessment Materials to each School which Pupils at each School are in the KS2 National Curriculum Assessment Cohort following receipt of the School Census data supplied by STA.

1.22   (without prejudice to Clause 25.2.3 of the Agreement) ensure that the System will (if required to by STA) link/interface with systems provided by STA Service Providers (including, for example, that part of the System serving as a portal for schools to access other assessments not undertaken by the Supplier).

2.   **Business rules**

General Business Rules

The Supplier shall

2.1   give STA access on demand to the all data contained within the online System;

2.2   ensure that any additions to the functionality of the online System are consistent with the single login mechanism required for the online System;

2.3   enable a Head teacher Declaration Form to be completed for each assessment that a School administers and take all reasonable steps to ensure that this is done;

2.4   make completed Head teacher Declaration Form available to STA up to any date specified by STA in relation to each Test Cycle in order to assist with Maladministration investigations;

2.5   only make National Curriculum Assessment Materials available for download as prescribed by STA;

2.6   refresh National Curriculum Assessment Materials available for download as required in the Approved Operational Delivery Plan on an annual basis;

2.7   design all forms to minimise the burden on Schools and prepopulate them with Pupil data where possible;

2.8   meet all dates specified in the Operational Delivery Plan for the opening and closing of any aspect of the online System (e.g. opening of specific forms for access arrangements);

2.9   ensure that School and Pupil related data collected or provided complies with the following requirements:

    2.9.1   Teacher Assessment data must comply with the Data Exchange Standards specification provided by STA from time to time;

    2.9.2   Results data must comply with the Data Exchange Standards specification provided by STA from time to time;

    2.9.3   comply with STA's prescription for information and data outputs required from Schools to request alternative access arrangements; and

2.10   ensure that data used within the online System is as up to date as possible (so that for example if a School adds a Pupil or changes a Pupil's name then that data should be updated and available immediately in all other parts of the solution) and that the manual input of data by Schools is minimised.

3.   **Business Rules relating to use of the Systems by Schools, Local Authorities and Markers**

The Supplier shall ensure that

3.1   each School and Local Authority shall be allocated a "super user" in respect of the online System that has the ability to create (without restriction on the number) other users of the online System for the organisation;

3.2   the online System will collect no more data regarding users than is necessary for a user to undertake the activities required whilst collecting sufficient information to provide traceability of actions within online System;3.3 access to each element of the online System is configurable by any super user;

3.3   users can only see data which they are entitled to see (e.g. in relation to their School or in the case of a Local Authority, in relation to Schools within the control of that Local Authority;

3.4   STA staff have administrative access rights to the system (i.e. STA staff must be able to view any data for any School at any time) such that they can view any data for all Schools and fulfil their responsibilities for responding to requests for information about and approving Access Arrangements (including but not limited to Timetable Variations, Special Consideration and Compensatory Marks). STA reserve the right to review and amend the level of access STA requires to the System from time to time in order to fulfil its regulatory responsibilities.

3.5   users of the online System can reset their passwords through the online System in a secure manner;

3.6   STA staff and other administrative users are forced to change their password on at least a monthly basis;

3.7   the online System forces School and Local Authority users to reset their passwords on at least an annual basis;

3.8   the online System enforces a strong password and prevents users from reusing passwords;

3.9   users who repeatedly fail to enter their password correctly will be prevented from using the online System;

3.10   School and Local Authorities are able to view details regarding their organisation;

3.11   Schools and Local Authorities are not able to update their address details within the online system; and

3.12   the online System does not support multiple accesses by a single user.

Goal 12: Support and Guidance to Schools, Local Authorities and Markers

To develop instructions, advice and guidance to Schools, Local Authorities and Markers required by them to inform and support their full and effective participation in successful Operational Delivery.

1.   **Aims and Objectives**

        The Supplier shall

1.1   develop simple, comprehensive, high quality and effective instructions, advice and guidance to Schools and Local Authorities throughout Operational Delivery, for incorporation into STA's communication channels.

1.2   develop, provide and deliver via its own channels, high quality and effective instructions, advice and guidance to Markers throughout the Test Cycle;

1.3   deliver a flexible, on-demand service that can be scaled in order to:

        •   receive, manage and resolve enquiries from Schools, Local Authorities and Markers

        •   receive, manage and resolve enquiries from Parents / Guardians and any media outlets

        •   handle all complaints within specified timescales; providing resolution to those relating to the operational service, or to hand off complaints that are unrelated to the operational service to STA.

2.   **Business Rules**

        The Supplier shall

2.1   in advance of each Test Cycle obtain STA's Approval for an updated communications strategy and plan;

2.2   obtain and maintain contact details for Markers;

2.3   check School details against Edubase to ensure accuracy;

2.4   provide guidance on all aspects of the administration of National Curriculum Assessments for inclusion in STA's communication channels;

2.5   ensure that all published telephone numbers to be used in the provision of the Services remain unchanged and will assign the numbers to STA at the end of the Term; and

2.6   not communicate on any matter relating to the subject matter of this Agreement unless identified and enabled by the agreed communications strategy and plan;

2.7   no later than the beginning of each test cycle provide and obtain STA's Approval for the Supplier's helpline forecast of anticipated helpline calls and emails during that Test Cycle;

2.8   no later than the beginning of each Test Cycle provide and obtain STA's Approval for a helpline staff training plan covering that Test Cycle.

2.9   If the Supplier's support service includes use of a helpline or other telephony based support, the following performance requirements must be achieved when measured on a weekly basis:

        •   90% of calls must be answered in less than 15 seconds

        •   No more than 3% of calls abandoned for calls holding for more than 20 seconds

        •   85% of all enquiries must be resolved at first point of contact

        •   100% of enquiries to be resolved by First Line Support or Second Line Support or escalated to Third Line Support (including STA) within 2 Business Days of receipt

        •   At least 99% of all complaints are acknowledged by email and forwarded (where appropriate) within 1 Business Day of receipt

        •   At least 99% of all complaints to the helpline must be resolved within 15 Business Days of receipt

- 100% of emails, faxes, and letters and text enquiries must be acknowledged within 1 Business Day of receipt

- All calls must be recorded and recordings retained until 8 months after the end of Test Week in each Test Cycle delivered by the Supplier. STA must be given access to this information within 24 hours on request

- Where the Supplier chooses to use its own CRM system the Supplier must provide access to it by STA and permit STA to monitor calls and other activities

- The Supplier must provide telephone number(s) that will ensure callers can contact the helpline services at minimal cost and are not financially disadvantaged by their location

- The helpline solution must be available:

- 08.30 to 17.00 – for Schools, LAs and Markers, referred to as Core Hours

- 08.00 to 18.00 – for Schools and LAs, during the 12 weeks across the Test Cycle that are referred to as peak delivery (exact dates to be agreed with STA for each Test Cycle)

- 08.00 to 20.00 for Markers in any period where they are using the Supplier's Onscreen Marking Solution to either mark or standardise, around 14 weeks (exact dates to be agreed with STA for each Test Cycle)

- Additionally, the Helpdesk 10.00 to 16.00 on Saturday and Sunday for Markers only in any period where they are using the Supplier's Onscreen Marking Solution to either mark or Standardise (around 14 weeks). Exact dates to be agreed with STA for each Test Cycle. Provision should support Marker training events and meetings that fall outside the 14 weeks

- All helpline operatives must be able to converse clearly and fluently with customers in the English language and have an understanding of the education system in England.

- The helpline solution must be compliant with BSEN 15838:2009 or equivalent.

Goal 13: Continuous Improvement

The Supplier is to continuously improve Operational Delivery throughout the life of the Agreement to ensure delivery is optimised and, wherever appropriate, matches international best practice in the field of testing and assessement of a Pupil's level of development and attainment

1. **Aims and Objectives and Business Rules**

   The Supplier's obligations in relation to service improvements and innovation are set out in Clause 19 of the Agreement and the Supplier shall comply with the same from the Effective Date.

Goal 14: Security

To ensure there is no unauthorised release or loss of any material or data at any time

1. **Aims and Objectives**

   The Supplier shall

1.1   keep the security management procedures referred to at paragraph 2.5.17 of Goal 1 of this Schedule under review and updated at all times to ensure that they continue to comply with the requirements of that paragraph; and

1.2   renew (and procure that all subcontractors, third parties and supply chains that the Supplier deals with shall renew) the BIS Cyber Essentials scheme Certification refered to in paragraph 2.5.18 of Goal 1 so that valid certificates are held at all times during the Term;

1.3   The Supplier shall as from the Effective Date

   1.3.1   ensure compliance with HM Government policy on security and information management and assurance as set out in the revised HM Guidance; https://www.gov.uk/government/publications/security-policy-framework;

   1.3.2   adhere to the DSAM process as set out in Schedule 19 (Policies and Procedures;

   1.3.3   ensure all people involved in the delivery of the Services are aware of the obligations in relation to the handling of materials and data and incorporate this into their duties;

   1.3.4   respond in accordance with the Security Management Plan, to any unauthorised release or loss of materials or data and to provide timely incident reports and implement any lessons learned as a result, updating the Security Management Plan for Approval by STA;

   1.3.5   account for all material and data that is in the possession of the Supplier at all times and provide an appropriate audit capability regarding the movement of materials and changes in data; and

   1.3.6   have appropriate investigative capabilities to respond quickly to any unauthorised release or loss of materials or data which are able to recover the materials or data or minimise the impact of the release or loss;

   1.3.7   comply with the HM Guidance on Risk Management at OFFICIAL (https://www.gov.uk/government/collections/securing-technology-at-official) throughout the term of the Contract;

   1.3.8   notify STA of all Supplier Personnel with access to secure materials or protect level data related to the Service. This notification shall include the level of security screening attained by each member of personnel to provide validation of their trustworthiness, integrity and reliability. It should also include the details of the ongoing personnel security management procedures used and any alignment with an external code of practice such as BS7858:2012 or equivalent. The Supplier must ensure that all Personnel are screened to a level necessary to handle information classified as OFFICIAL;

   1.3.9   provide to STA proof that all personnel involved in the provision of the Service possess current Disclosure and Barring Service checks (DBS), as detailed https://www.gov.uk/disclosure-barring-service-check/overview, commensurate to their role; and

   1.3.10   ensure all employees and Contractors are fully aware of the Supplier's security policies and standards (including the Cabinet Office Security Policy) before they commence any work on Set-up or Operational Delivery, and that Supplier employees and contractors sign a declaration that they have understood and will comply with the security policies. The Supplier must ensure that these declarations are retained, and can be inspected by STA on demand.

Movement of materials

2.   The Supplier shall as from the Effective Date

2.1   ensure when transporting hard copy secure/confidential materials that:

   2.1.1   tamper-proof and clearly-labelled packaging is used;

2.1.2   only logistics Suppliers authorised by STA and/or couriers are used, where possible with GPS tracking;

2.1.3   release of material for transport is approved by the Supplier's security manager, and STA is informed of departure, courier scans and arrival at destination by the provision of Management Information;

2.1.4   any suspicious incidents or events of note (e.g. delays to deliveries) are reported to STA;

2.1.5   vehicles do not stop during transit, and are not left unattended at any time, and that if an unexpected stop or delay occurs STA are informed;

2.1.6   the delivery is completed during the driver's allocated hours;

2.1.7   when using the courier network to transport packages, a track-and-trace system is used for each package or consignment;

2.1.8   the transport method used allows for each package or consignment to be scanned at each transfer point in the network to enable tracking through to final proof of delivery; and STA is notified immediately of any issue or loss of package.

2.2   provide Track and trace data on the movement of packages to STA as part of the management information; and

2.3   ensure that no materials or data related to the Services shall be transferred or processed outside of the United Kingdom at any time, unless in accordance with Clause 21 of the Agreement.

Handling and storage of materials

3.   The Supplier shall as from the Effective Date

3.1   ensure that all waste or defective stock shall be either destroyed securely at the Supplier's site or quarantined on-site until a time is agreed with STA for its collection and secure destruction off-site by STA. Secure destruction must be in accordance with CESG IS5 standard or equivalent; and

3.2   fully account to STA for all waste and defective stock using a procedure and records capable of being audited.

Processes and procedures

4.   The Supplier shall from the Effective Date

4.1   keep under review the formal risk assessment that is set out in the Supplier's Solution which the Supplier shall update as required in the Approved Operational Delivery Plan using a recognised risk management methodology suitable for the management of information classified as OFFICIAL and OFFICIAL-SENSITIVE (https://www.gov.uk/government/publications/government-security-classifications) to determine the likelihood and impact of potential vulnerabilities, threats and adverse events;

4.2   actively manage all identified security risks and regularly review and update the associated risk log;

4.3   adhere to the Security Management Plan (which the Supplier shall update as required in the Approved Operational Delivery Plan) and complete the activities detailed in it, recording evidence of the completion of activities as part of a monthly security report for STA; and

Subcontractors

5.   The Supplier shall from the Effective Date require that every Subcontractor shall operate a security policy, which is compliant with the HM Guidance and must confirm to STA that this is the case prior to letting the relevant sub-contract(s). The Supplier must also provide the STA with copies of the "Statement of Assurance Questionnaire" as found on gov.uk (https://www.gov.uk/government/publications/government-supplier-assurance-framework). The Subcontractor must agree to security audits by STA where required.

Buildings

6.   The Supplier shall from the Effective Date ensure that adequate fire prevention and detection measures are in place at all premises from which the Service is provided or managed, including a no-smoking policy throughout such premises and where appropriate an adequate sprinkler system is installed. If no sprinkler systems are deployed all prevention and detection measures shall be

subject to an external fire risk assessment and audit which the Supplier shall commission at its own expense.

IT Systems, Infrastructure and Data

7. The Supplier shall as from the Effective Date

7.1 ensure that all ICT Systems are secured appropriately to the level of risk associated with the secure materials and data being held or processed on such systems, according to policies based on ISO/IEC 27001 or equivalent, the BIS Cyber Essentials Scheme and the HM Guidance;

7.2 implement the following technology controls in line with the 5 control themes of the BIS Cyber Essentials scheme:

   7.2.1 Boundary Firewalls and internet gateways to be used and securely implemented to protect against unauthorised access and disclosure from the Internet;

   7.2.2 Secure configurations and system hardening measures to be in place along with the minimisation of any inherent weaknesses;

   7.2.3 User access controls to be in place with special access privileges only assigned to authorised individuals;

   7.2.4 Malware protection to be installed on all machines, kept up to date and regular scans on all files performed;

   7.2.5 Patch management methods to be implemented to update software on a timely basis with any out of date software and configuration removed.

7.3 conduct an IT health check in accordance with paragraph 7.4 of this Goal and in line with the BIS Cyber Essentials PLUS Common Test Specification including:

   7.3.1 Testing to a defined scope as agreed with the CE Certification Body;

   7.3.2 The vulnerability testing of external systems;

   7.3.3 The vulnerability testing of internal systems.

7.4 ensure that a risk management approach is taken as to the regularity of any IT health Check testing in accordance with Appendix 3 (IT Health Check Guidance) provided that it should occur on at least an annual basis and whenever there is any material change to the Operational Delivery Infrastructure;

7.5 carry out any remediation activities that STA. consider necessary following an IT health check;

7.6 provide STA with details of their secure file transfer Solution e.g. Secure File Transfer Protocols (SFTP), TLS (Transport Layer Security) based email encryption or services such as Egress Desktop or Egress Switch. All mechanisms for data transfer shall be as set out in the Supplier's Solution;

7.7 ensure that all desk-top computers used by Supplier Personnel delivering the Service are password-protected and that the use of removable media devices is controlled or disabled, in compliance with Supplier's security policy and the Cabinet Office Security Policy Framework;

7.8 ensure that all data relating to the Service held on portable devices, including laptops, are securely encrypted and cannot be accessed in the event of theft or loss;

7.9 ensure that all data relating to the Service held on the Supplier's network is secured. Data files and secure materials relating to the Service must be stored by the Supplier on network drives, not on local storage, and network drives must be located in a secure server room, with only approved systems administrators having access to the server room;

7.10 co-operate with STA at all times and permit STA to audit its plans, policies and procedures relating to security matters to ensure they are being complied with;

7.11 ensure that STA Data relating to the Service is backed up in a manner and against a schedule Approved by STA during Set-Up;

7.12 ensure that, if physical backup media is used, there are at least two copies of each back up, and that one copy of each back up is held: :

   7.12.1 on-site, in a secure, fireproof safe; and

7.12.2   off-site, in a secure, fireproof safe.

7.13   ensure that all data including back-ups can be extracted and securely destroyed when agreed or when instructed by STA so to do;

7.14   ensure that an appropriate media rotation procedure is followed, in line with ISO/IEC 27001 and government security policies;

7.15   maintain and make available to STA upon request an audit trail of the electronic processing, transmission and access to all secure/confidential materials, data and Information Assets relating to the Test Cycle, e.g. Test Papers, attendance registers, Test Script images, between the Supplier's premises, Schools and Markers;

7.16   have, personal payment (i.e. credit card) details are held, a PCI DSS solution (which must be accredited by a recognised accreditation body) implemented or outsourced to a suitably compliant provider and a Protective Monitoring solution implemented to monitor access to the data held. Access to this data and equivalent sensitive data should follow strong, risk based authentication protocols. STA must be advised of details of the accreditation of the PCI DSS solution. Where sensitive personal payment information, such as bank details, are stored STA must be assured that appropriate controls are in place to prevent misuse of that information.

Communications

8.   The Supplier shall from the Effective Date refer any contact or approach from the media to STA immediately.

Goal 15: Business Continuity

To have a robust and resilient solution with proportionate Dissaster Recovery and Business Continuity Plans that will ensure continuity of Set-Up and Operational Delivery, in the event of failure or disruption, is completed on time to the required quality.

1.   **Aims and Objectives and Business Rules**

1.1   The Supplier's obligations in relation to disaster recovery and business continuity are set out in Clause 26 of the Agreement and the Supplier shall comply with the same from the Effective Date.

Goal 16: Systems Standards

To provide, manage and maintain robust ICT systems supporting successful Operational Delivery.

Aims and Objectives

The requirements of this Goal are comprised by the requirements of Clause 25 with which the Supplier shall comply together with requirements set out below:

1.   The Supplier shall from the Effective Date

1.1   use industry best practice techniques in the design, build, testing (following the build) and maintenance of all systems;

2.   The Supplier shall

2.2   ensure that the System:

        2.2.1   is available to meet the needs of Schools, Local Authorities, Markers and STA allowing them to undertake their tasks when they need to (e.g. Markers accessing Test Scripts during extended working hours, Head teachers accessing School data);

        2.2.2   is able to accommodate the needs of Schools, Local Authorities, Markers and STA, including during periods of peak demand without reduction in the level of service;

        2.2.3   is able to cope with the expected volumes of data demand, e.g. appropriate bandwidth to cope with Head Teachers accessing data at the same date and time;

        2.2.4   is able to manage the volume of data to be stored;

        2.2.5   is able to process the volume of incoming data;

        2.2.6   will be available for a minimum of 99.8% of the time with the exception of agreed maintenance or upgrades. The test environment must be available to STA for a minimum of 95% of the time between the hours of 7am to 7pm Monday to Friday;

        2.2.7   will provide responses to external users within 2 seconds;

        2.2.8   complies fully with the GDS Service Standards in respect of any aspects of the system which are GOV.UK Deliverables, and has successfully passed the GOV.UK Assessments by the dates agreed by the Parties in writing, as confirmed in writing by GDS; and

        2.2.9   will be capable of being re-sized and changed swiftly, securely and cost-effectively when necessary to cope with changes to existing test requirements.

2.3   propose a performance test regime, for Approval with STA, which will demonstrate that the solution will meet the predicted volumes for each Test Cycle and where such a system is external facing that it meets, on a system by system basis, the 2 second response time as specified in 2.2.7

2.4   make external systems available to STA in a test environment with no limit on the use of that environment.

3.   [NOT USED]

4.   **Development and Testing of systems:**

4.4   The Supplier shall from the Effective Date:

4.4.1 provide as a minimum, on an annual basis the following documentation (or their equivalent) for Approval by STA:

- System development methodology

- System test strategy

- System test plan

- Capacity management plan

- Availability management plan

- Technical specification

- Functional specification

4.4.2 provide as a minimum, the following documentation (or similar) for any major release or development of their solution:

- Development progress (e.g. Sprint documentation etc.)

- Test summary including details of defects found and resolved, browser testing and accessibility testing

- System acceptance

- Load testing results

- Penetration testing results

- Updated documentation for users, functionality, technical aspects etc.

4.4.3 propose on an annual basis the set of browsers that will be supported by any solution;

4.4.4 provide evidence of the browser usage by collecting usage statistics from their application;

4.4.5 ensure that any external facing solution is compliant to a minimum AA of the WACO web content accessibility standard or AAA if possible;

4.4.6 ensure that any static content of an external facing solution can be changed by STA;

4.4.7 ensure that all electronic transactions are audited containing as a minimum the following information:

- User

- Time

- Date

- IP Address

- Details of change

Schedule 4 Part 1 - Appendix 1 - School types and their participation status in National Curriculum Tests and Assessments.

Types of Schools

There are many different types of Schools, each with different Type of Establishment (ToE) codes and categorisation. For the purposes of test delivery, Schools are grouped together according to whether they are obliged to participate in the tests i.e. if they receive funding via the LA or other agreement which requires the School to participate, and the nature of the School. The majority of Schools that participate are from Group 3. The figures for each type of School by key stage are detailed below – these figures are indicative as Schools open and close throughout the cycle.

	Key_Stage			
	KS1 & KS2	KS1 only	KS2 only	Total
42 Academy Alternative Provision Converter	15	0	0	15
43 Academy Alternative Provision Sponsor Led	1	0	0	1
34 Academy Converter	1187	96	153	1436
44 Academy Special Converter	59	0	7	66
33 Academy Special Sponsor Led	6	0	3	9
28 Academy Sponsor Led	596	7	52	655
6 City Technology College	0	0	1	1
52 Community Hospital School	8	0	0	8
1 Community School	6658	1004	822	8484
7 Community Special School	502	4	49	555
53 Foundation Hospital School	3	0	0	3
5 Foundation School	550	57	77	684
12 Foundation Special School	49	0	8	57
35 Free Schools	87	1	1	89
38 Free Schools - Alternative Provision	1	0	0	1
36 Free Schools Special	4	0	1	5
15 LA Nursery School	1	3	0	4
8 Non-Maintained Special School	46	0	19	65
11 Other Independent School	1336	52	147	1535
10 Other Independent Special School	105	0	191	296
14 Pupil Referral Unit	144	1	31	176
24 Secure Units	5	0	4	9
54 Service Childrens Education	26	0	1	27
2 Voluntary Aided School	3135	112	138	3385
3 Voluntary Controlled School	2080	104	112	2296
Total	16604	1441	1817	19862

Note: ToE codes 40 (UTC) and 41 (Studio Schools) have been omitted from the above table as there are none within either the KS1 or KS2 age-range.

Participation Status

Group 1: Independent Schools

For KS1 and KS2 these Schools are not expected to take part but can choose to opt in to one or more subjects. For a Group 1 School to participate, they must

- complete test orders by the published deadline (should such a process exist)

- complete pupil registration including indicating pupils working below the level of the test by the published deadline (KS2 only)

Independent Schools cannot participate in the Phonics Screening Check. If independent Schools wish to informally administer the Phonics Screening Check, they may download the materials from gov.uk after the live administration period is complete.

ToE code	Type of Establishment (ToE) Description	Obliged?		
		KS1	PSC	KS2
10	Other Independent Special School	Non-obliged	Cannot participate	Non-obliged
11	Other Independent School	Non-obliged	Cannot participate	Non-obliged

Group 2: Special Schools

These Schools are generally expected to take part unless they declare all pupils as working below the level of the tests. These Schools

- should complete test orders, including any early and late takers (KS1 and KS2)

- should complete pupil registration, including indicating pupils working below the level of the test (if available, census data will be loaded into Pupil Registration) (KS2 only)

ToE code	Type of Establishment (ToE) Description	Obliged?		
		KS1	PSC	KS2
7	Community Special School	Obliged	Obliged	Obliged
8	Non-Maintained Special School	Non-obliged	Cannot participate	Non-obliged
12	Foundation Special School	Obliged	Obliged*	Obliged*
33	Academy Special	Obliged*	Obliged*	Obliged*
36	Free Schools Special	Obliged*	Obliged*	Obliged*
55	Academy Converters (Special)	Obliged*	Obliged*	Obliged*

* Academies and free Schools are obliged where it forms part of their funding agreement

Group 3: Maintained mainstream Schools

These Schools account for the majority of Schools participating in the tests and:

- should complete test orders, including any early and late takers (KS1 and KS2)

- should complete pupil registration, including indicating pupils working below the level of the test (if available, census data will be loaded into Pupil Registration) (KS2 only)

ToE code	Type of Establishment (ToE) Description	Obliged?		
		KS1	PSC	KS2
1	Community School	Obliged	Obliged	Obliged
2	Voluntary Aided School	Obliged	Obliged	Obliged
3	Voluntary Controlled School	Obliged	Obliged	Obliged
5	Foundation School	Obliged	Obliged	Obliged
6	City Technology College	Not in age range	Not in age range	Obliged
15	LA Nursery School	Not in age range	Obliged	Not in age range
28	Academy Sponsor Led	Obliged *	Obliged *	Obliged *
34	Academy Converters	Obliged *	Obliged *	Obliged *
35	Free Schools	Obliged *	Obliged *	Obliged *
38	Free Schools - Alternative Provision	Obliged *	Obliged *	Obliged *
40	UTC	Not in age range	Not in age range	Obliged *
41	Studio Schools	Not in age range	Not in age range	Obliged*
42	Academy AP Converter	Obliged*	Obliged*	Obliged*
43	Academy AP Sponsor Led	Obliged*	Obliged*	Obliged*
54	Service Children's Education	Obliged	Obliged	Obliged

Academies and free Schools are obliged where it forms part of their funding agreement

Group 4: Other Schools (out of scope)

These Schools do not participate in KS1, PSC or KS2 tests and are therefore out of scope for delivery of this workstream.

ToE code	Type of Establishment (ToE) Description	Obliged?
18	Further Education	Non-obliged
25	Offshore Schools	Non-obliged
27	Miscellaneous	Non-obliged
29	High Education Institutions	Non-obliged
30	Welsh Establishment	Non-obliged
31	Sixth Form Centres	Non-obliged
32	Special College	Non-obliged
37	British Schools Overseas	Non-obliged
39	Free Schools 16-19	Non-obliged
56	Institution funded by other Government Department	Non-obliged

Group 5: Maintained PRU/ Secure/ Hospital Schools

These Schools tend to have pupils temporarily and the pupils may already be on role at another School. In order to participate, these Schools

- should complete test orders, including any early and late takers (KS1 and KS2)

- should complete pupil registration for, including indicating pupils working below the level of the test (if available, census data will be loaded into Pupil Registration) (KS2 only)

- download materials from NCA tools and make arrangements to administer to any children working at the level (PSC only)

ToE code	Type of Establishment (ToE) Description	Obliged?		
		KS1	Phonics	KS2
14	Pupil Referral Unit	Obliged**	Obliged**	Obliged**
24	Secure Unit	Obliged**	Obliged**	Obliged**
52	Community Hospital School	Obliged**	Obliged**	Obliged**
53	Foundation Hospital School	Obliged**	Obliged**	Obliged**

** 2016 ARA

KS1/phonics

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

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

KS2

- *Pupils studying at a PRU/secure unit or hospital school, but who are on the register of a maintained school or academy are required to take the KS2 tests. Their results should be reported by the school where the pupil is registered. It is the responsibility of maintained schools and academies to register the pupils for the KS2 tests.*

- *Pupils not on the register of a maintained school or academy that attend a PRU or hospital school are not required to take the tests. However, they are expected to receive a comparable education to a pupil in a mainstream school. Therefore it is recommended that KS2 assessments form part of their educational provision where appropriate.*

**Standards
& Testing
Agency**

TEST OPERATIONS SERVICES

Schedule 4 Part 1– Appendix 2

Statement of Requirements – Glossary of Terms

Glossary of Terms

As used in this Statement of Requirements the following terms and expressions have the meanings set out below.

Access Arrangements	Arrangements put in place for teachers to request adjustments to the Tests to enable Pupils with specific needs to access the Test(s). This may include, for example, additional time in the Test(s).
Accurate Item Level Data	Marking data from a Marker that has completed their Allocation of Test scripts/Items and who has passed all Quality Assurance stages and will therefore not be subject to Re-Marking.
Accurate Pupil Level Data	All Accurate Item Level Data assigned to the correct Pupil record in 100 per cent of cases.
Allocation(s)	The assignment of Markers to a training venue/ Supervising Marker/team, or to the volume of Items / Item Groups / components / Test Scripts a Marker is targeted to mark.
Archive Materials	Test Scripts from previous Test Cycles that exemplify Pupils performance on the Test at the National Standard for that Test Cycle.
Assessment Technical Requirement Document or ATRD	The document provided to STA by the Department STA which details the Data Exchange Specification for delivery of National Curriculum Test Results and Teacher Assessment.
Assessment and Reporting Arrangements or ARA	The guidance provided by STA annually to schools and Local Authorities for both Key Stage 1 and Key Stage 2. The guidance details statutory assessment and reporting requirements and information on administration of the Key Stage 1, Key Stage 2 Tests and Phonics Screening Check.
Automated Marking	Marking that is automatically completed through technology. It can work by students filling in 'lozenges' that are then recognized as the right or wrong answer. It can also work by recognising and rewarding the key words, phrases and structures in your work.
CE Certification Body	A Certification Body is an organisation accredited by a recognised accrediting body for its competence to issue certification confirming that an organisation meets the requirements of applicable European laws or directives and may apply the "CE" mark of conformity in that respect.
Central Marking Panel	A group of trained and standardised and Valid Markers who will mark Test Scripts or Items at a specified and serviced venue with administrative support.
Clerical Error	An error in the Live Marking process not relating to the application of the Mark Scheme (for example, if a Test Script

	image and associated marks have been matched to the wrong Pupil data record).
Clerical Markers	Markers who are not required to be qualified teachers or graduates but have been trained and passed the required Quality Assurance These Markers are only trained on and mark certain items as agreed between STA and the Supplier.
Clerical Review	A Review that takes place if there has been a Clerical Error.
Cohort	A group of Pupils taking a test at any one time.
Component	A product relating to an element of the National Curriculum Assessments Materials. A Component may be, for example, a test paper or answer booklet.
Datafeed	The electronic data file containing Data as defined in the current version of the DES.
Edubase	The Department for Education's online portal of educational establishments in England and Wales.
Exceptions	Scripts that cannot be scanned and marked onscreen.
Expected Standard	The standard a Pupil is expected to reach at the end of key stage 2. A Scaled Score of 100 on a National Curriculum Test represents the Expected Standard.
Expert Marker	Markers who are qualified teachers and have the relevant teaching experience who have been trained on and passed the required Quality Assurance.
Final Level Setting	The previous process which determined the Level Threshold Mark Point(s) for each Level to each Test. This was based upon evidence from draft Level Setting, evidence from the Judgemental Exercise and then validated by data from the current Test Cycle. (Please note: This definition is given for background information only and will be removed once the procurement process has concluded. Levels are no longer used within National Curriculum Assessment with effect from September 2015)
Final Standard Setting	The process by which the Threshold Mark(s) needed to achieve the Expected Standard is determined. Threshold Marks are set for each Subject.
First Line Support	The Helpdesk support dealing with customers directly to resolve their queries / issues.
Goal	One of Goals 1 to 16 as set out in Schedule 4 Part 1 (Statement of Requirements) by reference to which there are set out contractual requirements to be performed by the Supplier in the provision of the Services.
Graduate Marker	Markers that are educated to graduate level but are not required to be qualified teachers but will have been trained

on and passed the required Quality Assurance. These Markers are only trained on and mark certain items.

Head teacher Declaration Form or HDF

A form completed and submitted by the head teacher of each school with Pupils taking the Tests, declaring that all Tests have been administered in line with the STA issued Assessment and Reporting Arrangements.

Helpdesk

The provision by the Supplier of a dedicated support via telephone, email, fax, letter and other suitable media, to Markers, Schools or other stakeholders.

Incident Management Plan

The plan which details the steps the Supplier will follow in the event of an actual or a suspected breach of security

Indicative Marker Grade

Indicative Marker Grade refers to the provisional Marker Grade after marking has been completed but before Reviews takes place, which may impact a Markers Grade.

Item

A single element or part of a question in a Test Paper to which an individual mark(s) is/are attributed. One question may be composed of one or more items.

Item Level Data

Data which includes a mark for each Pupil in the data set for each Item in the Test.

Item Level Mark Capture

The mechanism to capture and store the mark/s awarded by a Marker for each item in the Test.

Item Response

A Pupil's response to an Item in a Test Paper.

Judgemental Exercise

The process where Test Scripts from Pupils who have achieved marks within a range defined by the STA, are compared with the Archive Materials to come to a judgment on where the current year's Threshold Mark should be set, in order to maintain standards year on year.

Key Stage 1 or KS1

A stage in the state education system, covering years 1 and 2 (which include 5 to7 year olds) during which a Phonics Screening Check is taken by all Pupils towards the end of year 1and tests in English, mathematics, Grammar Punctuation and Spelling are normally taken by 6 or 7 year olds in year 2, and Schools are required to submit teacher assessments in English, mathematics and Science, for all Pupils at the end of the stage

Key Stage 2 or KS2

A stage in the state education system covering years 3 to 6 (which include 7 to 11 year olds) during which tests in English, mathematics, Grammar Punctuation and Spelling are normally taken by 10 or 11 year olds in year 6, and Schools are required to submit teacher assessments in English, mathematics and Science, for all Pupils at the end of the stage.

KS3

Key stage 3: A stage in the education system covering years 7, 8, and 9 (which include 11-14 year olds).

Level

The measure of the ability at which a Pupil is working, scored from 1-8 for core National Curriculum Subjects. (Please note: This definition is given for background information only and will be removed once the procurement process has

	concluded. Levels are no longer used within National Curriculum Assessment with effect from September 2015)
Level threshold	The mark point boundary between two Levels. (Please note: This definition is given for background information only and will be removed once the procurement process has concluded. Levels are no longer used within National Curriculum Assessment with effect from September 2015)
Level Setting	The process to determine the mark needed to achieve a Level. Level Threshold marks are set for each Subject. (Please note: This definition is given for background information only and will be removed once the procurement process has concluded. Levels are no longer used within National Curriculum Assessment with effect from September 2015)
Live Marking	The marking of Test Scripts or Items by a Marker in a current Test Cycle. It does not include Marking as part of the Reviews process.
Live Test	A Test that is to be, or has been, taken within the current Test Cycle.
Live Test Script	A KS2 test paper that has been completed by a Pupil. in any given Test Cycle
Maladministration	Any act that could jeopardise the integrity, security or confidentiality of the tests and which could lead to test results that do not reflect the unaided work of Pupils. This can include incorrectly opening Test Papers, a Pupil cheating or changes made to Test Scripts.
Management Information	Detailed and collated data provide by the Supplier to STA, which provides visibility on the process of Operational Delivery and enables them to make operational, tactical, and strategic decisions.
Management of Risk	Risk Management refers to the systematic application of principles, an approach and a process to the tasks of identifying and assessing risks, and then planning and implementing risk responses.
Mark Capture Mechanism	The means used to capture all Item mark data for Test Scripts/Items from Markers. This may for onscreen marked Tests/Item s or for paper based Tests that cannot be marked onscreen.
Mark Point	A specific Mark within the range of Marks available for a Test Paper or Component.
Mark Scheme	Guidance on how marks are to be awarded in relation to all Items in the Test Papers. This is usually in the form of acceptable answers and 'do not allow' definitions for an Items/task, or parts of an Item /task. The Mark Scheme identifies the number of marks to be awarded for that item/task response.
Mark Scheme Training	Training delivered to Markers on how to apply the Mark Scheme.

Marker	An individual contracted by the Supplier for Live Marking for the current Test Cycle.
Marker Grade	Marker Grade refers to the performance grade awarded to a Marker based on their performance on that Test Cycle. This is based on supervisory (where applicable), administrative and marking performance.
Marker Item Level Data	Marking data from a Marker that has not completed their Allocation of Test scripts/Items.
Marker Materials	The various items of training and support documentation required by Markers to carry out their duties.
Marker Register	Contains personal information for contracted Markers,

Retained Markers not contracted for the current Test Cycle and prospective New Markers maintained by the Supplier and provided to STA at agreed intervals. |
Marker Training Plan	A plan provided by the Supplier that describes how Supervising Markers and Markers will be trained on the application of the mark scheme, supervising responsibilities where applicable and adherence to other duties outlined in Marker Contracts for agreement with STA.
Marker Retention and Recruitment Strategy	The document produced and provided by the Supplier which describes the strategy to retain high quality Markers (as determined by the Final Marker Assessment Grade) from previous Test Cycles and recruit New Markers for the marking of Tests for agreement with STA.
Marking	The marking of Test Scripts. See Live Marking.
Marking Capacity	The number of Test Scripts or Items which can be marked based upon the number of Markers and their standard Allocation within the Marking Capacity Model. As well as any additional capacity available from Pledges.
Marking Capacity Model	A model that outlines how many Markers will be contracted by the Supplier for each rank and subject with their Marking allocations to demonstrate that Return of Results can be safely met.
Marking Hierarchy	The management structure of contracted Markers as provided by the Supplier to detail (for agreement with STA) the seniority of each Marker within the Marker Rank and links Supervising Markers to their subordinates.
Marking Plan	The plan which details the proposed profile of the cumulative amount of marking to be completed each day for each Key Stage 2 subject in order to meet requirements set out in the Data Exchange Standard.
Matching	The process of matching and recording the scanned image of a Pupil's Test Script to the corresponding Pupil Data.
Missing Test Script	A missing Test Script or sub-component. An investigation is to be undertaken by the Supplier for any Missing Test Scripts. These investigations may lead to 'Lost Test Script'.

Modified Tests	Test Scripts which are adapted for Pupils with a visual or hearing impairment. There are four types of Modified Tests: Braille, Modified Large Print, Enlarged Print and Hearing Impairment (mental mathematics only).
National Curriculum	The National Curriculum is a set of subjects and standards set by government used by primary and secondary schools so children learn the same things. It covers what subjects are taught and the standards children should reach in each subject.
National Curriculum Assessments	Assessments taken by Pupils at the end of each Key Stage to formally measure a Pupil's progress and for national reporting purposes.
National Curriculum Assessments Materials	All materials associated with Key Stage 1, Key Stage 2 and the Phonics Screening Check. These include test documents and supporting materials.
National Standard	The standard a Pupil is expected to reach at the end of KS2.
NCA Tools	The website which allows schools and local authorities to access a number of modules to assist with the administration of Tests, collection of Teacher Assessment and access to Pupil's results.
New Markers	Markers that have previously not been contracted to mark any test, or have not marked the test to which they are contracted to mark in the current test cycle.
Official Statistic	A publication of statistics produced on behalf of the crown and includes National Statistics - a subset of Official Statistics which have been certified by the UK Statistics Authority as compliant with its Code of Practice for Official Statistics.
Ongoing Marker Quality Assurance	Markers are subject to ongoing quality assurance checks to ensure they remain able to apply the Mark Scheme to the required standard. This process requires Markers to mark Items within an agreed tolerance at set intervals throughout Live Marking. Markers will be stopped if they fail to mark to the agreed tolerance.
Ongoing Marker Quality Assurance Materials	The scripts or items used for Ongoing Marker Quality Assurance.
Onscreen Marking Solution or OMS	The mechanism for all KS2 Test Scripts to be made available and marked by a valid Marker onscreen within the agreed timeframe.
Onscreen Standardisation	The initial Marker Quality Assurance checks which all Markers must pass before marking live Test Items which is conducted onscreen.
Operational Delivery	Means all and any activity, service and or delivery of a product provided or managed by the Supplier following Set Up in order to meet the Statement of Requirements in accordance with the Agreement, for each Test Cycle; and as described in the Operational Delivery PID.
Operational Delivery Infrastructure	The assets including buildings, systems, data, software and documentation (including that held in Escrow); people;

	contracts and sub-contracts with its suppliers; strategies, plans and procedures and any other resources required by the Supplier or its subcontractors to undertake Operational Delivery.
PCI DSS	Payment Card Industry Data Security Standard.
Phonics Screening Check or PSC	A statutory assessment in Year 1 to make sure that all Pupils have learned phonic decoding to an appropriate standard by the age of 6.
Practice	Scripts or Items which the Markers complete as an extension of their training and to practice the application of the Mark Scheme before attempting Standardisation.
Provisional Census Data	Provisional Census refers to the Census Data that is collected before the closure of the activity each term and is not the final set.
Process Review	A Review undertaken if a school believes that due process was not followed in the Review Marking process. A School may apply for a Process Review after the return of their Review Application outcome.
Project Quality Plan	This describes the activities, standards, tools, processes and responsibilities to be used to achieve quality for delivery of the Services.
Pupil	Means a pupil attending a School and taking Tests from time to time and the term "Pupils" shall be construed accordingly.
Pupil Level Data	The personal data at individual Pupil level which is either collected from the school census data or uploaded to the Pupil Registration Website.
Pupil Record	STA Data held by the Supplier relating to a Pupil. This includes information such as name, date of birth, gender, Pupil Attendance Code, Test Results as defined in the Data Exchange Standards and the Assessment Technical Requirements Document.
Pupil Referral Unit or PRU	A Local Authority establishment which provides education for Pupils unable to attend a Maintained Mainstream School
Pupil Registration	The period in which schools confirm which Pupils included in census will be taking KS 2 tests, and register any Pupils which were not included in the school's census submission.
Pupil Registration Data	Data at individual Pupil level following completion of Pupil Registration. This is used to pre-populate attendance data for distribution to schools, to reconcile the receipt of scripts during scanning, and for reporting the outcomes of marking.
Quality Assurance or QA	The planned and systematic checks that are put in place to provide confidence and demonstrate to STA that the Service provided by the Supplier is fit for purpose and in line with the Agreement.

Re-Allocation

The Re-Allocation of marked Items from Stopped Markers, to a valid Marker to ensure they are marked accurately/in accordance with the mark scheme.

Re-Marking

Marking that is required once a Marker has been stopped due to failing on-going quality assurance. When a Marker is stopped, after failing a Quality Assurance set, the Marking for which they have been stopped on must be re-marked so that all Marking returned to schools and Pupils is to the required standard.

Required Mark Point

A specific Mark within a total score for a Test Paper or Component as specified by STA.

Re-Standardisation

The quality assurance check which all Review Markers must pass, within the agreed tolerance, to ensure that they are still able to apply the Mark Scheme to the agreed standard before attending the Review Panel.

Return of Results

The return of Key Stage 2 Test results to schools via the NCA Tools website.

Results

The outcomes of all Key Stage 2 marked Test Scripts with the Expected Standard applied.

Results Data

The Results and any data relating to the Results, including additional processing following final marking such as score standardisation, access arrangement, the results following any Reviews process, or outcome of maladministration investigation". Alternatively, perhaps we want to call it "post-marking results processing.

Results Day

The day on which Key Stage 2 Test Results are published.

Review

Schools can apply for a Review of Marking if they believe a pupil has been awarded a Level that is above or below what they are entitled to according to the Mark Scheme, or for a clerical correction if a test script has been matched to the wrong pupil.

Review Applications

Applications made by schools to have pupil's Test Scripts reviewed. Applications are made if a school believes that a pupil has been awarded a level for the Test (s) above or below what they are entitled to according to the Mark Scheme, or for a clerical correction, such as if a Test Script has been matched to the wrong pupil.

Review Item Level Mark/s

Item Level Marks following a Review.

Review Marker(s)

Markers who have been re-contracted from the current test cycle by the Supplier for the Review Marking of Test Scripts, for which an Individual Review Application has been received. These Markers will have received refresher Mark Scheme Training for Review Marking and passed Re-Standardisation.

Review Marking

The Review of the original marking of Test Scripts for which a Review Application has been received by the Supplier from a School. These will be reviewed by a Review Marker.

Review Marking Capacity Model

A model that outlines how many Review Markers will be contracted by the Supplier for each subject with their Review

	Marking allocations to demonstrate that Review Outcomes can be provided to Schools by the date stipulated by STA.
Review Outcomes	The outcome/s of a Review Application/s.
Security Management Plan	The security management plan that has been Approved by STA pursuant to paragraph 2.5.20 of Goal 1 as updated from time to time with STA's Approval.
Set-Up	The process of building and testing the Operational Infrastructure required for Operational Delivery as described in the Set-Up PID.
Scaled Score	The score achieved by a Pupil when their raw mark is converted using the raw score to scaled score conversion table. A scaled score of 100 represents the Expected Standard.
School Census	A statutory data collection for all maintained nursery, primary, secondary, middle-deemed primary, middle-deemed secondary, local authority maintained special and non-maintained special schools, academies including free schools, studio schools and university technical colleges and city technology colleges in England which is collected 3 times per calendar year on a termly basis: Spring School Census in January; Summer School Census in May and Autumn School Census in October).
Second Line Support	The support, additional guidance or clarification provided by Helpdesk managers to Customer Service Representatives.
Senior Marking Team Service Children's Education or SCE	The most senior and experienced markers. Schools for Children of British service personnel in Belize, Brunei, Cyprus, Denmark, Falkland Islands, Gibraltar, Italy, Belgium, Holland and Germany.
Single Sign on Solution for Schools	Refers to schools having one login and one password to access Systems that they will use during the Test Cycle.
Special Consideration	Teachers can apply for Special Consideration if a Pupil's performance in the KS2 Tests may be adversely affected by distressing circumstances.
Standards Maintenance	Standards Maintenance is the process by which the Threshold Mark(s) needed to achieve the National Standard is determined. Threshold Marks are set for each Subject.
Standardisation	The initial Marker Quality Assurance checks which all Markers must pass before marking live Test Items. Takes place after training and completion of Practice Scripts. All Markers must mark a set of Standardisation scripts. Each script has an Agreed Mark for each Item, with the Markers required to mark these scripts within an agreed tolerance.
Statutory Assessment Window	The specified period, as detailed in the Assessment and Reporting Arrangements, when each National Curriculum Assessment should be administered by schools.

Stopped Markers	Markers who have been stopped by the Supplier from marking after failing the required Quality Assurance checks in the Test Cycle.
Suitably Qualified Markers	Markers who hold the relevant qualification/s for the Marker role they are appointed to.
Supervising Marker	A position within the Marker Rank hierarchy. This role has Marking responsibilities and supervisory responsibilities.
Teacher Assessment or TA	The data submitted by schools from their teacher's assessment of pupil's achievement in English, mathematics and science.
Test	An individual test instrument for a Subject, which is not yet taken by a Pupil, for example Key Stage 2 mathematics Paper 1.
Test Orders	The process for ordering Key Stage 1 and Key Stage 2 National Curriculum Assessments Materials.
Test Pack	A pack of National Curriculum Assessments Materials, and associated materials
Test Paper	The entire test instrument for a Subject, which has not yet been taken by a Pupil, and which usually comprises of a number of components, for example, Key Stage 2 mathematics has three components Paper 1, Paper 2 and Paper 3.
Test Period	The period of time during which the Tests must be sat as specified by STA from time to time in relation to each Test Cycle.
Test Result	The outcomes of all Key Stage 2 marked Test Scripts.
Test Script	Any Test Paper components, answer booklets and any modified Test Scripts completed by a Pupil in a subject. A Test Script may be composed of more than one answer booklet per Component and there may be multiple components, and multiple booklets, per Test Script.
Test Week	The week in which Key Stage 2 pupils take the National Curriculum Tests.
Third Line Support	The support, additional guidance or clarification requested by the Customer Service Representative or Helpdesk manager provided by the Supplier or STA to schools to respond to a call where the First Line Support or Second Line Support has not been able to respond to the caller's question.
Threshold	The Mark Point boundary at which the Expected Standard is met when converted into Scaled Scores.
Threshold Mark Point	The Mark Point within a total score for a Test Paper or Component that determines the outcome awarded for the Pupil.

Threshold Point	The point within a total score for a Test Paper that determines the boundaries of outcomes for the overall outcome awarded for the Pupil.
Training Materials	Materials developed by the Supplier and the senior Marking Hierarchy and used to support the training of Markers.
Valid Marker	An individual who meets the specified requirements to be appointed to the role of a Marker by the Supplier. This may include Clerical Markers and Graduate Markers.
Valid Review Marker	An individual who meets the specified requirements to be appointed to the role of a Review Marker by the Supplier.

Standards
& Testing
Agency

TEST OPERATIONS SERVICES

Schedule 4 Part 1– Appendix 3

IT Health Check Requirements (Version 2.02)

Table of Contents

1. **Introduction**

   The aim of the IT Health Check (ITHC) is to provide the Department for Education (DfE) with assurance that the organisations systems, services, applications and network infrastructure are properly configured and, as far as is possible, protected from unauthorised access or change, and that they do not provide an unauthorised point of entry into your network infrastructure. This is especially important for those systems, services and applications which process and store sensitive information and are externally facing, such as websites, or, systems having onward connection interfaces and interconnections to other systems or organisations.

   All systems, services, applications and network infrastructure should be subject to an ITHC prior to their operational go-live and annually thereafter to provide assurance that no significant weaknesses exist on the network or individual systems, that could allow any device to intentionally or unintentionally affect the security of another. It is mandated that government departments shall use National Centre for Cyber Security (NCSC) CHECK Scheme ITHC Providers for all systems storing or processing information at OFFICIAL.

2. **Objective**

   To assist in the development of an effective scope of work and conducting an appropriate ITHC to support the assurance of the systems, services, applications and network infrastructure. This is equally important if the ITHC is for a new service or the renewal of assurance for an existing system, service, application or network infrastructure.

   To ensure that the business understands what constitutes 'sufficient assurance' in that suitable technical testing has been undertaken and the identified vulnerabilities have been adequately mitigated.

3. **The CHECK IT Health Check Process**

   A typical ITHC is a six-stage process. These stages include:

3.1 **Stage One – Decision.** The decision to conduct an ITHC will normally be taken in conjunction with the project and the IT Systems Assurance Team (ITSAT) and will be influenced by the sensitivity of the systems, services, applications or network infrastructure, the levels of information being processed and stored, and the potential for its exposure to unauthorised access.

3.2 **Stage Two - Statement of Work.** This is the key process, ensuring that all elements of a system, which require testing, are identified to the ITHC Provider.

3.3 **Stage Three - Confirmation of Scope.** This demonstrates that the ITHC Provider understands the requirement.

3.4 **Stage Four - The ITHC Test.** The ITHC is conducted. It is important to ensure that the information processed and stored on any system is backed up and all necessary change controls are in place before testing commences.

3.5 **Stage Five - The ITHC Report.** The findings and recommendations are reviewed and accepted.

3.6 **Stage Six – The ITHC Remediation Process.** This is a key stage of the overall process, ensuring that sufficient assurance is obtained from the mitigation decisions identified for each risk or issue.

   DfE has a call-off arrangement with an ITHC provider. As a certified CHECK provider and our trusted ITHC partner, the department will allow the connection of their laptops to DfE networks for the purposes of testing. If using other ITHC providers, you should discuss with the DDaT Security Operations Centre (SOC whether that supplier will be allowed to connect their devices or will be required to use a DfE provisioned device.

4. **The IT Health Check Scope**

Developing an appropriate ITHC Scope is an important first step to ensuring that the ITHC is a worthwhile exercise that will provide you with a correct level of assurance for the systems, services, applications or network infrastructures being tested.

It is strongly recommended that a qualified NCSC Certified Security Consultancy (CCSC) or Cyber Certified Professional (CCP) Security & Information Risk Advisor (SIRA), be retained to advise the project and develop the ITHC Scope to ensure it is both appropriate and proportional to the systems, services, applications or network infrastructures being tested.

If the business does not use the services of a qualified CCSC or CCP SIRA it should be recognised that if the ITHC Scope does not cover the required range of testing, then the IT Systems Assurance Advisor (ITSAA) or other Authority may require additional testing to be carried out to gain sufficient assurance on the security of the build and configuration of the systems, services, applications or network infrastructure.

4.1 Internal ITHC Testing

An internal ITHC, regardless of scale, is essentially a vulnerability scan to ensure the correct configuration of systems, services, applications and network devices. As a minimum an internal ITHC should include:

- A review of the desktop and server build and configuration; network management security check. This should include checks to ensure that user access permissions, including system to system accesses, are set accordingly; that the password system is configured correctly and events are being logged for audit purposes.

- Ensure default logon credentials have been changed for software down to server level.

- A review of security patches and software updates at the operating system, application and the firmware level.

- A review of all system, service or application interfaces and interconnections to ensure that these are configured as expected and unauthorised access is not possible.

- A review of the configuration of remote access solutions, this is particularly important if the device being tested is part of a mobile solution giving access to your internal network resources and information.

- Confirm the build and configuration of laptops and other mobile devices such as phones and tablets used to access DfE information and systems.

- Check the operation of any internal security gateways, ensuring that all components, such as firewalls, intrusion detection, content checking and anti- virus, plus any protocol breaks are operating as expected.

- Check any wireless network configuration; ensure that these are configured as expected and unauthorised access is not possible.

These scans will look to provide assurance that your internal systems have been configured in a secure manner and have been properly maintained. The ITHC or vulnerability scanning should cover the entire environment to be tested including end-points, thick and thin clients, servers, network devices and appliances.

4.2 System Sampling

It is normal for **all** components of the solution to be tested to be included within the scope of work. However, in areas with a large number of devices, a representative sample may be acceptable on the proviso that the sample covers all capabilities and functions of the solution. The size of the sample will normally be no less than **20%** of the environment to be tested.

4.3 Build Testing

Where a defined secure build exists that has been subject to its own ITHC, and not modified post testing, has been used in the build of the solution it is acceptable to reduce the scale of the ITHC to a randomly selected representative sample of the solution being tested. It is essential that the testing should capture at least one or two examples of each component or build type within the overall solution to validate the use of the build throughout the solution.

If, however, it is identified either before or during the ITHC, that the build has been modified or has not been universally applied, the ITHC scope of work shall be revised to encompass a much wider sample of the solution. This is likely to involve the cancellation of the test and re-scheduling with any additional days required added to the scope of work. The cost of any such revision of the scope shall be borne by the project.

4.4 Application Testing and Code Review

The primary objective of an application test and code review is the assurance that any security enforcing controls are effective, appropriate and proportionate. This may be through a combination of code and application reviews. A code review includes any bespoke code that has been written to provide security enforcing controls. These could include (but not limited to):

- The authentication model

- Security of credentials in transit and at rest

- Role Based Access Control (RBAC)

- Data leakage/customer data separation

- Database connectivity

- Where it is proposed to share code in a code repository such as Github or BitBucket, testing of access controls, exposure of sensitive code and code approval procedures e.g. code reviews and checks before new code is uploaded.

Application tests would normally include the following:

- Testing to validate application is free from known vulnerabilities and configuration errors

- Testing to validate that unauthenticated users cannot view, modify, or delete data in an unauthorised manner

- Testing to validate that authorised users cannot view, modify, or delete data in an unauthorised manner, gain access to unauthorised functionality or escalate their privileges

- Review of application logic, access controls and authentication mechanisms

- Alignment with security hardening best practice (CIS or equivalent)

- Vulnerability scanning of exposed surfaces

- Testing to validate https is enforced

- For web applications, assessment against the OWASP top 10 2013 and OWASP top 10 2017 critical application vulnerabilities. See https://www.owasp.org/index.php/Category:OWASP_Top_Ten_Project

- Testing of interactive web pages within the application

4.5 External ITHC Testing

In addition to the internal testing an external ITHC or Penetration Test shall be carried out on all systems that provide access beyond the boundary of the environment or network infrastructure. The testing shall include any security enforcing controls or devices which are in place to protect the business from unauthorised access from its third-party connections. For example: the operation of any externally facing proxies or security gateways, ensuring that all components, such as firewalls, intrusion detection, content checking, malicious code and anti-virus devices and any protocol breaks are operating as expected.

All third-party suppliers with access to any departmental systems, services, applications and network infrastructures from their own offices or support locations as part of their provision of service must be considered as an external connection and tested accordingly. Further advice as to what should be included in an external test should be sought from a qualified CCSC or CCP SIRA or the ITSAA.

5.   The ITHC Report

The output of the ITHC shall be a report by the ITHC Provider that contains a clear summary of the number, type and severity of the issues discovered during the testing of the target systems, services, applications or network infrastructures. As a minimum the ITHC Report shall contain the following:

- Details of the individuals involved in completion of the ITHC.

- The background, scope and context of the ITHC.

- A unique identifier for each risk or issue detailed in the report.

- Each risk or issue discovered should be accurately described and explained.

- Each risk or issue should be assigned an impact and probability score from which a risk value; normally expressed as being; high, medium, low or information, may be derived

- Where possible a Common Vulnerability Scoring System (CVSS) base score should be included. This requirement is mandated for ITHC reports covering the PSN.

- Each risk or issue discovered should be accompanied by a clear recommendation for remedial action; this recommendation may include a short-term fix which may be appropriate while a permanent solution is developed.

6.   The ITHC Remedial Action Plan

An ITHC Remedial Action Plan (RAP) shall be compiled from the ITHC Report, using the format shown at Annex A to this document. It is expected that all Critical, High and Medium risks will be fully mitigated before any new systems, services, applications and network infrastructures are permitted to go-live.

The expectation for the remediation of risks and issue on any pre-existing systems, services, applications and network infrastructures is that full remediation of Critical, High and Medium risks shall be completed within two months of the report date.

Subject to agreement between the ITSAA and the Senior Responsible Owner (SRO), any Low and Very Low risks and issues on both new and pre-existing systems, services, applications and network infrastructures may be addressed by a suitable Business As Usual (BAU) Risk Action Plan (RAP) to be completed within three months of the date of the report. The acceptance or mitigation decisions designed to address the notified risks and issues at all levels of risk must be fully justified by the business within the RAP.

7.   ITHC Provider Selection

The NCSC provides further details of the CHECK Scheme and information on suitably qualified ITHC Provider companies on their website. See CHECK providers listing

[THIS ANNEX A SHALL BE POPULATED BY STA DURING SET-UP IN ACCORDANCE WITH DSAM]

DfE Security Assurance Model - ITHC Remedial Action Plan

IT Health Check Remedial Action Plan for: **[Enter Report Reference and System, Service or Application Name]**

Report Date: **[Enter Report Date]**

DSAM Form 3 - v2.0

Risk Rating	Total Count	Open	Accepted	Closed
Critical	0	0	0	0
High	1	0	0	1
Medium	0	0	0	0
Low	0	0	0	0
Very Low	0	0	0	0
Information	0	0	0	0
Totals	1	0	0	1

When changing the Status in column F Just Type, Open, Closed or Accepted the Status will update accordingly

When changing the Residual risk Indicator in Column M Just Type, High, Medium, Low or Very Low the RRI status will update accordingly

Finding No.	Impact	Likelihood	Overall Risk	Status	Finding	Hosts	Recommendation	Planned Mitigation	Planned Completion Date	Actual Mitigation	Owner	Actual Closure Date	Residual Risk Indicator	Initial ITSAT Assessment
			High	Closed									High	

SCHEDULE 4 PART 2: DEPENDENCIES

Key

- Ref – A unique reference for each Dependency
- Year – States in which Contract Year or Contract Years each Dependency should be fulfilled by STA
- Title – A short description of the Dependency
- Key – Confirms whether or not the Dependency is a Key Dependency
- Description – A fuller description of the Dependency
- Milestone(s) Impacted – Where the Dependency is a Key Dependency, confirms which Milestone(s) will be impacted
- Service(s) Impacted – Describes which part of the Services would be materially impacted by the STA's failure to fulfil a Dependency (note: applicable to all Dependencies and certain Key Dependencies)
- Proposed Delivery Date – The date by which, according to the version of the Set-Up Plan or Operational Delivery Plan t, the Dependency should be fulfilled. Please note that the Year 1 and 'Each Year' dates have been set in accordance with the Year 1 Operational Delivery Plan in Schedule 2 (Operational Delivery Plan) and will need to be updated for each subsequent Test Cycle
- Rationale for Timetable – Describes the rationale for the stated timeframe within which the STA is required to fulfil the Dependency
- Supplier Mitigation Measures – Where the Supplier believes it is feasible to implement measures to mitigate the Dependency, a description of what those measures are.
- Latest Date to Start Mitigation – Where mitigation measures are feasible, the latest date for commencing such measures.
- Last Date – Supplier's View consistent with the Set-up Plan or Operational Delivery Plan of the date after which the STA's failure to fulfil a Dependency will result in a Key Milestone being missed (if a Key Dependency) or there would be a material impact on the Supplier's ability to deliver the Services (if a Dependency).

Dependency Table

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP02	Contract Year commencing 1st September 2018	Subset of NCA Tools users data	N	As part of the Set-up of the TOpS Portal the Supplier wishes to plan and execute a simulated migration of NCA Tools user data (excluding passwords) that is as similar to the migration that will be performed prior to the 2020 Test Cycle as possible	None	Goal 1 Set-up and Mobilisation of Operational Delivery (SoR 2.5.2)	12/10/2018	Provide sufficient time to: a) assess the data structure and data quality. b) plan the activities required to address any data issues. c) demonstrate to STA that a smooth transfer from NCA Tools to the TOpS Portal will be achieved for the 2020 Test Cycle.	The Supplier would create and use dummy data to prove the mechanisms work, although this would not be capable of providing STA with the equivalent level of confidence in the transfer of the actual NCA Tools data.	15/10/2018 To be finalised in Set-up Plan	15/10/2018 To be finalised in Set-up Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP0 3	Contract Year commencing 1st September 2018	Provision of Marker Register	N	The Supplier wishes to plan and execute a practice migration of anonymised Marker data that is as similar as possible to the migration that will be performed prior to the 2020 Test Cycle	None	Goal 1 Set-up and Mobilisation of Operational Delivery (SoR 2.5.2)	12/10/2018	Provide sufficient time to: a) assess the data structure and data quality. b) plan the activities required to address any data issues. c) demonstrate to STA that a smooth transition of Markers will be achieved for the 2020 Test Cycle.	The Supplier would create and use dummy data to prove the mechanisms work, although this would not be capable of providing STA with the equivalent level of confidence in the transition of Markers	15/10/2018 To be finalised in Set-up Plan	15/10/2018 To be finalised in Set-up Plan
DEP0 4	Contract Year commencing 1st September 2019	Provision of Marker Register	Y	An extract of the Marker Register that has been updated with Indicative Marker Grade for the 2019 Test Cycle, together with consent for the Supplier to use the Markers' data.	KM3 The required number of Markers contracted [16/04/2020]¹	Goal 4 Marker Recruitment (SoR Goal 4 1.5 and 2.3)	[17/09/2019]	To facilitate the identification of Markers who have failed to mark to standard and should not be invited to participate in the delivery of the 2020 Test Cycle by the Supplier. To support the smooth transition of Markers to the Supplier and the	The Supplier would need to modify its recruitment strategy and agree with STA the criteria to be used in the identification of suitable Markers for the 2020 Test Cycle.	[01/10/2019 for MPLs and AMPLs] [31/10/2019 for Markers] To be finalised in the Operational	[December 2019] for final Marker Grade To be finalised in the Operational Delivery Plan

¹ Dates in square brackets in the format [dd/mm/yyy] indicate that the date is indicative and will be finalised during Set-up

Ref	Title	Contract Year	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
								retention of Markers' knowledge and experience to the benefit of STA.		Delivery Plan	
DEP05	NCA Users Data	Contract Year commencing 1st September 2019	Y	An extract of the then current NCA Tools users (excluding passwords) to facilitate a password reset process being used by Schools, local authorities and STA users to gain access to the TOpS Portal, as opposed to having to re-register.	None	Goal 11 Operational Systems (SoR Goal 11 1.1, 1.12 and 3.1)	[06/06/2018]	Provides an extract of current data. Data will be used to support proactive communications in respect of the TOpS Portal that will commence at the start of the 2020 Test Cycle (in accordance with an agreed Communications Strategy).	Supplier would need to develop an alternative communications strategy to publicise the need for NCA Tools users to register on the TOpS Portal.	[13/08/2018] To be finalised in the Operational Delivery Plan	[02/09/2018] To be finalised in the Operational Delivery Plan

Services Agreement for the Delivery of Test Operations Services

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP06	Each Contract Year	Publication of Assessment and Reporting Arrangements (ARA)	N	The Supplier is reliant on this critical publication that contains key dates for the Test Cycle in order to create plans that meet the timescales communicated to Schools	KM2 production and logistics Plan [30/10/2019]	Goal 2 Manufacture of NCA Materials (SoR Goal 2: 2.4)	[27/09/2019]	To effectively prepare the production and logistics Plan. To provide assurance to STA that the deadlines for the Test Cycle have been provided for.	The Supplier would need to develop the production and logistics on the basis of a set of assumed dates that it would agree with STA. Following publication of the ARA, the Supplier would perform an impact assessment on the production and logistics Plan and agree any changes with STA.	[11/10/2019] To be finalised in the Operational Delivery Plan	[25/10/2019] To be finalised in the Operational Delivery Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP07a	Contract Year commencing 1st September 2019	Historic Census Data This covers: ▪ Autumn census data for KS1, KS2 and PSC (e.g. pupil cohort data) ▪ Spring census data for KS1 and KS2 ▪ Spring census data for Phonics	N	The Supplier will use this data to prepare the production and logistics Plan. This data supports Pupil Registration (the pre-population of relevant Pupil data to assist Schools and local authorities in this process where they are not uploading from their local MIS system.	None	Goal 2 Manufacture of NCA Materials (SoR Goal 2: 1.1, 2.2, 2.3, 2.4 and 2.5) Goal 11 Operational Systems (SoR Goal 11: 2.7 and 2.10)	[27/09/2019] Historic Autumn census data for KS1, KS2 and PSC (e.g. pupil cohort data) [06/02/2020] Provisional Spring census data for KS1 and KS2 [06/02/2020] Provisional Spring census data for Phonics	Provides sufficient time to complete the preparation of the Production and Logistics Plan. Provides sufficient time to order and mobilise the resources required to manufacture, collate and deliver the National Curriculum Assessment Materials Provides sufficient time to modify the Pupil Registration forms (as no pre-populated data will be available) and prepare alternative communications plans for Schools.	The Supplier would use available summary level data to prepare the Production and Logistics Plan. The Supplier would support Pupil Registration but without the pre-population of relevant Pupil data.	[11/10/2019] Autumn census data for KS1, KS2 and Phonics [25/02/2020] Provisional Spring census data for KS1 and KS2 [25/02/2020] Provisional Spring census data for Phonics To be finalised in the Operational Delivery Plan	[first week in December] Autumn census data for KS1, KS2 and Phonics [22/03/2020] Spring census data for KS1 and KS2 [25/03/2020] Spring census data for Phonics To be finalised in the Operational Delivery Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP0 7b	Each Contract Year following the Contract Year commencing 1st September 2020	census Data This covers: ■ Provisional Autumn census data for KS1, KS2 and PSC (e.g. pupil cohort data) ■ Spring census data for KS1 and KS2 ■ Spring census data for Phonics	N	The Supplier will use this data to prepare the production and logistics Plan. This data supports Pupil Registration (the pre-population of relevant Pupil data to assist Schools and local authorities in this process where they are not uploading from their local MIS system.	None	Goal 2 Manufacture of NCA Materials (SoR Goal 2: 1.1, 2.2, 2.3 and 2.4) Goal 11 Operational Systems (SoR Goal 11: 2.7 and 2.10)	[September] Forecast of Autumn census data for KS1, KS2 and PSC (e.g. pupil cohort data) [February] Provisional Spring census data for KS1 and KS2 [February] Provisional Spring census data for Phonics	Provides sufficient time to complete the preparation of the production and logistics Plan. Provides sufficient time to order and mobilise the resources required to manufacture, collate and deliver the National Curriculum Assessment Materials Provides sufficient time to modify the Pupil Registration forms (as no pre-populated data will be available) and prepare alternative communications plans for Schools.	The Supplier would use available summary level data to prepare the production and logistics plan. The Supplier would support Pupil Registration but without the pre-population of relevant Pupil data.	[October] Autumn census data for KS1, KS2 and Phonics [February] Provisional Spring census data for KS1 and KS2 [February] Provisional Spring census data for Phonics To be finalised in the Operational Delivery Plan	[first week in December] Autumn census data for KS1, KS2 and Phonics [February] Provisional Spring census data for KS1 and KS2 [February] Provisional Spring census data for Phonics To be finalised in the Operational Delivery Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP08	Each Contract Year	Sample KS2 Artwork	N	Sample KS2 Artwork for print reassurance and barcode test		Goal 6 Marking incl. Quality Standards (SoR 1.1, and 1.10) Goal 10 Management of Operational Delivery (SoR Goal 10 2.8)	[02/09/2019]	Supplier will use these draft materials to perform an end-to-end volume test to demonstrate the scanning of Test Scripts and their indexing to MarkManager and presentation of correct segments for onscreen marking. The end-to-end test allows Supplier to validate its resourcing plans in the scanning centre and assumptions in the Marking Capacity Model.	The Supplier would use previous materials to complete the scanning volume test only.	[23/09/2019] To be finalised in the Operational Delivery Plan	[04/10/2019] To be finalised in the Operational Delivery Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP0 9	Each Contract Year	Key Stage 1 Production Files This covers the availability of the following production files: ▪ Mathematics ▪ English GPS ▪ English Reading ▪ Modified	Y	Provision of final versions of the Key Stage 1 National Curriculum Assessment Materials for printing	KM4 Completion of Delivery of National Curriculum Assessment Materials to Schools [04/06/2020]	Goal 2 Manufacture of National Curriculum Assessment Materials (SoR Goal 2: 1.1, 2.2, 2.5 and 2.8) Goal 10 Management of Operational Delivery (SoR Goal 10: 2.8) With a consequential impact on all printing, collation and delivery related services)	[20/12/201 9] Mathematics [13/01/202 0] English GPS [22/01/202 0] English Reading [02/12/201 9] Modified	The Supplier is reliant on these files in order to print the National Curriculum Assessment Materials Printing is on the critical path of the Operational Delivery Plan and this is reflected in the proposed delivery dates.	The Supplier will work with STA to develop an alternative production and logistics Plan but without the final production files, the Supplier would not be able to undertake the printing.	[January] To be finalised in the Operational Delivery Plan	[January] To be finalised in the Operational Delivery Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP10	Each Contract Year	Key Stage 2 Production Files This covers the availability of the following production files: • Mathematics • English GPS • English Reading • Modified	Y	Provision of final versions of the Key Stage 2 National Curriculum Assessment Materials for printing	KM4 Completion of Delivery of NCA Materials to Schools [04/06/2020]	Goal 2 Manufacture of NCA Materials (SoR Goal 2: 1.1, 2.2, 2.5 and 2.8) Goal 10 Management of Operational Delivery (SoR Goal 10: 2.8) With a consequential impact on all printing, collation and delivery, collection and marking related services)	[27/01/2020] Mathematics [13/02/2020] English GPS [17/02/2020] English Reading [02/12/2019] Modified	The Supplier is reliant on these files in order to print the National Curriculum Assessment Materials. Printing is on the critical path of the Operational Delivery Plan and this is reflected in the proposed delivery dates.	The Supplier will work with STA to develop an alternative production and logistics plan but without the final production files, the Supplier would not be able to undertake the printing.	[February] To be finalised in the Operational Delivery Plan	[February] To be finalised in the Operational Delivery Plan

Ref	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
Contract Year										
DEP1 1	PSC Production File	Y	Provision of the final version of the PSC Test materials for printing	KM4 Completion of Delivery of NCA Materials to Schools [04/06/2020]	Goal 2 Manufacture of NCA Materials (SoR Goal 2: 1.1, 2.2, 2.5 and 2.8) Goal 10 Management of Operational Delivery (SoR Goal 10: 2.8) With a consequential impact on all printing, collation and delivery related services)	[13/03/202 0]	The Supplier is reliant on these files in order to print the National Curriculum Assessment Materials. Printing is on the critical path of the Operational Delivery Plan and this is reflected in the proposed delivery dates.	The Supplier will work with STA to develop an alternative production and logistics plan but without the final production files, the Supplier would not able to undertake the printing.	[March] To be finalised in the Operational Delivery Plan	[March] To be finalised in the Operationa l Delivery Plan
Each Contract Year										

Ref	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
DEP12 Each Contract Year	KS2 Mark Schemes This covers Mark Schemes for National Curriculum Assessment Materials covering: ▪ Mathematics ▪ English GPS ▪ English Reading ▪ Modified	Y	Provision of the final KS2 Mark Schemes and pre-technical National Curriculum Assessment Materials	KM5 Completion of Marker training and readiness for Live Marking [29/05/2020]	Goal 5 Marker Training (SoR Goal 5: 2.3, 2.4, 2.5, 2.6 and 2.7) Goal 10 Management of Operational Delivery (SoR Goal 10: 2.8)	[01/11/2019]	The Supplier needs the KS2 Mark Schemes in order to: a) develop training materials (item level commentaries regarding application of the Mark Scheme) b) adequately trial the training materials and respond to feedback	The Supplier will work with STA to develop an alternative training plan to adjust the timing of the development of training materials and, potentially the delivery of training events	[08/11/2019] To be finalised in the Operational Delivery Plan	[13/11/2019] To be finalised in the Operational Delivery Plan
DEP13 Each Contract Year	KS2 Mark Ranges for Judgemental Exercise	Y	Provision of KS2 Mark ranges	KM7 Provision of Results Data and Return of Test Scripts [14/07/2020]	Goal 7 Judgemental Exercise (SoR Goal 7 1.1	[26/06/2020]	The Supplier is reliant on receiving the KS2 mark ranges to enable the Judgemental Exercise to be performed.	The Supplier could provide STA with the results of its Judgemental Exercise Preparation activities (Test Scripts for an assumed mark range) so that it could make a determination on the	[26/06/2020] To be finalised in the Operational Delivery Plan	[26/06/2020] To be finalised in the Operational Delivery Plan

Ref	Contract Year	Title	Key	Description	Milestone(s) Impacted	Service(s) Impacted	Proposed Delivery Date	Rationale for Timetable	Supplier Mitigation Measures	Latest Date to Start Mitigation	Last Date
									approach to be taken.		
DEP14	Each Year	KS2 raw score to scaled score conversion table	Y	Provision of the KS2 raw score to scaled score conversion tables	KM7 Provision of Results Data and Return of Test Scripts [14/07/2020]	Goal 6 Marking (SoR Goal 6: 2.2) Goal 9 Data (SoR Goal 9: 2.3) Goal 10 Management of Operational Delivery (SoR Goal 10: 2.8)	[03/07/202 0]	The Supplier is reliant on receiving these tables in order to calculate and publish results to Schools and provide data to STA	The Supplier will work with STA to identify what options may be available in the event that STA is unable to provide the raw score to scaled score conversion table, which may include delaying the Return of Results.	[06/07/202 09] To be finalised in the Operational Delivery Plan	[07/07/202 0] To be finalised in the Operationa l Delivery Plan

Product Description	
Product Title:	**Test Cycle Year:**
Product Reference No.:	**Version:**

Product Stakeholders: *The persons who have a role to play / interest in the product (development or end product)*

Organisation	Name and Contact Details	Role

Unless otherwise expressly stated to the contrary, capitalised terms used and not defined herein shall have the meanings given to them in the Agreement.

Purpose:

This defines the purpose that the product will fulfil and who will use it; why do we need this product?

Composition:

Description (include a list of the parts/elements of the product where necessary). This should include the scope of the product together with a list of expected deliverables that will contribute to the overall delivery of the product. (NB for particularly complex products consider the need for separate Product Descriptions for sub-products). This is about features of the product not quality criteria, e.g. for a document it would state what sections would be included or topics should be covered.

Contractual Dependencies

As identified in the Agreement

Contractual Dependencies

As identified in the Agreement

Additional Dependencies :

A dependency is something that product creation relies upon that is outside of the project's direct control. For instance release of key data that will be used to populate a database. This should not be used to describe sub-contractor activity as this should be under your control via the contract that you have with them, nor should it refer to upstream or downstream deliverables (see next sections).

Upstream products and deliverables:	**Downstream products and deliverables:**
What products or deliverables of products are required for this product or its deliverables to be successfully created? Please provide an explanation in laymen's terms of the nature of the relationship.	*What downstream products or deliverables of products will be reliant on the successful creation of this product or its deliverables? Please provide an explanation in laymen's terms of the nature of the relationship.*

External Services:

Are any parties external to the supplier required to participate in or exclusively create products or deliverables? If so please provide an explanation of the management of handover points between that third party, the supplier and STA.

Management Information:

Please describe the management information that will be produced in relation to the creation of this product. This should include:

- the *information that will be presented at Operational Checkpoint Meetings, the content of which should be high level, tell its own story and be suitable for staff with limited technical knowledge or knowledge of the test cycle.*
- *Any more detailed management information that will be shared at working level between technical specialists*

Relevant SOR mapping information:

Milestones:

(The dates for the following Milestones shall be those set out in the associated Milestone Plan)

Milestones should include all key activity in the creation of the product, including handoffs between parties and quality review activity. Milestones should be categorised as Reporting milestones (which will be reported on at the weekly checkpoint meetings) or Activity tracking milestones (e.g. review progression milestones etc).

Milestones Description	**Milestone Type**
Milestones should be able to stand alone and be understood, therefore wording should be carefully considered.	*Reporting or Activity*

REF	QUALITY CRITERIA	QUALITY METHOD	PRODUCER	REVIEWER(S)	APPROVER
PD_Q# e.g. 1.2_Q1	Criteria that must be satisfied for the product to be completed and accepted before sending to STA for approval. Criteria should be SMART wherever possible and should describe on what basis you will consider the product or deliverable to be fit for purpose. Criteria should be documented for all deliverables.	Activity that will be undertaken to ensure that the product / deliverable meets the quality criteria.	Who is responsible for producing the product / deliverable for checking?	Who will review the product deliverable to check its fit for purpose and meets the requirements?	Who will provide approval of the product deliverable as being ready for sending to STA?

REF	ACCEPTANCE CRITERIA	ACCEPTANCE METHOD	REVIEWER(S)	APPROVER
PD_Q# e.g. 1.2_Q1	Criteria that must be satisfied for the product to be accepted. Criteria should be SMART wherever possible. They should describe on what basis we will sign off the product or deliverable as being fit for purpose. Criteria should be documented for all deliverables that require STA approval.	Activity that will be undertaken to ensure that the product / deliverable meets the acceptance criteria.	Who will review the product deliverable to that it meets the acceptance criteria?	Who will provide final approval of the product deliverable?

SCHEDULE 4 PART 4: PRODUCT BREAKDOWN STRUCTURE AS DESCRIBED IN PRINCE 2

Product Breakdown Structure   -   Set-Up

Product Breakdown Structure   -   Operational Delivery