### Standards and Testing Agency

## TEST OPERATIONS SERVICE 2025

**Appendix A – Statement of Requirement**

## Background Information

**Standards and Testing Agency**

The Standards and Testing Agency (STA) is an executive agency, sponsored by the Department for Education (DfE). Its primary purpose is to provide an effective and robust testing, assessment and moderation system, to measure and monitor Pupils’ progress through primary School, from reception to the end of Key Stage 2 (KS2).

STA is responsible for the development and delivery of National Curriculum tests and assessments in England, under statutory instruments, on behalf of the Secretary of State for Education. STA is regulated by Ofqual for our work on National Curriculum Assessments (NCAs).

In carrying out these functions, STA:

* develops and implements assessment policy in England, in line with ministerial priorities
* develops high-quality and rigorous National Curriculum tests and assessments, in line with government policy
* develops pre-key stage standards for the assessment of Pupils working below the standard of the National Curriculum
* undertakes Operational Delivery of NCAs (including printing, distribution, supporting test administration, provision of Systems, Marking and data capture and investigations of Maladministration)
* sets and maintains test standards, including standards related to Marking
* produces test administration guidance for the Reception Baseline Assessment (RBA), Phonics Screening Check (PSC), Multiplication Tables Check (MTC), Key Stage 1 (KS1) and KS2 tests
* produces administration guidance and exemplification materials for KS1 in science, mathematics and English writing, and English writing and science at KS2, to support Teacher Assessment
* supports the moderation of Teacher Assessment judgements of Pupil performance so the data it generates is reliable and can be used for national statistics and in School accountability measures

The STA outsources the delivery of key aspects of NCAs to an external supplier, with the current contract ending upon the completion of the 2024-25 Test Cycle.

Further information about STA and NCAs can be found on [GOV.UK](https://www.gov.uk/government/publications/standards-and-testing-agency-annual-report-and-accounts-2021-to-2022).

**Key stages**

The National Curriculum is organised into blocks of years called ‘key stages’. At the end of each key stage, Schools formally assess Pupils’ performance. The key stages in scope of this contract are:

* KS1 – the stage in the state education system, covering years 1 and 2 (which predominantly includes 5 to 7 year olds). Currently, a Phonics Screening Check is taken by all Pupils towards the end of year 1 and tests in English reading, English grammar, punctuation and spelling, and maths are normally taken by 6 or 7 year olds in year 2. Schools are required to submit Teacher Assessments in English reading and English writing, mathematics and Science, for all Pupils at the end of the stage.
* KS2 – the stage in the state education system covering years 3 to 6 (which predominantly includes 7 to 11 year olds). Currently, a Multiplication Tables Check is normally taken in year 4 (MTC is out of scope of this contract), with English reading, English grammar, punctuation and spelling, and maths normally taken by 10 to 11 year olds in year 6. Schools are required to submit Teacher Assessments in English writing and Science, for all Pupils at the end of the stage.

Test Operations Service 2025

This procurement exercise is to secure a supplier to deliver NCAs from the 2025-26 Test Cycle onwards. It is anticipated that the contract will be awarded in early 2024, to allow sufficient time for Set-Up.

The current assessments in scope of the service are the Phonics Screening Check, end of KS1 NCAs and Teacher Assessment, end of KS2 NCAs and Teacher Assessment in English Writing and Science.

Although the delivery of the Multiplication Tables Check is out of scope, the NCA Helpline does provide First Line Support to Schools, Local Authorities and Multi-Academy Trusts in relation to the administration of the check.

The delivery of the Reception Baseline Assessment (RBA) is another assessment that is out of scope. Although First Line Support for the RBA will be provided by another provider, calls may naturally be made to the NCA Helpline and so initial handling, and transfers will be required to the appropriate provider.

For successful delivery, the Authority expect that the Supplier will undertake the following core functions of the service set out below:

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| **Function** | **Responsibilities** |
| Printing | * Plan the sourcing and production of NCA Materials for all participating Schools * Manufacture PSC, KS1 and KS2 test materials for Schools with appropriate contingency volumes * Manufacture KS2 Marker Materials where applicable |
| Logistics and scanning | * Collate and distribute test materials to around 16,500 Schools * Distribute KS2 Marker Materials to KS2 Markers * KS2 post-test logistics (collect Test Scripts from Schools, scan and distribute to Markers: Test Scripts/scanned images returned to Schools) * KS2 scanning of Pupil scripts and matching services |
| Marking | * KS2 Marker recruitment and management * KS2 Marker training (developing materials and delivering training) * KS2 onscreen Marking provision * KS2 script Marking management and mark capture * Support KS2 test standard setting * Provide a KS2 Review Marking service * Support Maladministration processes |
| Helpline | * Provide Helpline for Markers, Schools and other Users to access advice and support through various media channels * Manage activity peaks between April to July each Test Cycle * Manage indicative Helpline volumes |
| Data | * Provide STA with access to Accurate, Complete and Valid data, including KS2 Assessment Data Outputs * Ensure a bespoke, flexible data architecture to account for data requirements, and operational and User needs * Test and assure all data for associated business processes and Systems |
| Systems | * Provide an Online System and an Onscreen Marking System and ensure availability to Users * Adhere to relevant security and privacy requirements |

**Assessment services to other countries:**

Since 2017, DfE have provided education services to Jersey Education (on a cost-recovery basis) to provide KS2 NCA services for their c.30 primary schools and c.1,100 pupils. This has primarily involved the distribution of KS2 assessments to the Island, collection of completed Test Scripts, marking and return of results services. The commitment to provide these services are re-agreed each year between the DfE/STA and Jersey Education via a Memorandum of Understanding, which confirms the Services to be provided and the costs to be recovered. The implementation of these Services within this Agreement (to Jersey Education, or any other country making such a request) would be governed through the Change Control Procedure.

**How assessment data is used**

Assessment data is critical to the STA and DfE, and it is vital the data produced is reliable and trusted, so that attainment and progress can be measured fairly and accurately.

On receipt of KS2 data, it is passed to the DfE who use it to publish School level results of primary School tests and assessments on the KS2 performance measures website[[1]](#footnote-2). DfE also produce and share securely, KS2 School level results with primary Schools, academy trusts, Local Authorities and Ofsted for School improvement purposes and to inform inspection. Primary Schools are also able to access their own performance data via the schools checking exercise and Analyse School Performance[[2]](#footnote-3).

National, regional, Local Authority and School level KS2 performance data will be published in 2023, including by Pupil and School characteristics.

KS2 results from 2022/23 will also be used to calculate Progress 8 baselines for future institution-level progress measures.

## Requirement 1: Set-Up and Mobilisation

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| **ID** | **Main Requirement** | **Supporting Information** |
| 1.1 | By the end of the Set-Up period, the Supplier must have implemented all Set-Up requirements to ensure that the Operational Delivery Infrastructure is established for year 1 delivery. This must be implemented in accordance with the Set-Up Project Initiation Document (PID) Suite and Plan, and any testing and assurance strategy(s) and plan(s) as set out in the Supplier’s solution.  Testing and assurance must demonstrate that the Operational Delivery Infrastructure can output all data as specified in the associated sub-requirements and in accordance with the Operational Test Strategy and Plan and the Assurance and Business Readiness Strategy, for the entire Service, end to end. All Systems including the Online System(s) and Onscreen Marking System must have identified test instruments against the volumetrics on which the Supplier’s solution is based (as the same may be varied by agreement with STA).  At the start of each Test Cycle (as agreed within the Operational Delivery Plan), the Supplier must have implemented all Mobilisation requirements and evidenced that the Operational Delivery Infrastructure has incorporated lessons learned (where applicable) and is ready for delivery of the forthcoming Test Cycle. | The Supplier must evidence through the testing and assurance execution that all data outputs (KS2 Assessment Outcome data, any other Derived Data, and Management Information (MI) adhere to the format and frequency set out in the individual sub-requirements and to the quality standards and acceptance criteria as per STA’s agreement. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| **Resource, People, Sub-contractors, Location and Materials** | | |
| 1.1.1 | The Supplier must have in place from the Set-Up Commencement Date sufficient experienced and accredited project and risk managers to manage and control Set-Up, and have certified experts that include, but are not limited to a data architect, solution architect and technical architect (as set out in the Supplier’s solution).The Supplier must ensure that full consideration is given to the staffing and resource of the Agreement in its operational phase when considering Set-Up staff to ensure that there is no detriment to the Service as it moves between the two phases. |  |
| 1.1.2 | The Supplier must ensure that sub-contractor contracts are put in place from the Set-Up Commencement Date and must ensure that all sub-contractors play an active role in planning and delivering Set-Up, and in Mobilisation for year 1 of Operational Delivery. |  |
| 1.1.3 | The Supplier must ensure that all locations listed within the Service are either available or will be made available prior to Set-Up activity in that area commencing. This must be evidenced through the list of Approved locations and Set-Up Delivery Plan. |  |
| 1.1.4 | The Supplier must provide detail of the operational equipment that needs to be purchased during the Set-Up phase and provide a time-bound plan for when this will be delivered prior to the commencement of the delivery of Set-Up activity. This may include but not be limited to IT hardware, IT software, scanning equipment, printers. |  |
| 1.1.5 | The Supplier must provide their policy and processes for workforce training, development and maintaining skills, to support the apprenticeships and skills through public procurement. |  |
| 1.1.6 | The Supplier shall be certified as compliant for the duration of the term with:   * ISO/IEC 27001 (at least ISO/IEC 27001:2013) by a United Kingdom accreditation service approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001 (at least ISO/IEC 27001:2013) and; * Cyber Essentials PLUS   and shall provide STA with a copy of each such certificate of compliance before the Supplier shall be permitted to receive, store or process STA data. | The Supplier must also complete annual DfE Supplier assurance documentation. |
| 1.1.7 | The Supplier shall ensure that each Higher Risk Sub-contractor is certified as compliant for the duration of the term with either:   * ISO/IEC 27001 (at least ISO/IEC 27001:2013) by a United Kingdom accreditation service approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001 (at least ISO/IEC 27001:2013); or * Cyber Essentials PLUS   and shall provide STA with a copy of each such certificate of compliance before the Higher-Risk Sub-contractor shall be permitted to receive, store or process STA data.  The Supplier shall ensure that each Medium Risk Sub-contractor is certified compliant with Cyber Essentials. | All sub-contractors involved in delivery of the Agreement must also complete annual DfE Supplier assurance documentation. |
| 1.1.8 | The Supplier must appoint a dedicated full-time equivalent security manager (who shall be one of the Key Personnel) who must have ultimate responsibility for all aspects of information governance and security management relating to the Supplier and any subcontractor’s delivery of the Service. | This role of the security manager includes:   * the specification and implementation of appropriate security policies and standards, specific to the Service being delivered, that comply with the current Cabinet Office Security Policy Framework and the principles of ISO/IEC 27001 or an equivalent standard depending on the approach taken to information risk management; * monitoring compliance with the security policies defined above in the delivery of the Service; * notifying STA of any security breaches; * providing STA with regular MI reports, in relation to (but not limited to) details of missing packages, Missing Test Scripts, courier Exception reports and other security related incident reports; * reviewing and updating the risk log with security related risks; * monitoring the security performance of any appointed sub-contractor and ensuring their Service delivery complies with the Cabinet Office Security Policy Framework; * the Supplier undertaking investigations relating to security incidents in accordance with Industry Practice as described in Information Technology Infrastructure Library (ITIL) v3.0. and in accordance with ISO 22301 or equivalent. |
| 1.1.9 | The Supplier must ensure any training provided on security management is context specific to the Services being provided. | All staff to undertake security and data protection training. There should also be clear definitions of responsibilities between STA, the Supplier, and any sub-contractors. Refresher training to be done annually. |
| 1.1.10 | The Supplier must provide to STA proof that all personnel including any sub-contractors 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. | All staff need to have security clearance to at least DBS. Staff that handle or process official information must have security clearance to Baseline Personnel Security Standard (BPSS). |
| 1.1.11 | The Supplier must ensure all employees and contractors sign a declaration to state that they have read, understood, and will comply with the Supplier’s security policies and standards (including the Cabinet Office Security Policy) before they commence any work on Set-Up or Operational Delivery. | The Supplier must ensure that these declarations are retained and can be inspected by STA on demand. |
| 1.1.12 | The Supplier must ensure that all employees and contractors sign a declaration to state any conflict of interest before they commence any work on Set-Up or Operational Delivery. | The Supplier must ensure that these declarations are retained and can be inspected by STA on demand. |
| 1.1.13 | The Supplier must ensure that no materials or data related to the Services shall be transferred or processed outside of the United Kingdom at any time (i.e., during the Set-Up and Operational Delivery periods), unless in accordance with Schedule 31 (Processing Personal Data) of the Agreement. |  |
| 1.1.14 | The Supplier must, from the Effective Date, ensure that physical site security meets the requirements of the policies based on ISO/IEC 27001, or equivalent. | Adequate fire prevention and detection measures must be 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.  Anyone that handles live materials must have fire prevention and detection measures and adequate sprinkler systems as a minimum. |
| 1.1.15 | The Supplier must 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 Cyber Essentials Scheme and the HM Government’s guidance. | Must include appropriate controls in server rooms, for example, controlled access. Storage facilities to be fit for purpose, i.e., not prone to over-heating if storing electronic equipment or prone to flooding. |
| 1.1.16 | The Supplier must ensure that all desk-top computers and laptops used by Supplier Personnel delivering the Service are password-protected and that the use of removable media devices is disabled, in compliance with Supplier’s security policy and the Cabinet Office Security Policy Framework. |  |
| 1.1.17 | The Supplier must ensure that all data relating to the Service held on portable devices, including laptops, are securely encrypted and password protected and cannot be accessed in the event of theft or loss. | The Supplier should have the capability to remotely wipe portable devices in the event of loss or theft. |
| 1.1.18 | The Supplier must 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. All data must be encrypted at rest. |  |
| 1.1.19 | The Supplier must ensure that STA data relating to the Service is backed up and stored on a secure off-site system. |  |
| 1.1.20 | The Supplier must 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:   * on-site, in a secure, fireproof safe; * off-site, in a secure, fireproof safe. | The off-site facility needs to be agreed with STA and have site security assured. Back-ups need to be tested once per year as a minimum to ensure that back-ups can be provided in the event of a major incident. |
| **Behaviours** | | |
| 1.1.21 | The Supplier will work with STA to establish ways of working that support an open and collaborative working relationship between parties, focused on working together to achieve the successful delivery of the end-to-end Service. |  |
| 1.1.22 | The Supplier must 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. | Examples include, but are not limited to; Incident Management Processes and reporting, physical security controls, Business Continuity and Disaster Recovery plans, etc. |
| 1.1.23 | The Supplier must 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 and STA’s Operational Delivery personnel based on trust and openness. | Effective, strategic working relationships a joint single-minded focus on the successful completion of delivery of each Test Cycle are important to STA to make timely decisions, identify and resolve issues either as they arise or to prevent an issue occurring. |
| **Methodology and Approach** | | |
| 1.1.24 | The Supplier must undertake robust, collaborative management of Set-Up and Mobilisation using PRINCE2 product-based planning together with programme/project management methodologies.  The Supplier must use Management of Risks principles to manage risk processes.  The Supplier must also use Agile methodologies to govern System development and testing and should demonstrate how this will be embedded into the delivery of Set-Up and Mobilisation through the Set-Up PID Suite and Plans, Mobilisation Plan, Operational Test Strategy and Plan and the Assurance and Business Readiness Strategy and Plan (as required). | The product-based planning approach is identifying what needs to be delivered (the products) before deciding what activities, dependencies and resources are required to deliver those products (PRINCE2, 2017). |
| 1.1.25 | The Supplier must deliver and report progress against the Set-Up Initiation Plan, Mobilisation Plan and Operational Test Plan (as appropriate). |  |
| 1.1.26 | The Supplier must provide a PID Suite for Set-Up prior to the Set-Up Commencement Date activities for STA’s Approval and a PID Suite for year 1 Operational Delivery prior to the start of the Test Cycle for STA’s Approval. The PID Suite should include (but not be limited to):   * A PID * Governance structures/arrangements * Incident Management Approach * A Product Breakdown Structure (PBS) * Statement of Requirement and Best and Final Offer (BAFO) Traceability Matrix * Quality Management Strategy * Risk and Issue Management Strategy * Configuration Management Strategy * Knowledge Management Strategy and Plan * Set-Up (Operational) Delivery Plan * Plan on a Page * Product Descriptions (PDs) * Reporting templates * Risk, Assumptions, Issues, Decisions (RAID) log template * RAID Log (including detail) * Quality Register * Lessons Log * Risk Register * Business Process Library * Readiness for Service report template |  |
| 1.1.27 | The Supplier must demonstrate to STA that that they have enough staff to deliver Set-Up and Mobilisation in the required timescale. | The Set-Up and Mobilisation Plan(s) should include named resource and/or the team who are responsible against each activity. |
| 1.1.28 | The Supplier must obtain STA’s Approval for the Set-Up Delivery Plan and Mobilisation Plan which must align with the agreed PBS and:   * ensure all milestone levels are clearly labelled, and those with Approvals are flagged appropriately to allow for reporting purposes; * clearly indicate whether a milestone or activity is on or off track, using RAG colour coding to provide easy reference; * include constrained dates where dates are pre-determined/dependencies; * all products/deliverables must be documented in the plan, and there should be no products/deliverables in the plan that are not defined in a product description; * reference numbers must be included for each line and match the PD; * ensure how PDs and deliverables are executed and achieved by identifying the predecessors and successors of each; * the project calendar applied to the plan needs to take into account public holidays, Local Authority (LA) and School holidays (where possible) and weekends (subject to prior agreed weekend working where applicable). Annual leave for staff may also be considered where required to support planning; * consideration is given to the timing of any third-party activity to ensure resource is not being overloaded; * consideration is given on how third-party plans and/or schedules are integrated; * tasks/milestones/activities can be understood/contextualised as standalone entities to enable filtering of the plan without loss of context and understanding; * any dependencies between products and deliverables have been accurately represented and the critical path identified; * any planning assumptions are clearly documented, and verification is shown ahead of the assumption becoming realised; * time-bound contractual requirements are accurately reflected; * 5:3:2 is accurately applied to all deliverables that require an Approval, except for those deliverables that may require an extended review cycle due to its individual scope, design, size, volume and/or configuration, which should be highlighted for easy visibility; * all other tasks/activity should follow the 5:3:2 as the standard planning approach; * clear principals on how the plan will be controlled, updated, and monitored overtime; * to include rules on setting an appropriate baseline and how changes will be reflected and reported to show any re-baselining and the impact this could have on dependencies (tasks and dates); * produces reports that allow the Supplier to track and monitor progress of delivery and fully populates the agreed reporting templates defined in the PID Suite. | 5:3:2 is the standard 10-day review cycle for all deliverables. 5 days for STA review; 3 days for the Supplier to amend following STA comments; 2 days for STA to review and agree/Approve. |
| 1.1.29 | The Supplier must implement documented security management procedures which comply with the requirements listed in the [Cabinet Office Security Policy Framework (SPF)](https://www.gov.uk/government/publications/security-policy-framework/hmg-security-policy-framework) and HM Government’s guidance on Risk Management at OFFICIAL level found at <https://www.gov.uk/government/collections/securing-technology-at-official> and which must shall be kept under review and updated at all times by the Supplier throughout the Term of the Agreement.  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 [Implementing the Cloud Security Principles – NCSC.GOV.UK](https://www.ncsc.gov.uk/collection/cloud-security/implementing-the-cloud-security-principles) | The Supplier should be aware when completing the Security Management Plan in the Agreement, this should be completed in accordance with this requirement. |
| 1.1.30 | The Supplier must actively manage all identified security risks for the Set-Up period and regularly review and update the associated risk log.  The Supplier must also look ahead to identify all anticipated security risks for the Operational Delivery period, so that all risks can be actively managed from day one of the Operational Delivery period. | Risk logs showing all identified risks must be shared, reviewed, and agreed by STA. Risks will be managed collaboratively in regular risk review meetings between STA and the Supplier. |
| 1.1.31 | The Supplier must conduct an annual IT Health Check (ITHC) (on all Systems processing STA assets) in accordance with Security sub-requirement 9.2.22 and in line with the Cyber Essentials PLUS Common Test Specification including:   * testing to a defined scope as agreed with the Cyber Essentials Certification Body; * the vulnerability testing of external Systems; * the vulnerability testing of internal Systems; * carrying out ITHC by an external CHECK accredited company and must include days to re-test critical, high, and medium vulnerability findings after remediation. | The Supplier should conduct monthly vulnerability scans of the Service and remediate all findings within the timescales defined in the Agreement. |
| 1.1.32 | The Supplier must carry out any remediation activities following an ITHC within the timeframes agreed within the Agreement and with STA, which must include retesting to confirm remediation of vulnerabilities. | This includes all vulnerability findings from critical to very low. |
| 1.1.33 | The Supplier must provide STA with details of their secure file transfer solution e.g., Galaxkey, 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. | All data shared electronically between STA, the Supplier and any sub-contractors must be secure and encrypted in transit and in rest. At this point in time, the minimum expected standard for data in transit is TLS1.2 or equivalent, but the Authority would expect the Supplier to follow best practices and industry standards at the time that the contract commences should this minimum expectation change when encrypting data. |
| 1.1.34 | The Supplier must provide assurance and understanding of the data needed to calculate print quantities and Consignment quantities. |  |
| 1.1.35 | The Supplier must provide for STA’s Approval, an Assurance and Business Readiness Strategy that demonstrates a consistent and standard approach in providing STA assessments of confidence throughout the operational year, and how it will be executed. This should cover all areas of Operational Delivery at various programme levels; strategic, functional, and cross functional for STA’s Approval, and include (but not be limited to) the following principles defined within the context of delivery:   * Follow industry best practice in programme and project assurance. * Use a ‘three line of assurance’ model (first, second, third) and define these as part of the Supplier’s solution. * Types of assurance methods are proportionate to the size/scale of risk against each programme level. * Responsibilities and accountabilities are identified against each programme level. * Affiliation to other relevant programme documentation such as quality management, quality controls and risk management. * Sets out the criteria in which confidence shall be assessed, presented, monitored, and reported. * Illustrates the full end-to-end assurance life cycle for the programme, highlighting specific touch points at each programme level. |  |
| 1.1.36 | The Supplier must provide for STA’s Approval, an Operational Test Strategy and Plan that demonstrates the approach to all (and any) types of testing required for the Service to operate end to end. Consideration for the inclusion of Online System(s) specific testing strategies and plan(s) should be given in their association (and dependency) to the Operational Test Strategy and Plan. This should cover (but not be limited to):   * The end-to-end view of testing required for the entire Service and Operational Delivery in Set-Up and on an annual basis, to include but not be limited to   + Business processes   + Data flows and data outputs   + Management information   + Supply chain   + Online Systems * The approach to testing whereby it is brought on by operational change, either from lessons learned or a formal change request. * Sets out how the transition of testing outputs will be embedded into Operational Delivery. * Outlines how remediation plans will be agreed if/when testing outputs are not as expected (by the Supplier, sub-contractor, or STA) for STA’s sign off. | Testing within the individual requirement areas is detail below:   * Marker Recruitment and Training (4.2.6) * Data (7.3, 7.3.1, and 7.3.3) * Marking and Review Marking (8.1.2) * Security (9.1.7, 9.1.12, 9.1.13, 9.2, and 9.2.18) * System Standards (11.1.13 and 11.1.16) * Management Information (16.1.1) |
| **Set-Up Deliverables – Programme Management** | | |
| 1.1.37 | The Supplier must provide a Recruitment and Retention Strategy and a Resource Model for live delivery. This model must show that there are adequate resources to deliver the Service, including the processes detailed in the business process library and must show how the overlap of Test Cycles will be resourced.  This should be evidenced through the provision of:   * Organisational design, including management hierarchy. * An organisational chart indicating responsibilities, reporting lines, percentage of time assigned to this Agreement and numbers of FTE staff. * The skills and experience relevant for each role. * The number of staff by role currently employed and the number by role to be recruited. * The processes and timescales for undertaking recruitment to each role. * The underpinning assumptions that support your staff profile. * What your business/programme employee retention strategies are. * How you will keep resourcing under review to ensure it is sufficient. | The Resourcing model must show how all areas of the Service are going to be resourced throughout the Test Cycle, including but not limited to all business processes and Helpline. Where posts are vacant, a planned deadline for recruitment to the post must be provided. |
| 1.1.38 | The Supplier must provide for STA’s Approval, an Approval and Timebound Clauses Tracker template. |  |
| 1.1.39 | The Supplier must provide a process map detailing how the Supplier will distinguish between operational and contractual change and how operational change will be managed throughout the Term. |  |
| 1.1.40 | The Supplier must ensure that during Set-Up everything for Operational Delivery is ready and the Service is fully mobilised.   * All strategies, plans and procedures must be in place and Approved (where necessary). * All personnel needed must be in place. * All contracts and sub-contracts must be signed. * Physical facilities e.g., scanning warehouse must be set up. * All Systems/software must be built, tested and operationally ready. * Fully assured data and data flows must be in place. * All operational, fully assured, MI must be in place. * Any other resources required must be in place. |  |
| 1.1.41 | The Supplier must prepare the Operational Delivery Infrastructure during Set-Up as set out in their solution. |  |
| 1.1.42 | The Supplier must have 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 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. |  |
| 1.1.43 | The Supplier must have 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 Schedule 33 (Escrow) provided that the items placed in escrow must have been verified by STA’s chosen escrow provider. |  |
| 1.1.44 | The Supplier must, in compliance with the Cabinet Office Security Policy, have achieved full accreditation of Operational Delivery Infrastructure; and have all appropriate security management documentation in place. | This involves completing the DfE’s security governance/assurance process. |
| 1.1.45 | The Supplier must have obtained STA’s Approval for the Operational Delivery PID Suite for the first Test Cycle as defined in Requirement 2: Programme Management (which shall include but not be limited to the Operational Delivery Plan and associated PDs). | The Operational Delivery PID Suite and associated deliverables will subsequently be reviewed on an annual basis as part of the Mobilisation for each Test Cycle, incorporating lessons learned from the previous Test Cycle. |
| 1.1.46 | The Supplier must have obtained STA’s 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 sub-contractors or other delivery partners. | The Exit Management Plan and Exit Information Document must cover exit in a termination scenario and exit at the end of the Agreement. |
| 1.1.47 | The Supplier must have recruited all personnel required for the purpose of Operational Delivery and provided up-to-date CVs to STA in respect of Key Personnel. |  |
| 1.1.48 | The Supplier must obtain STA’s Approval for a plan of comprehensive corrective actions, mitigations, and specific timescales in the event of any slippage against the Operational Delivery Plan in order to restore progress back to plan. |  |
| 1.1.49 | The Supplier must provide a resourced plan for governance and reporting associated with Peak Period for agreement with STA. This plan must show how daily MI will be provided during Peak Period in a timely and accurate manner. This shall reflect the reporting templates agreed as part of the PID Suite for weekly and daily operations meetings.  The plan shall cover the three types of meetings in Peak Period:   * Tuesday – full meetings * Thursday – MI * Actions and daily exceptional meetings (MI and actions) | MI must be submitted on a daily basis and should be drawn from the latest available information. Meetings include a full, standard Tuesday operations meeting, a Thursday checkpoint focusing on actions and MI only, and daily exceptional meetings which can be stood up or down as required by STA. |
| 1.1.50 | The Supplier must provide an updated Assurance and Business Readiness Strategy and Plan for each Test Cycle, which should be updated at key points throughout the Test Cycle, demonstrating assurance against delivery of each of the Key Milestones. |  |
| 1.1.51 | The Supplier must provide an End of Test Cycle Report template, detailing performance, and achievement (or otherwise) of Key Milestones and their supporting products/deliverables. The plan should be built iteratively across the Test Cycle after the achievement of each Key Milestone. |  |
| 1.1.52 | The Supplier must provide and implement a Quality Management Plan that sets out how the Supplier will conduct robust internal quality assurance. This must also include how products/deliverables will be reviewed and approved internally before provision to STA. |  |
| **Set-Up Deliverables – Print, Collation and Logistics** | | |
| 1.1.53 | The Supplier must produce for STA’s Approval a Print and Logistics Strategy and Production Plan for the manufacture, collation, and delivery of all National Curriculum Assessment Materials for the first Test Cycle.  The Print and Logistics Strategy and Production Plan will subsequently be updated and Approved annually at the start of each Test Cycle, to ensure it reflects the forthcoming Test Cycle’s requirements and incorporates any lessons learned. | The Print and Logistics Strategy and Production Plan should detail how the Supplier and its sub-contractors will deliver the Services and should include the following:   * Printing Plan * Materials Production Plan * Collation Plan * Logistics Plan * Quality Management Regime |
| 1.1.54 | The Supplier must design all the Stationery Material, ensuring they are designed in accordance with STA’s Style Guide and instructions.  The Stationery Materials will need to be designed to cater for the following (typical) variations:   * English Schools * MoD Schools * Additional packaging for braille Tests Jersey School (as required) | Stationery Materials for Schools include:   * Test Script despatch guidance * Specific School type instructions sheets * Test Script despatch labels (e.g., addressed to the scanning bureau) * Outer Test Script packaging * MoD or Jersey (as required) network over bag * Any inner packaging to distinguish non-scannable Test Scripts etc |
| 1.1.55 | The Supplier must produce for STA’s Approval Attendance Registers which, must be designed and manufactured in such a way as to allow digitisation in preparation for matching of Pupils to Test Scripts before onscreen Marking. The design of the Attendance Register must:   * contain the details of the School; * indicate clearly which Test it relates to; * list the Pupils registered for the Test/paper for each School, including their last name, middle name, first name, date of birth or other information agreed with STA with this data taken from the Pupil Registration and School Census; * allow the School to record the appropriate attendance status as defined in the Assessment and Reporting Arrangements (ARA). |  |
| 1.1.56 | The Supplier must produce a Quality Management Regime which must include how:   * the Supplier ensures every Component the Supplier produces and delivers to Schools is an accurate reproduction of STA supplied design files and/or physical samples, and STA supplied specifications, and the Approved Production Proofs; * the Supplier ensures all KS2 Test Papers meet any additional specifications or quality considerations introduced by the Supplier to support their scanning and Marking processes; * the Supplier ensures any quality Exceptions discovered during production will be investigated and corrected. |  |
| **Set-Up Deliverables – Marker, Recruitment and Training** | | |
| 1.1.57 | The Supplier must produce for STA’s Approval, a draft Contractual Fees and Expenses document which includes the Marking fees for all Markers, for all Marking Phases. The fees should encourage Marker retention. The Supplier is to comply with maximum 30-day payment terms in respect of all Marker payments which the Supplier is liable to make. |  |
| 1.1.58 | The Supplier must produce for STA’s Approval a draft Marking Capacity Model Approach document which provides rationale for the Marking Capacity as defined in the Marking Capacity Model. The document should seek to explain how the Marking Capacity required has been calculated and provide details of any activities which have been used to inform calculations/forecasts of Marking throughput. The document should also demonstrate that sufficient contingency has been planned for all Marking Phases of Marking and includes any working assumptions. This must consider requirements of the Marker Quality Regime and the Marking Quality Matrix. | Adequate contingency must estimate and account for scenarios that include but are not limited to:   * Markers withdrawing their contract. * Markers no shows. * Markers failing Practice and Qualification. * Markers failing On-going Marker Quality Assurance * Marking which requires Roll Back due to Marker Stops and the estimated time to mark each Item dependant on Item classification and Marking complexity. |
| 1.1.59 | The Supplier must produce for comment a Marking Capacity Model template for each subject that will be used in live delivery to cover the below Marking Phases and that will be required in four iterations during the Test Cycle.   * Phase 1 is Marker Training Materials development and UAT (MCM iteration 1 to include a forecast for Phase 2 and 3). * Phase 2 is Onscreen and Manual Marking (MCM iteration 2 to include any updates following UAT. MCM iteration 3 updates for manual marking based on scanning). * Phase 3 is Review Marking (MCM iteration 4 updates for review marking based on review applications).   .  The Marking Capacity Model will demonstrate the numbers of Markers required to meet the demands of the KS2 Test Cycle to meet Key Milestones ensuring adequate contingency for various scenarios which may arise and take into consideration the demands of the Marking Quality Regime and the Marking Quality Matrix on Marker Capacity. All roles identified in the Marker Recruitment and Retention Strategy are to be detailed, including reserve supervisor roles, braille Markers and transcribers.  For Set-Up, the Supplier is expected to use approximate figures based on their solution but must ensure that all fields and required formula/calculations are present and working, so that for the live Test Cycle, the Marking Capacity Model only needs to be populated with actual figures. | The Marking Capacity Model can be informed by summer and autumn School Census level data which will be provided by STA in accordance with the Census timetable as shared in the data room. The Marking Capacity Model for each year will change dependent on variable data e.g., Pupil entry data. |
| 1.1.60 | The Supplier must produce for STA’s Approval, a draft Marker Recruitment and Retention Strategy which outlines the Marking Hierarchy, all Markers role and responsibilities and the criteria/experience of each Marker role. | Current guidance on who can be a KS2 Marker can be found here for the 2022 Test Cycle: [Key stage 2 tests: how to become a marker – GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/key-stage-2-tests-how-to-become-a-marker)  The criteria and experience required, aside from that stipulated in the Statement of Requirements, will be for agreement between the Supplier and STA through the development of the Marker Recruitment and Retention Strategy. |
| 1.1.61 | The Supplier must produce for STA’s Approval, a draft Marker Performance Management Plan to outline how Markers will be graded for each Test Cycle in order to retain as many high-quality Markers (i.e., those that met the required On-going Marking Quality Assurance standards and completed their Marking activities/Allocations on time) as possible from the previous Test Cycle. The Supplier must ensure:   * Supervisory Markers are graded in a way that also reflects their performance in their supervisory role; * Markers can only advance to the next Marker role in the Marker Hierarchy for that subject; * performance grades are used to inform future retention, recruitment activity and succession planning; * algorithms or other criteria by which performance grades are awarded are documented; * a Marker complaints/appeals process is available for any Marker wanting to challenge their performance grade. | Currently, Marker Key Performance Measures (KPMs) include:   * an element of automated system/data generated ratings for the quality of Marking KPM. * Supervisors grade other KPMs using their observations and statistics gathered throughout the Marking cycle to make judgements based on data, for all other KPM ratings.   The current system then uses an algorithm, as agreed in the Marker Performance Management Plan, to automatically calculate Interim and Final Marker Grades using all the Marker KPMs. |
| 1.1.62 | The Supplier must define an approach for issuing all Markers with their interim and final grades, (defined in the Performance Management Plan) and in Set-Up, develop and test the algorithm/ processes/Systems required to issue Marker grades. | If any elements of the Marker grading process, either specific KPMs being System generated and or Interim and Final Grades being issued through a System, this should be developed during Set-Up.  Currently, Markers receive their Final Marker Grades through a System, but the approach will be for the Supplier to decide. Supervisors currently submit KPM ratings for their team of Markers through the same System that grades are issued. One of the current KPMs are also System generated using relevant data and does not require manual intervention. The System then uses an algorithm, as agreed in the Marker Performance Management Plan, to automatically calculate Interim and Final Marker Grades using all the Marker KPMs. |
| 1.1.63 | The Supplier must produce for STA’s Approval, a draft Letter of Appointment Template for all Markers for all Marking Phases to include all relevant information Markers require in order to accept a contract. This must contain a statement of consent for processing data required for the Marker Register. | Markers must not be contracted until the Letter of Appointment Template; Marker Terms and Conditions; and other related documents have been Approved by STA. |
| 1.1.64 | The Supplier must ingest and map all the STA Marker Register information (STA’s information asset) at agreed dates during Set-Up and ahead of the first Operational Delivery year, ensuring the accuracy of data. The mapping approach is for STA’s Approval. Following each ingestion, the Supplier must produce a new Marker Register in accordance with the Marker Register Template, for STA review and STA’s Approval. The Marker Register must be quality assured in line with Marker Register management document. | Mapping refers to the activity to translate information given in the Marker Register from the incumbent Supplier to the successful Supplier’s agreed Marking approach and definitions/ terms. E.g.: Marker grades of 1,2,3 to A, B, C and D.  Some information will not be available to handover until between July and September which straddles Set-Up and Mobilisation period e.g., Interim and Final Marker Grades. Such information will need to be mapped during Mobilisation period. |
| 1.1.65 | The Supplier must produce for STA’s Approval, a draft Marker Register Template which will list all the data fields required for the ongoing population of STA’s information asset. This is to include information for contracted Markers, uncontracted Markers, and conflict of interests.  The Marker Register Template must adhere to that shared in the data room. Additional information must be added to the Marker Register Template at STA’s request in line with the Supplier’s solution. | There could be multiple registers for the following information, contracted Markers, uncontracted Markers, and conflict of interest data. STA will work with the Supplier for a suitable approach. |
| 1.1.66 | The Supplier must provide for STA’s Approval, a draft Marker Register Management Document which documents:   * the mapping approach for the initial STA Marker Registers; * what data will be in each column and when it will be populated including any mandatory fields; * how and what information is proactively quality assured; * how information is transferred between Marker management Systems and the Marker Registers throughout the Test Cycle including ensuring that only potential Markers who meet the entry level Marker requirements are included in the Marker Register; * how data is managed in line with privacy notices to ensure Marker data is not retained for longer than three Test Cycles. | The Supplier is expected to proactively quality assure the information in the register as provided by Markers. This should cover all dimensions of data quality, including Accurate, Complete, Valid, Unique, Consistent and Timely data. |
| 1.1.67 | The Supplier must maintain and store Markers personal, contact and Marking history information by method of a Marker Register (STA’s information asset) securely in accordance with Requirement 9: Security. |  |
| 1.1.68 | The Supplier must develop for STA’s Approval, draft skeleton versions of the Marker Training Materials which include:   * Mark Scheme Training guidance * Training scripts * Practice scripts * Qualification scripts and associated commentaries |  |
| 1.1.69 | The Supplier must produce for STA’s Approval, a draft Marker Training Materials Approach, Style, and Quality Assurance document to be used in the development, trialling, refinement, and delivery of all Marker Training Materials. This will define how all Marker Training Materials will be created and quality assured throughout their development. |  |
| 1.1.70 | The Supplier must produce draft Item Classification Document which defines a rationale for how all Items in each KS2 Test will be classified in accordance with their Marking complexity and the Suppliers proposed Marking approach. This deliverable will require STA’s Approval in Set-Up and annually thereafter. | Items in each Test will be allocated as particular type to differentiate the level of Marking complexity. This will also define which Marker roles, mark which Items. |
| 1.1.71 | The Supplier must produce for comment a draft Event Management and Marker Allocation document which defines the approach to event management for Marker training events. | This is to include the number of rooms/training events, how Markers/observers will access platforms, number of Supplier hosts required to manage events, all logistics and how Markers are allocated to rooms, supervisors, and events to ensure teams have an equal range of experience and grades. |
| 1.1.72 | The Supplier must develop for STA’s Approval, a draft Marker Communications Plan which identifies all required Marker communications and when they are due throughout the Test Cycle. Key Marker communications are to be shared with STA for comment, in sufficient time to allow the Supplier to update communications based on feedback. These will be identified and agreed in the communications plan. | Examples of Marker communications are below. This is not an exhaustive list:   * Recruitment * Training and meetings * Marking activity * Post Marking activity * Feedback and acknowledgement of participation |
| 1.1.73 | The Supplier must develop for STA’s Approval a draft skeleton training and guidance materials, which support the accurate use of all Systems and all Marking processes (e.g., Maladministration/safeguarding/use of a scribe) utilised by Markers and ensure Markers are competent in their use. The Supplier must also ensure appropriate supervision for all Markers. This will also support Marker grading activities and appeals. Training and guidance material can be developed in the form of eLearning and Marker handbooks.  Materials are to include guidance/training on (not an exhaustive list):   * Security and confidentiality * Marker supervision and guidance * Performance management and grading * Communication templates for supervisors * Complaint process * Ongoing quality checks * Admin process such as training on the notifications of the use of aids, suspected Pupil cheating/Maladministration which may appear during Marking * Detail responsibilities for attending all relevant Marker training for the applicable Marking Phases and completion of any eLearning activities * Systems to be utilised, including the Onscreen Marking System * Details and deadlines for Practice and Qualification activities for their own Marking, and for supervisors that of their teams * Key dates * For Review Marking phase, activities related to completing associated School review reports, following Review Marking | Currently, training on the use of Marking Systems and administrative and security procedures is primarily online using eLearning modules, supported by Marker Handbooks. All activities that Markers undertake requires either a general or technical Helpline support solution, with requirements for the Helpline to be available at weekends and evenings to support Marker activities. |
| 1.1.74 | The Supplier must produce annually for STA’s Approval, a draft Marker Training Plan which details the training programme for all Markers for all Marking Phases, including a detailed description of the scheduled meetings and the associated Marker Training Materials required for their delivery. |  |
| **Set-Up Deliverables – Scanning** | | |
| 1.1.75 | The Supplier must provide a Scanning Capacity Model. This must detail the Supplier’s operational capacity and capability required to process and scan all eligible Test Scripts for each Test Cycle and match them to the corresponding Pupil while maintaining the throughput required to support the Marking process and the associated requirements on scanning to meet its onward deadlines. | The Scanning Capacity Model must demonstrate that the expected output rates for each stage of the scanning operation will guarantee that they are always sufficient to feed the Marking operation. The model should demonstrate the Supplier’s flexibility to switch from forecast rates to actuals, in order to keep up with actual Marking rates seen in any given Test Cycle. |
| 1.1.76 | The Supplier must document, test and demonstrate the operational processes required to operate the scanning bureau and the interfaces with the Marking and Maladministration solutions so that STA can be assured they function as intended. This must include how any Exceptions encountered during Test Script processing or subsequently identified by Markers are identified and resolved, e.g., uncertain Assessing Status, Test Scripts not received from Schools, cannot match Pupils to Test Scripts, Markers reporting unclear scanned images, Test Scripts with missing pages, Test Scripts modified by Schools. |  |
| 1.1.77 | The Supplier must demonstrate the end-to-end procedures of the scanning bureau, to a scale that provides suitable assurance that the demands of the anticipated volumes can be met through upscaling. | The demonstration and assurance of the scanning bureau processes are typically achieved via a physical walk-through of the operation at the scanning bureau, following the journey of receiving a package, preparing Test Scripts for scanning, the scanning activity itself and finally Test Script storage and Test Script retrieval. The demonstration should also give assurance to the anticipated Exceptions at each stage of the journey, how these will be mitigated, and what processes are in place should these occur. |
| **Set-Up Deliverables – Marking Quality** | | |
| 1.1.78 | The Supplier must produce for STA’s Approval, a draft Marking Quality Regime and Marking Quality Matrix which details how all Marking activities will be assured, timing of quality assurance processes, On-going Marker Quality Assurance checks (Seed/Check Marker) and how proposed Marking Quality Parameters and tolerances will be applied. Marking Quality Parameters and minimum Marking standards are unique to each Test Paper and Item and are required for all Marking Phases. It will also set out the process for handling Stopped Markers. |  |
| 1.1.79 | The Supplier must produce for STA’s Approval, a draft Marking Quality Technical Report template to propose research questions for the first Test Cycle. | This contains research questions on Marking quality throughout the Marking Phases that STA and the Supplier require to be answered, at various points in the Test Cycle. The Supplier will need to ensure reporting is created to be able to provide the data to answer the relevant questions. |
| 1.1.80 | The Supplier must produce for STA’s Approval, a draft Seed Selection and Retirement Plan to set out the process of selecting Seed Items to be commissioned into the Onscreen Marking System (OMS) and the process for retiring Seeds which are not performing as expected, due to certain scenarios, e.g., a Pupil response is ambiguous. |  |
| 1.1.81 | The Supplier must provide for STA’s Approval draft templates for the End of Series Marker Quality File and actual vs forecast Marker Allocations Document. | End of Series Marker Quality Files provides Test Script level data for all Quality Assurance Items that any Marker attempts for each of the six Test Papers (all Markers means every rank of Marker in the Marker Hierarchy). It will show the Item, Marker ID, supervisor ID, Item true mark, mark the Marker awarded and date/time it was attempted. This will include and identify as such all Practice, Qualification set 1, Qualification set 2, Qualification set 3, Seed Items, and Check Marking data. Check will include both the Marker and supervisor marks awarded. It will also include by Marker ID, for each Item they marked, the number of items they were allocated to mark and number they actually marked. |
| 1.1.82 | **This requirement has been removed.** |  |
| **Set-Up Deliverables – Data** | | |
| 1.1.83 | The Supplier must provide for STA’s Approval a conceptual, logical, and physical data model to demonstrate how the solution will meet all the data requirements of the Agreement. This should include (but not be limited to) all outputs specified in the Data Catalogue, KS2 Assessment Data Outputs and any other data deliverable as specified in the requirements.  These must be provided during Set-Up then annually at the start of each Test Cycle. |  |
| 1.1.84 | The Supplier must provide for STA’s Approval, documentation including but not limited to physical entity relationship diagrams and source to target details. These must be provided during Set-Up then annually at the start of each Test Cycle. | It is expected that these will be developed and refined according to data and business requirements over the course of Set-Up. |
| 1.1.85 | The Supplier must provide conceptual, logical, and physical data flow diagrams of the end-to-end Service. These must be provided during Set-Up then annually at the start of each Test Cycle. | The dataflow diagrams should be created to provide a focussed approach to design and develop the Service including the Systems used by the Service (Onscreen Marking System, Online System(s), Helpline System). They will evidence that all business processes are fully understood and enable effective end to end testing.  The conceptual dataflow should be made available during procurement, the logical and physical data flow will be developed and refined over the course of Set-Up. |
| 1.1.86 | The Supplier must design, develop, and test data pipelines during Set-Up to maximise the automation of the collection, organisation, movement, transformation, and processing of data including delivery to STA as per Requirement 7: Data. Any automation should be developed to reduce burdens on Organisations, improve the quality of the data, and to allow improved access to more timely data by all Users including STA. | The pipelines should consider the different sources of data e.g., Online System(s), Onscreen Marking System, any other Systems, subcontractor Systems, Census data. |
| 1.1.87 | The Supplier must ensure that the Online System(s) or otherwise is designed and tested to collect and store data at the appropriate level to meet STA requirements. | The required level will be outlined in the data room products to be agreed during Set-Up.  As an example,   * KS2 Teacher Assessment data is collected for multiple subjects. STA would require data and MI to be captured and reported for each subject individually. * Test data needs to be captured at an Item level. |
| 1.1.88 | The Supplier must design data models and flows holistically with the Online System(s) and any other Systems to work as a single Service. | During Service/System development the Supplier must consider all dataflows to ensure that data can be collected/captured accurately to the right level, with minimal burden to the User. |
| 1.1.89 | The Supplier must demonstrate as part of Set-Up how the solution minimises manual handoffs and interventions of data and what automation has been put in place to reduce error and potential points of failure. |  |
| 1.1.90 | The Supplier must demonstrate what validation is applied at source to provide assurance that data is Valid as it enters the database. | See Data sub-requirement 7.1.2. |
| 1.1.91 | The Supplier must develop a Data Quality Assurance Strategy for STA’s Approval. | An outline Data Quality Assurance Strategy is expected in bid stage, to be finalised during Set-Up and then updated and Approved during Mobilisation each year.  This should cover all dimensions of data quality, including Accurate, Complete, Valid, Unique, Consistent and Timely data. |
| 1.1.92 | The Supplier must develop a Data Quality Assurance Plan for STA’s Approval. | The Data Quality Assurance Plan must be developed and Approved during Set-Up and then updated and Approved during Mobilisation each year.  This should include a plan for how the Supplier intends to monitor and address any quality issues during live delivery. |
| 1.1.93 | The Supplier must demonstrate the KS2 Assessment Data Output views to STA and how data can be extracted via the secure self-serve mechanism.  The data specification for these views is provided in STA’s Assessment Data Output Specification and data formats. These will be reviewed and Approved during Set-Up with the Supplier and then annually at the start of each Test Cycle so that they align to the Online System(s), underlying physical data model and any changes made. | Extracts of data will be taken at timed intervals. All extracts should reflect the data as it was at the time the extraction began to ensure that all data provided is internally consistent.  Test and Item data will contain all available marked data at that point in time. Before Key Milestone 6 data may be subject to Roll Back.  Teacher Assessment data will contain all available matched data at that point in time. |
| 1.1.94 | The Supplier must share development progress through playback sessions (or similar) supported by development progress documentation (see Set-Up sub-requirement 1.1.90). | Playback sessions ensure stakeholders can see in flight development of any features/changes taking place and their impact on data. Frequency of playback sessions will be determined by development timelines. |
| 1.1.95 | The Supplier must ensure that the data architecture including data model and data processes are set up to be flexible and can be changed easily when needed to accommodate for policy changes and/or changes due to lessons learnt. | The KS2 Assessment Data Output Specification, data formats and all data listed in the Data Catalogue will be reviewed and Approved during Mobilisation each year. Any changes required will be documented throughout these and agreed and Approved as part of Mobilisation for each Test Cycle. |
| 1.1.96 | The Supplier must ensure the data architecture is designed and built to enable additional School and Pupil related data collections to be accommodated without significant amounts of rework. | Example of changes include addition of allowable codes for data submissions or changes to subjects included in statutory assessments. For example, in 2021/22 when the engagement model became statutory (replacing P Scales) for Pupils working below the standard of the assessments and not engaged in subject-specific study. |
| 1.1.97 | The Supplier must enable STA’s Service suppliers secure access to specific data to meet their needs to support administration of assessments.  The exact business rules and data needs would be developed and tested during Set-Up and then annually during Mobilisation. | For example, the Modified Test Agency may be required to validate Test Orders placed by Schools via the Online System(s). |
| 1.1.98 | The Supplier must demonstrate how they will supply Formal KS2 Assessment Data Outputs in accordance with the Operation Delivery Plan and KS2 Assessment Data Output Specification. | See Data sub-requirement 7.1.17. |
| 1.1.99 | The Supplier must demonstrate how KS2 Teacher Assessment data gathered via the Online System(s) will be accurately matched to Pupil Assessment Outcomes.  The Supplier must work with STA to agree the exact algorithm by which data supplied by Schools is matched to Pupil data held by the Supplier. | See Data sub-requirement 7.1.19. |
| 1.1.100 | The Supplier must demonstrate how Assessment Statuses from Attendance Registers and Test Scripts are matched to the correct Pupil at the correct School. The specific rules for matching Attendance Registers and Test Scripts must be provided during Set-Up for STA’s Approval. | See Data sub-requirement 7.1.20. |
| 1.1.101 | The Supplier must demonstrate how STA will access downloadable real-time reports on all Organisation interactions with the Online System(s). | See Data sub-requirement 7.1.21. |
| 1.1.102 | The Supplier must demonstrate how STA will access any additional reports containing Derived Data. | See Data sub-requirement 7.1.22. |
| 1.1.103 | The Supplier must demonstrate how STA will access any data or reports regarding Exceptions. | See Data sub-requirement 7.1.23. |
| 1.1.104 | During Set-Up, the Supplier must work collaboratively with STA to agree the exact data requirements for all downloadable real-time reports, Derived Data and Exceptions data. These will be documented within the Data Catalogue. This will be Approved during Set-Up and then Approved annually at the start of each Test Cycle to consider any lessons learnt. | See Data sub-requirements 7.1.21, 7.1.22 and 7.1.23. |
| 1.1.105 | The Supplier must demonstrate how the System restricts access to data such that only those who have been given permission as agreed with STA can access. | See Data sub-requirement 7.1.24. |
| 1.1.106 | The Supplier must design and demonstrate how the data model will hold raw, cleansed, and amended Pupil data and how the Online System(s) will pull the data from the right data source based on the business rules to be agreed during Set-Up. | See Data sub-requirement 7.1.25. |
| 1.1.107 | The Supplier must design and demonstrate how STA will obtain read-only access to all data that is identified and documented in the physical data model/entity relationship diagrams including how STA can take copies or extracts of all data. |  |
| 1.1.108 | The Supplier must design and demonstrate how they will apply changes or assign flags to the KS2 Assessment Data Outcomes as defined in the KS2 Assessment Data Output Specification and data formats.  The business rules on how and when to apply changes and/or flags will be Approved during Set-Up. Thereafter they will be Approved annually at the start of each Test Cycle to consider any lessons learnt for the previous Test Cycle and so that they align to the Online System(s), underlying physical data model and any changes made. | See Data sub-requirement 7.1.27. |
| 1.1.109 | The Supplier must demonstrate how they will calculate the Compensatory Mark to be awarded based on an average score of all results once volumes for the relevant subject are over 80%. | See Data sub-requirement 7.1.28. |
| 1.1.110 | The Supplier must demonstrate how they will apply pro rata marks and/or appropriate Assessment Outcome codes where Test Scripts (whole or partial) have been deemed Missing or Lost. | See Data sub-requirement 7.1.29. |
| 1.1.111 | The Supplier must demonstrate the process to apply Scaled Scores to Pupil Records Accurately as soon as they are provided by STA. | See Data sub-requirement 7.1.30. |
| 1.1.112 | The Supplier must demonstrate how User data can be filtered by School or LA roles e.g., headteachers. | See Data sub-requirement 7.1.31. |
| 1.1.113 | The Supplier must design and demonstrate how STA will access:   * Test Script Images including Accurate Item level Data on the Test Script when available and * Attendance Registers.   The Supplier must work with STA to ensure that these are easily searchable and agree the specific attributes that can be used. | This is required so that where there is any ambiguity over Pupil Assessment Outcomes, STA can review the raw data to ensure it is matched/indexed corrected and contains the right outcome. |
| 1.1.114 | In collaboration with STA the Supplier must undertake an end-to-end data (to include all Systems) dry run to ensure readiness and provide assurance for the delivery of KS2 Assessment Outcomes, including but not limited to Data sub-requirements 7.1.4 and 7.1.13.  This must include the following processes and Systems where required as a minimum:   * Pupil Registration * Access Arrangements * Scanning and indexing/matching solution * Marking solution * Teacher Assessment * Maladministration * Return of Results (RoR) * Reviews   The Supplier must ensure that STA have access to all relevant Systems to complete this testing and the following data must be available to STA:   * All reports either via the Online System(s) or from Derived Data as per the Data Catalogue. * All raw data as specified in the data requirements. * The KS2 Assessment Data Outputs. * All appropriate MI reports as per the MI catalogue.   For the Set-Up phase, the Supplier must provide an initial plan for the end-to-end dry run and work collaboratively with STA to refine before STA Approve. | The first end-to-end dry run must take place during Set-Up to provide assurance going into live delivery that the Systems and processes meet the requirements as listed. Thereafter the dry run should take place annually between Key Milestone 1 and Key Milestone 2 but before Pupil Registration commences to provide assurance of any change. Some elements of the testing as listed may be excluded year on year if no changes are made, but the expectation is that there will be a dry run every year to provide assurance ahead of Key Milestone 6 and Key Milestone 7. |
| **Set-Up Deliverables – Online System(s) and Onscreen Marking System** | | |
| 1.1.115 | The Supplier must ensure the System Standards, Online System(s) and Onscreen Marking System are Set-Up according to their requirements (see System Standards requirement 11, Online System(s) requirement 12 and Onscreen Marking System requirement 13). | System Standards for both Online System(s) and the Onscreen Marking System are detailed in requirement 11.  The features of the Online System(s) and Onscreen Marking System are within requirements 12 & 13 and will need to be considered as part of Set-Up to ensure both Systems are to Set-Up to be able to meet the requirements.  The Online System(s) and Onscreen Marking System Set-Up requirements are tailored to specific Set-Up activity. |
| 1.1.116 | The Supplier must provide as a minimum, the following Set-Up documentation (or similar) for development of their solutions for the Online System(s) and Onscreen Marking System:   * Development Plan (aligning activity to key dates as specified by STA) * Defect management approach including classification guide * Defect Log * Development Progress (e.g., Sprint documentation etc.) * System Acceptance Plan | Development Plan describes a strategy for executing software development. It enables all the stakeholders to estimate the total time and resource required.  Defect management approach should include the approach to defect prevention, defect discovery, defect classification, defect resolution and process improvement.  Defect Log is a method for recording defects found in the system, including those from Supplier testing, STA testing and User acceptance and User experience testing.  Development Progress documentation represents all documents that demonstrate the progress of System development, for example sprint documentation, release notes etc. This ensures stakeholders can see in flight development of any features/changes taking place for review.  System Acceptance Plan should include a list of the deliverables, the acceptance test activities, the criteria, and standards to be met, and the plan for their completion. |
| 1.1.117 | The Supplier must provide the following documentation (or their equivalent) for the Online System(s) and Onscreen Marking System for STA’s Approval (these documents will be reviewed annually following Set-Up – see System Standards sub-requirement 11.1.13):   * System Test Strategy * System Test Plan * Test Reports (including load testing and penetration testing) * Capacity Management Plan * Technical Specification * Functional Specification * Availability Management Plan * Task Based Checklist * System Development Methodology * Clean Down System Process * System Guidance and User Guides | System Standards sub-requirement 11.1.13.  System Test Strategy details the approach to undertaking Set-Up testing activities including what needs to be considered to test the end-to-end User journey including data flows. The strategy should detail what testing types will be executed, test reporting and defect management. The following testing must be included:   * Exploratory testing * Accessibility testing * Acceptance and unit testing * Integration testing * Regression testing * Load and performance testing (see System Standards sub-requirement 11.1.16) * Penetration testing * Acceptance and unit testing * User acceptance testing (UAT) * End to end User experience testing * Pre-production testing   System Test Plan explains what will be tested, what is out of scope, describes how testers will implement the System Test Strategy, test schedule, risks, and execution cycle.  Test reports follow the information laid out in the System Test Strategy and System Test Plan documentation, including details of defects found and resolved.  Capacity Management Plan details the expected demand, response times, User volumes and storage capacity requirements. It details how System capacity is architected and how expected fluctuations in demand can be accommodated by the System and infrastructure design. It provides assurance that capacity requirements of the System are well understood based on the available data and that the technical makeup of the solution provides sufficient support for the demand expected to be placed on it throughout the testing cycle.  Technical specification describes the System requirements and how these will be achieved including the infrastructure required to support the System.  Functional Specifications details the System capabilities, appearance, and interactions with Users in-line with business rules in detail for software developers. The Functional Specification is a continuing reference point for developers when writing the programming code – this documentation can be provided in sections determined by activities within the System going live at different stages within the academic year.  Availability management plan details how availability of the System is managed, including regular testing and continuity and security mechanisms.  Task Based Checklist is a comprehensive list of all tasks required for successful delivery of the System. Tasks should be in chronological date order and assigned an owner.  System Development Methodology describes the steps that are used to form, plan, and control the process of developing/configuring the System.  Clean Down System Process describes the clear-down of all relevant data within the Online System(s) and Onscreen Marking System at the end of and before, the commencement of each Test Cycle.  System Guidance and User Guides includes functionality and technical aspects to ensure Users are supported throughout the User journey for all aspects of the Onscreen Marking System and the Online System(s) – this documentation must also be available during testing. |
| 1.1.118 | The Supplier must ensure a Service team are assigned to development of the Online System(s) and Onscreen Marking System. This includes but is not limited to the following roles (or similar):   * Product Manager * Content Designer * System Developer * Technical Architect * Data Architect * Quality Assurers and Testers |  |
| 1.1.119 | The Supplier must provide a high-level Online System(s) and Onscreen Marking System Design Diagram with commentary describing the technology stack. |  |
| 1.1.120 | The Supplier must create a comprehensive set of User journeys mapping out all options and eventualities for Users of the Online System(s) and Onscreen Marking System (both internal and external) to enable design and thorough testing of all functionalities before go-live. |  |
| 1.1.121 | The Supplier must design all Online System(s) and Onscreen Marking System content to minimise the burden on Users including:   * prepopulating the Online System(s) with existing data where possible; * being intuitive to navigate, helping the User do the things they need to do as simply as possible – so that people succeed first time, with minimal support required; * providing User guidance within the Systems to support the User journey. | Systems should be designed to make it as easy as possible for Users to complete actions on their first attempt, without the need for further support.  Support guidance should be readily available within the Systems throughout the User journey.  Users include STA administrators. The System should be developed in collaboration with administers to ensure end-User needs at met. |
| 1.1.122 | The Supplier must ensure the Online System(s) and Onscreen Marking System content provides Users with a consistent experience from start to finish. This must include consistency with the design of GOV.UK in design and style. | This should be developed with User researchers, service designers and needs to be aligned to Government Digital Services (GDS) Design and Style Guide and include User guidance.  [Home – GOV.UK Design System (design-system.service.gov.uk)](https://design-system.service.gov.uk/)  The Supplier can use this design system to make your Service consistent with GOV.UK. Learn from the research and experience of other service teams and avoid repeating work that has already been done. |
| 1.1.123 | The Supplier must share design wireframes for the Online System(s) and Onscreen Marking System with STA for review and Approval, including the page layout, features, and arrangement of visual and text elements in relation to one another. | Wireframes visually represent the layout of the screen and ensure content can aligned before finalising the design. |
| 1.1.124 | The Supplier must ensure all wording on the Online System(s) and Onscreen Marking System goes through a content review process that includes subject experts, communications lead, and STA to ensure end-User advice and guidance is clear, concise, consistent, accurate and in-line with GOV.UK style. | A content review and Approval process involves creating a fixed series of steps that a new piece of work needs to go through before it can be signed off and used in the live System. It includes a formal way to review content at its draft stage, to ensure it is the best it can be. |
| 1.1.125 | The Supplier must ensure the Online System(s) and Onscreen Marking System are accessible to all Users. This includes meeting level AA of the Web Content Accessibility Guidelines (WCAG 2.1) as a minimum and publishing an accessibility statement that explains how accessible the Service is. | [Making your service accessible: an introduction – Service Manual – GOV.UK (www.gov.uk)](https://www.gov.uk/service-manual/helping-people-to-use-your-service/making-your-service-accessible-an-introduction)  [Make your website or app accessible and publish an accessibility statement – GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/make-your-website-or-app-accessible-and-publish-an-accessibility-statement#decide-if-anything-is-a-disproportionate-burden-to-fix-right-now) |
| 1.1.126 | The Supplier must ensure the Online System(s) and Onscreen Marking System is compatible with commonly used devices, browsers, and operating systems. | <https://www.gov.uk/service-manual/technology/designing-for-different-browsers-and-devices> |
| 1.1.127 | The Supplier must complete end to end User Experience Testing of the Onscreen Marking System and Online Systems(s) with a representative sample of Users (agreed with STA) at the end of each development phase. This should also include internal Users who will provide support to Users, for example Helpline Agents and Users with administrator access. |  |
| 1.1.128 | The Supplier must build automated versions of test scenarios for use in User Acceptance Testing (UAT) and pre-production testing. | The Supplier should aim to automate as much of the testing as possible and run the test suite as part of continuous integration. This ensures defects are quickly identified.  Automated testing enables the submission of a reference set of results to the System with a known set of outcomes to be able to check if any changes or new releases alter the outcomes at all. This can be re-run multiple times through change releases. |
| 1.1.129 | The Supplier must ensure the ability to reset the UAT System back to a known set of results. | Resetting UAT clears any changes to data made as part of UAT testing to enable testing to be repeated if needed. |
| 1.1.130 | The Supplier must share development progress through playback sessions (or similar) supported by Development progress documentation (see Set-Up and Mobilisation sub-requirement 1.1.90). | Playback sessions ensure stakeholders can see in flight development of any features/changes taking place. Frequency of playback sessions will be determined by development timelines. |
| 1.1.131 | The Supplier must ensure the Online System(s) and Onscreen Marking System is Set-Up to be fully scalable to meet current and future needs, without having any negative impact upon the performance (and User experience) of the solution. | Scalability allows systems to accommodate increases in data volumes and User numbers if required. |
| **Set-Up Deliverables – Marking and Reviews** | | |
| 1.1.132 | The Supplier must produce for STA’s Approval a draft Marking Key Dates Document which includes key dates for Marking activities. | Some dates are for the Supplier to propose, and some are STA lead, e.g., RoR. |
| 1.1.133 | The Supplier must produce for STA’s Approval, a draft Marking Operations Plan which shall include:   * Marking processes and procedures for all Marking Phases. * How Key Milestone Dates (e.g., for KS2 Assessment Data Outcomes) shall be met. * Deadlines to which Marking should progress to meet Key Milestone dates. * How and when Accurate Item Level Data will be met.   Contingency measures will be utilised in the event that Marking falls behind expected progress. | The Marking Operations Plan is to include all processes and procedures for the entire Marking operation and all Marking Phases to demonstrate the requirement/sub-requirements. (Marker training material development, UAT, onscreen Marking, Manual Marking, Review Marking) |
| 1.1.134 | The Supplier must provide a single point of access solution to Markers for any Online System(s) that they are required to use ensuring multi factored log in validation to ensure security. | Security to systems where Markers access secure and confidential materials needs to be robust to mitigate unauthorised access. |
| **Set-Up Deliverables – Security** | | |
| 1.1.135 | The Supplier must provide for STA’s Approval a Security Management Plan in line with the timeline and template set out in Schedule 5 (Security Management) of the Agreement. The Security Management Plan includes:   * Information Assurance Assessment * Personal Data Processing Statement * Required Changes Register and * Incident Management Process |  |
| 1.1.136 | The Supplier must provide for STA’s Approval, the Supplier’s security policy, which shall document the policy and procedures for:   * securing, controlling, and monitoring access to buildings and data; * the ban of photographic and copying equipment, from all areas where National Curriculum Assessment Materials and/or Test Scripts are held; * control and encryption of sensitive electronic data on all devices; * ensuring no secure material is left unattended, including within the Supplier’s premises (except when in secure storage); * secure, controlled, and managed storage of all hard copy sensitive material; * ensuring responsibilities and duties of all personnel with regard to security are defined, and communicated to personnel; * certified disposal of all waste material, printing plates and data that is no longer needed and provide destruction certificates; * security checks on people with access to sensitive data and materials; * all staff handling/processing personal data must be BPSS vetted; * control of the transfer of sensitive material outside the organisation, with appropriate authorisation and signature; * communicating with and management of sub-contractors with regards to security; * regular review and testing of the security policy and procedures; * maintaining records of security audits and breaches of security. | The Supplier is to complete face to face security visits to sub-contractors at least once per Test Cycle, during ‘live’ operations.  STA to review and agree the Supplier’s security policies and site visit reports.  No memory sticks will be allowed for this Agreement. |
| 1.1.137 | The Supplier must have a robust and resilient solution with proportionate Business Continuity and Disaster Recovery (BCDR) 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, agreed with STA. The Supplier must ensure the BCDR Plan is context specific to the Services being provided. | The Supplier must comply with the obligations in relation to Disaster Recovery and Business Continuity set out in Schedule 26 (Service Continuity Plan and Corporate Resolution Planning) of the Agreement from the Effective Date.  A number of annual milestones are fixed and cannot be moved. These dates are the statutory testing/assessment periods, when data is required for standard maintenance and the full set of results data that is published to Schools. The operational and reputational consequences of delays to other milestones on the critical path could be severe. A proportionate approach to BCDR planning which can be implemented in the event of unforeseen events to ensure continuity of the Service is essential. BCDR plans need to be tested at least annually. |
| **Set-Up Deliverables – Helpline** | | |
| 1.1.138 | The Supplier must provide, in advance of each Test Cycle a Helpline Forecast and Resource Model, demonstrating anticipated Helpline calls, emails and other media channels and the resources required to support effective handling of these in line with KPIs and SLAs for the upcoming Test Cycle. This must be Approved by STA in advance of each Test Cycle. | The Helpline Forecast and Resource Model should include:   * Forecasting of all communications channels (in relation to SLAs) * Inbound and outbound demand forecast * Expected average handling time for calls * Recruitment plan for different stages of the Test Cycle   All of the above must align with the following:   * Recruitment plan for different stages of the Test Cycle * Occupancy rates of Helpline Agents   Helpline forecasts are based on historic data from the previous Test Cycle, with adjustments made for known changes e.g., changes in key dates or policy changes. The Helpline Forecast and Resource Model provides a plan of required resource to be able to manage forecast volumes. |
| 1.1.139 | The Supplier must provide an Outbound Chase Activity Plan for STA’s Approval in advance of each Test Cycle. This plan must detail how the Helpline will conduct, monitor, and track the chase activities and report the outcomes throughout the process. This should include:   * A forecast of all planned calls. * All automatically generated email notifications for any Organisations that have not completed or attempted to complete mandatory NCA related activities in advance of or by the completed deadline. | These currently include:   * School and LA Moderation and Monitoring Agreement compliance * Pupil Registration * Headteacher Declaration Forms * Scanning Exceptions/Missing Test Scripts * Teacher Assessment * Marker recruitment activity * Data anomalies (see Data sub-requirement 7.1.34) |
| **Set-Up Deliverables – Communications and Guidance** | | |
| 1.1.140 | The Supplier must, in advance of each Test Cycle, obtain STA’s Approval for an updated Communications Strategy and Plan. They must support, and align with, STA’s Communications Strategy and Communications Plan. | The Communications Strategy makes it clear how the Supplier’s communications support Operational Delivery and deliver excellent value. It outlines the communications objectives, audience insights, roles of communications channels, an implementation plan and evaluation approach. It must be reviewed annually as a minimum but should be updated throughout the Test Cycle to reflect any new insights or agreements which affect upcoming plans.  The Communications Plan, informed by the Communications Strategy, provides details and schedules of all planned communications across the year. This becomes a live document, which should be reviewed in regular (usually weekly) KITs with the STA communications team, and alongside STA’s Communications Plan, to ensure alignment of messages and timings and to achieve the most effective reach and frequency with the audiences. |
| **Set-Up Deliverables – Continuous Improvement** | | |
| 1.1.141 | The Supplier must provide for STA’s Approval a Continuous Improvement (CI) Framework and Strategy to outline their approach to CI across the Term of the Agreement. This shall include but not be limited to a process for identifying CI, categorising CI (high, medium low), a prioritisation matrix and governance arrangements. |  |
| 1.1.142 | The Supplier must provide for STA’s Approval a Benefits Management Strategy and Plan template. |  |
| **Set-Up Deliverables – Contract Management** | | |
| 1.1.143 | The Supplier must provide a Recruitment and Retention Strategy that will be maintained annually throughout the Term, including strategies to minimise staff turnover. The Supplier must keep STA informed of Supplier Personnel changes. |  |
| 1.1.144 | The Supplier must provide a Recruitment and Retention Strategy for live delivery, including but not limited to an organisation chart, which contains the following details:   * Named Staff * Full time equivalent * Percentage of time that will be spent on this Agreement * Details of Key Personnel. Key Personnel should include staff who are responsible for the day-to-day management of the different elements of the Service.   This model must show that there are adequate resources to deliver the Service, including the processes detailed in the business process library and must show how the overlap of Test Cycles will be resourced. |  |
| 1.1.145 | The Supplier must provide templates for tracking and reporting on the progress of Approvals and timebound clauses set out in this Agreement. |  |
| 1.1.146 | The Supplier must provide a document showing how they will distinguish contract changes against operational changes and develop a process to impact assess and implement both operational and contractual change requests submitted by STA or the Supplier. |  |
| 1.1.147 | The Supplier must obtain STA’s Approval for an Exit Management Plan and Exit Information Document. These documents must cover Services provided by the Supplier and its sub-contractors or other delivery partners. |  |
| **Mobilisation for Operational Delivery** | | |
| 1.1.148 | The Supplier must have obtained STA’s 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. |  |
| 1.1.149 | The Supplier must implement knowledge management and knowledge transfer processes to ensure smooth handover from Set-Up to Operational Delivery. |  |
| 1.1.150 | The Supplier must retain and contract Markers, and identify Marker for promotion, from the STA Marker Register appointing Markers based on their performance, grade history, roles and subject in order to achieve the Supplier’s marking capacity and in line with the Marker retention and recruitment policy.  If more entry level Markers are required, than are available on the STA Marker Register, the Supplier is to recruit these in line with their Marker retention and recruitment policy.  . Recruitment and contracting of the most senior Markers responsible for developing Marker Training Materials must be completed as a priority. Timeframes for recruitment activity are to be shared with STA for comment. | Markers previously involved with the development of the training materials should be retained where they have an adequate Final Marker Grade in the previous Test Cycle, ranked in order of performance but also considering Markers identified for promotion, in order to achieve the Supplier’s marking capacity and ensuring best suitability to roles. These senior Markers should also have been involved in STA’s Technical Pre-Test (TPT) coding where possible. Senior markers with experience of TPT should, where possible, lead on the most complex Items and cascade advice and guidance from TPT to other members of the material development team.  All other Marker roles are to be recruited and retained where they have an adequate Final Marker Grade in the previous Test Cycle, ranked in order of performance but also considering Markers identified for promotion, in order to achieve the Supplier’s marking capacity and ensuring best suitability to roles. |
| 1.1.151 | The Supplier must produce for STA’s Approval, a final Contractual Fees and Expenses Document which includes the Marking fees for all Markers, for all Marking Phases of the immediate Test Cycle ahead. The fees should encourage Marker retention. The Supplier is to comply with maximum 30-day payment terms in respect of all Marker payments which the Supplier is liable to make. | The Contractual Fees and Expenses Document will be revisited and re-agreed as part of Mobilisation of each Test Cycle to ensure it reflects the lessons of the previous year and that fees are set accordingly with market conditions. |
| 1.1.152 | The Supplier must produce for STA’s Approval, a final Marker Recruitment and Retention Strategy which outlines the Marking hierarchy, all Markers role and responsibilities and the criteria/experience of each Marker role. | Current guidance on who can be a KS2 Marker can be found here for the 2022 Test Cycle: [Key stage 2 tests: how to become a marker – GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/key-stage-2-tests-how-to-become-a-marker)  The criteria and experience required, aside from that stipulated in the Statement of Requirements, will be for agreement between the Supplier and STA through the development of the Marker Recruitment and Retention Strategy. |
| 1.1.153 | The Supplier must produce for STA’s Approval, a final Performance Management Plan to outline how Markers will be graded for each Test Cycle in order to retain as many high-quality Markers (i.e., those that met the required On-going Marking Quality Assurance standards and completed their Marking activities/Allocations on time) as possible from the previous Test Cycle. The Supplier must ensure:   * Supervisory Markers are graded in a way that also reflects their performance in their supervisory role; * Markers can only advance to the next Marker role in the Marker hierarchy for that subject; * performance grades are used to inform future retention, recruitment activity and succession planning; * algorithms or other criteria by which performance grades are awarded are documented; * a Marker complaints/appeals process is available for any Marker wanting to challenge their performance grade. | Currently, Marker KPMs include:   * an element of automated system/data generated ratings for the quality of Marking KPM. * Supervisors grade other KPMs using their observations and statistics gathered throughout the Marking cycle to make judgements based on data, for all other KPM ratings.   The current system then uses an algorithm, as agreed in the Marker Performance Management Plan, to automatically calculate Interim and Final Marker Grades using all the Marker KPMs. |
| 1.1.154 | The Supplier must produce for STA’s Approval, a final Letter of Appointment template for all Markers for all Marking Phases to include all relevant information Markers require to accept a contract. This must contain a statement of consent for processing data required for the Marker Register. |  |
| 1.1.155 | The Supplier must provide for information, final Marker Terms and Conditions for all Marking Phases for which Markers are engaged for a Test Cycle. Markers must not be contracted until the Marker Terms and Conditions; Letter of appointment Template; and other related documents have been Approved by STA. |  |
| 1.1.156 | The Supplier must produce for STA’s Approval, a final Marker Register Template which will list all the data fields required for the ongoing population of STA’s information asset. This is to include information for contracted Markers, uncontracted Markers, and conflict of interests.  The Marker Register Template must adhere to that shared in the data room. Additional information must be added to the Marker Register Template at STA’s request in line with the Supplier’s solution. |  |
| 1.1.157 | The Supplier must provide for STA’s Approval, a final Marker Register Management Document which documents:   * the mapping approach for the initial STA Marker Registers; * what data will be in each column and when it will be populated including any mandatory fields; * how and what information is proactively quality assured; * how information is transferred between Marker management Systems and the Marker Registers throughout the Test Cycle including ensuring that only potential Markers who meet the entry level Marker requirements are included in the Marker Register; * how data is managed in line with privacy notices to ensure Marker data is not retained for longer than three Test Cycles. | The Supplier is expected to proactively quality assure the information in the register as provided by Markers. This should cover all dimensions of data quality, including Accurate, Complete, Valid, Unique, Consistent and Timely data. |
| 1.1.158 | The Supplier must ingest and map all the STA Marker Register information (STA’s information asset) at agreed dates during Set-Up and ahead of the first Operational Delivery year, ensuring the accuracy of data. The mapping approach is for STA’s Approval. Following each ingestion, the Supplier must produce a New Marker Register in accordance with the Marker Register Template, for STA’s Approval. The Marker Register must be quality assured in line with Marker Register Management Document. | Some information will not be available to handover until between July and September which straddles Set-Up and Mobilisation period e.g., Interim and Final Marker Grades. Such information will need to be mapped during Mobilisation period. |
| 1.1.159 | The Supplier must produce for STA’s Approval, a final Marker Training Plan which details the training programme for all Markers for all Marking Phases, including a detailed description of the scheduled meetings and the associated Marker Training Materials required for their delivery. |  |
| 1.1.160 | The Supplier must produce for STA’s Approval, a final Marker Training Materials Approach, Style, and Quality Assurance Document to be used in the development, trialling, refinement, and delivery of all Marker Training Materials. This will define how all Marker Training Materials will be created and quality assured throughout their development. | This will cover all Marker Training Materials including the suite of Marker Training Materials and any eLearning. |
| 1.1.161 | The Supplier must annually classify Items within the KS2 Tests and produce for STA’s Approval, a final Item Classification Document which defines a rationale for how all Items in each KS2 Test will be classified in accordance with their Marking complexity and the Supplier’s proposed Marking approach. | Items in each Test will be allocated as particular type to differentiate the level of Marking complexity. This will also define which Marker roles, mark which Items. |
| 1.1.162 | The Supplier must develop for STA’s Approval, a final Marker Communications Plan which identifies all required Marker communications and when they are due throughout the Test Cycle. This is to be updated monthly (during the Test Cycle) and shared with STA, to update on progress and add any new communications as identified. Key Marker communications are to be shared with STA for comment, in sufficient time to allow the Supplier to update communications based on feedback. These will be identified and agreed in the communications plan. Final versions of all communications are to be sent to STA for information. | Examples of Marker communications are below, this is not an exhaustive list:   * Recruitment * Training and meetings * Marking activity * Post Marking activity * Feedback and acknowledgement of participation |
| 1.1.163 | The Supplier must produce for STA’s Approval a final Marking Key Dates document which includes key dates for Marking activities. | Some dates are for the Supplier to propose, and some are STA lead, e.g., RoR. |
| 1.1.164 | The Supplier must produce for STA during Mobilisation an early iteration of the Marking Capacity Model for all required Marker roles that are involved in Marker Training Material development activities for each subject. |  |
| **Demonstrate Readiness for Delivery** | | |
| 1.1.165 | The Supplier must 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. |  |
| 1.1.166 | The Supplier must have implemented a complete Operational Delivery Infrastructure in accordance with the Set-Up PID Suite 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). |  |
| 1.1.167 | The Supplier must provide Mobilisation documents ahead of the beginning of each Test Cycle, which shows a ‘readiness for Test Cycle’ determined by a true reflection of lessons learned from previous Test Cycle(s) and appropriate tailoring for the forthcoming Test Cycle for STA’s Approval covering:   * Business processes * Systems Specifications * Functional and Non-Functional Test outcomes * Systems Capacity Plan * Security assurance * Security Management Plan * Security operating policies and procedures * Operational Delivery PID Suite (including Operational Delivery Plan and PDs) * Lessons Learned Implementation Plan * All Personnel in place * Marker Recruitment and Retention Strategy, Contractual Fees and Expenses Document, Marker contract terms and Letters of Appointments, Marker Training Plan, and updated Marker Register * Print and Logistics Strategy and Production Plan * Communications Strategy and Plan * Supplier Helpline Forecast and Resource Model * Fully tested Business Continuity and Disaster Recovery Plans * Complete suite of MI which has been fully tested * Assurance and Business Readiness Strategy and Plan(s) (see assurance requirement) * Operational Test Strategy and Plan (including go live preparation/activity) * Resolution of Test Cycle fundamentals (key dates, critical path). |  |
| **Management Information** | | |
| 1.1.168 | The Supplier must provide for STA’s Approval their approach to MI for the end-to-end Service, which should be updated for each Test Cycle. This should include but not be limited to:   * A plan that shows clear stages of MI development, build, test and deployment and states where supply chain personnel and STA are required to be involved. * A tailored plan that shows the continuous review cycle of MI during Operational Delivery where refinements and updates can be executed flexibly and as required. * Defines the source data required for all MI outputs/reporting. * Indicates who the appropriate audience/User is for each MI output, and why, to ensure subjectivity is minimised. * Propose the governance structure and reporting in which each type of MI output should be affiliated with. * Sets out when MI outputs are relevant throughout the Service and distinguishes between the level and rate of MI needed during Peak and non-peak delivery. |  |
| 1.1.169 | The Supplier must provide a specification for STA’s review and input for each MI report that encompasses the requirements STA has set out for live delivery in Requirement 16: Management Information. |  |
| 1.1.170 | The Supplier must provide an MI Test Plan for STA’s review prior to test execution and a MI Test Completion Report following testing that should evidence how the MI reports will work as expected in live delivery and provide assurance to STA in accordance with the Assurance and Business Readiness Strategy as stated in Set-Up and Mobilisation sub-requirement 1.1.35. |  |
| 1.1.171 | The Supplier must test MI in accordance with the Operational Test Strategy as stated in the Set-Up and Mobilisation sub-requirement 1.1.36 and to the agreed MI Test Plan, to ensure that data produces accurate MI, and the reports work as expected in live delivery. | This could be achieved through the use of Dummy data to test the MI. |

## Requirement 2: Programme Management

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| **ID** | **Main Requirement** | **Supporting Information** |
| 2.1 | The Supplier must undertake robust, collaborative management of Operational Delivery using PRINCE2 (2017) product-based planning together with programme/project management methodologies to ensure successful completion of each Test Cycle.  The Supplier must use Management of Risks principles to manage risk processes.  The Supplier must also use Agile methodologies to govern System change management and development and should demonstrate how this will be embedded into Operational Delivery through the Operational Delivery PID Suite. | The product-based planning approach is identifying what needs to be delivered (the products) before deciding what activities, dependencies and resources are required to deliver those products (PRINCE2, 2017). |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| **Programme and Project Management – Cycle Mobilisation** | | |
| 2.1.1 | The Supplier must identify all products/deliverables of a Test Cycle that occur prior to the date of Key Milestone 1 being achieved and provide a plan and reporting arrangements for the delivery of such. This may include but not be limited to:   * Delivery of the PID Suite and Key Milestone 1 deliverables themselves * Senior Marker recruitment activities * Planning for handover of National Curriculum Assessment Materials * Early Marker Training Material development processes |  |
| 2.1.2 | The Supplier must collaborate with the STA on the planning of Test Cycles whereby dates must be either:   * supplied by STA (e.g., Test dates and dates of RoR; * agreed with STA or are dependencies on STA’s resource. This will include the agreement of Key Milestone dates on an annual basis, the agreement of dependencies and dependency dates, and all dates whereby STA staff are required to participate in Supplier-led processes (for example the development of Marker Training Materials, which require input from STA’s team of Test Development Researchers). |  |
| 2.1.3 | The Supplier must provide a PID Suite as part of Mobilisation at the beginning of each Test Cycle for STA’s Approval. The PID Suite should include (but not be limited to):   * A PID Document * Governance structures/arrangements * Incident Management Approach * A PBS * Statement of Requirement Traceability Matrix * Quality Management Strategy * Risk and Issue Management Strategy * Configuration Management Strategy * Knowledge Management Strategy and Plan * Operational Delivery Plan * Plan on a Page * PDs * Reporting Templates * Risks, Assumptions, Issues and Decisions (RAID) Log Template * RAID Log (including detail) * Quality Register * Lessons Log * Risk Register * Business Process Library * MI Catalogue * End of Test Cycle Report Template |  |
| 2.1.4 | The Supplier must obtain STA’s Approval for each iteration of the Operational Delivery Plan which the Supplier shall ensure:   * is User-friendly so that STA can see at a glance where things are off track; * is fully aligned to and compliant with PRINCE2 methodology; * contains milestone dates for all milestones to be achieved during the relevant Test Cycle (including those described in Schedule 3 (Performance Levels) of the Agreement); * is 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. | The Operational Delivery Plan must align with the agreed PBS and:   * be repeatable for future Test Cycles following Year 1; * allow for filtering (e.g., by Key Stage); * ensure Key Milestones and upper-case Approvals are clearly flagged; * clearly indicate whether a milestone or activity is on or off track, using RAG colour coding to provide easy reference; * include constrained dates where dates are pre-determined/dependencies.   All products/deliverables should be documented in the plan, and there should be no products/deliverables in the plan that are not defined in a PD. It should align with the BAFO response.   * Reference numbers should be included for each line and match the PDs. * Ensure how PDs and deliverables are executed and achieved by identifying the predecessors and successors of each. * The activity/task description within the plan should clearly identify resources and what is expected of them are clearly indicated. * Detail provision of all MI to STA (to match the MI catalogue). * The project calendar applied to the plan needs to consider public holidays, LA and School holidays (where possible) and weekends (subject to prior agreed weekend working where applicable). Annual leave for staff may also be considered where required to support planning. * Consideration is given to the timing of any third-party activity to ensure resource is not being overloaded. * Consideration is given on how third-party plans and/or schedules are integrated. * Task/milestones/activities can be understood / contextualised as standalone entities to enable filtering of the plan without loss of context and understanding. * Any dependencies between products and deliverables have been accurately represented and the critical path identified. * Any planning assumptions are clearly documented, and verification is shown ahead of the assumption becoming realised. * Time-bound contractual requirements are accurately reflected. * 5:3:2 is accurately applied to all deliverables that require an Approval, except for those deliverables that may require an extended review cycle due to its individual scope, design, size, volume and/or configuration, which should be highlighted for easy visibility. * Clear principals on how the plan will be controlled, updated, and monitored overtime. * To include rules on setting an appropriate baseline and how changes will be reflected and reported to show any re-baselining and the impact this could have on dependencies (tasks and dates). * Produces reports that allow the Supplier to track and monitor progress of delivery and fully populates the agreed Reporting Templates defined in the PID Suite. |
| 2.1.5 | The Supplier must obtain STA’s Approval for a plan of comprehensive corrective actions, mitigations, and specific timescales in the event of any slippage against the Operational Delivery Plan to restore progress back to plan. |  |
| 2.1.6 | The Supplier must provide a Governance and Reporting Plan for Operational Delivery associated with non-peak and Peak Period for STA’s Approval. This plan must show how daily MI will be provided during Peak Period in a Timely and accurate manner. This shall reflect the Reporting Templates agreed as part of the PID Suite for weekly and daily operations meetings.  The plan shall cover the three types of meetings in Peak Period:   * Tuesday – full meetings * Thursday – MI * Actions and daily exceptional meetings (MI and actions) | MI must be submitted daily and should be drawn from the latest available information. Meetings include a full, standard Tuesday operations meeting, a Thursday checkpoint focusing on actions and MI only, and daily exceptional meetings which can be stood up or down as required by STA. |
| 2.1.7 | The Supplier must use Agile methodologies to manage System development and change and evidence how this will be delivered in a timebound environment through the Operational Delivery Plan. |  |
| 2.1.8 | The Supplier shall provide a Testing Strategy and Plan for STA’s Approval for each Test Cycle, which should be updated with known change, and further changes as these are contractually agreed. |  |
| 2.1.9 | The Supplier must provide a Readiness for Service Report, demonstrating that all deliverables required for Key Milestone 1 have been achieved, personnel are in place and appropriately skilled, together with evidence that change, and CI projects have/will be tested effectively and are ready for introduction. Readiness for Service may also be demonstrated through System/process demos, on-site walkthroughs etc. |  |
| 2.1.10 | The Supplier must provide an Assurance Strategy and Plan for each Test Cycle, which should be updated at key points throughout the Test Cycle, demonstrating assurance against delivery of each of the Key Milestones. |  |
| 2.1.11 | The Supplier must collaborate with STA efficiently on the creation and maintenance of PDs, and documents throughout the Test Cycle. |  |
| 2.1.12 | The Supplier and STA should work together to provide a secure SharePoint site (or similar) for the sharing of documents. |  |
| 2.1.13 | The Supplier and STA’s Programme Management Office should maintain up to date lists of stakeholders. |  |
| 2.1.14 | The Supplier must ensure that all documentation provided to STA for review or Approval is shared to the correctly identified personnel. |  |
| 2.1.15 | The Supplier must provide an End of Test Cycle Report, detailing performance, and achievement (or otherwise) of Key Milestones and their supporting products/deliverables. The plan should be built iteratively across the Test Cycle after the achievement of each Key Milestone. |  |
| **Test Cycle Management and Delivery** | | |
| 2.1.16 | The Supplier must 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 and STA’s Operational Delivery personnel based on trust and openness. | Effective, strategic working relationships and a joint single-minded focus on the successful delivery of each Test Cycle are important to STA to make timely decisions, identify and resolve issues either as they arise or to prevent an issue occurring.  It is also imperative that the Supplier has effective, joined up working relationships within its delivery organisation (both internally and with consortium partners and/or sub-contractors) to manage interdependencies and successfully deliver the end-to-end Service. |
| 2.1.17 | The Supplier must put in place clear internal and joint governance arrangements (as per Schedule 21 (Governance) of the Agreement) that allow for rapid and effective decision taking and escalation of issues requiring resolution and provide STA with a copy of the same. This should reference the issue and Incident Management Approach and be clearly documented in the governance section of the Test Cycle PID Suite. |  |
| 2.1.18 | The Supplier must attend all governance meetings (as per Schedule 21 (Governance) of the Agreement) with STA, including daily and weekly operations meetings, ensuring sufficient depth/breadth of knowledge and decision-making authority to answer and resolve operational issues. |  |
| 2.1.19 | The Supplier must provide and implement a Quality Management Plan that sets out how the Supplier will conduct robust internal quality assurance. This must also include how products/deliverables will be reviewed and approved internally before provision to STA. |  |
| 2.1.20 | The Supplier must maintain accurate, version controlled, records of all products/deliverables, in accordance with the agreed Configuration Management Strategy (configuration management and version control). |  |
| 2.1.21 | The Supplier must review, update, and obtain STA’s Approval for Knowledge Management Strategy and Knowledge Transfer Plan for the Supplier personnel on an annual basis; the strategy and plan should detail:   * how knowledge of the programme, its deliverables and processes will be built and maintained across the Supplier’s delivery team; * how the risks of individuals leaving will be mitigated including but not limited to identification and documentation of knowledge and detailed transfer plans; * what process will be adopted to cover any instances where personnel are off due to sustained sickness. |  |
| 2.1.22 | The Supplier must provide Mobilisation documents ahead of the beginning of each Test Cycle, which shows a ‘readiness for Test Cycle’ determined by a true reflection of lessons learned from previous Test Cycle(s) and appropriate tailoring for the forthcoming Test Cycle for STA’s Approval covering:   * Business Processes * Technical Specifications (Systems) * Functional and Non-Functional Test Outcomes * Capacity Management Plan (System) * Security Assurance * Security Management Plan * Security Operating Policies and Procedures * Operational Delivery PID Suite (including Operational Delivery Plan and PDs) * Lessons Learned Implementation Plan * All Personnel in Place * Marker Recruitment and Retention Strategy, Contractual Fees and Expenses Document, Marker Terms and Letters of Appointments, Marker Training Plan, and Updated Marker Register * Production Plan * Print and Logistics Strategy * Communications Strategy and Plan * Helpline Forecast and Resource Model * Fully tested Business Continuity and Disaster Recovery Plans * Complete Suite of MI which has been fully tested * Assurance and Business Readiness Strategy (see Programme Management sub-requirements 2.1.25 and 2.1.26) * Systems Test Strategy and Plan (including go live preparation/activity) * Resolution of Test Cycle Fundamentals (key dates, critical path) |  |
| 2.1.23 | The Supplier must be suitably resourced (and maintained in accordance with the Resource Model established as part of Set-Up), to enable the success of the live Operational Delivery and Mobilisation activities whereby both will be required to be delivered concurrently for approximately 3 – 6 months of the year. This should be evidenced through the provision of:   * Organisational design, including management hierarchy * An organisational chart indicating responsibilities, reporting lines and numbers of FTE staff * The skills and experience relevant for each role * The number of staff by role currently employed and the number by role to be recruited * The processes and timescales for undertaking recruitment to each role * The underpinning assumptions that support your staff profile * What your business/programme employee retention strategies are * How you will keep resourcing under review to ensure it is sufficient | Mobilisation for the forthcoming Test Cycle (whilst delivering the live Test Cycle) can typically take place anytime from May up to September. |
| **Test Cycle Closure** | | |
| 2.1.24 | The Supplier must conduct a lesson learned review and End of Product Report for STA’s Approval (for both) upon the completion of each product to inform Continuous Improvement. |  |
| **Strategic Assurance** | | |
| 2.1.25 | The Supplier must provide for STA’s Approval an updated Assurance and Business Readiness Strategy annually which, demonstrate a consistent and standard approach in providing STA assessments of confidence throughout the operational year, and how it will be executed (see plan requirement). This should cover all areas of Operational Delivery at various programme levels; strategic, functional, and cross functional for STA’s Approval, and include (but not be limited to) the following principles defined within the context of delivery:   * Follows industry best practice in programme and project assurance * Use a ‘three lines of assurance’ model (first, second, third) and define these as part of the Supplier’s solution * Types of assurance methods are proportionate to the size/scale of risk against each programme level * Responsibilities and accountabilities are identified against each programme level * Affiliation to other relevant programme documentation such as quality management, quality controls and risk management * Sets out the criteria in which confidence shall be assessed, presented, monitored and reported * Illustrates the full end-to-end assurance life cycle for the programme, highlighting specific touch points at each programme level |  |
| 2.1.26 | The Supplier must provide for STA’s Approval an updated Assurance and Business Readiness Plan annually which, (akin to above Strategy) sets out how confidence levels will be maintained, evidenced, and presented to STA throughout the Operational Delivery year. This should include scheduling, resourcing, and reporting outputs in line with governance arrangements. |  |
| **Other Requirements** | | |
| 2.1.27 | The Supplier must provide information required by STA to respond to parliamentary questions or requests under the Freedom of Information or Data Protection Acts within 1 working day and 3 working days respectively of STA asking for such information. The Supplier must provide other information required by STA to respond to official correspondence within 5 working days or any other period specified by STA. | STA’s Chief Executive is accountable to the responsible Minister and DfE Permanent Secretary for the effective delivery of National Curriculum Assessments. The Chief Executive must be able to provide the correct and up to date status of the Test Cycle at regular intervals, and on an ad hoc basis when requested. |
| 2.1.28 | The Supplier must provide the option for Schools from countries outside of England to participate in any or all of the National Curriculum Assessments. Where the Authority notifies the Supplier of any participating Schools this shall be governed by the Change Control Procedure in line with clause 5.12 of the Agreement. | Jersey Schools (c.30 primary schools, c1,100 pupils) have participated within the KS2 NCA’s since 2017. These reduced services are provided to Jersey Education, which includes the distribution of KS2 test materials to the Island, the collection of completed Test Scripts, marking services and then return of results data to schools/Jersey Education. |

## Requirement 3: Print, Collation and Logistics

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| **Production and Logistics – Planning** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 3.1 | For each Test Cycle, the Supplier must plan the sourcing, production, collation and logistics activities of NCA in conjunction with STA, to demonstrate they will be able to provide all Schools participating in each assessment with all the NCA Materials they require during the published delivery windows in advance of each test administration window and, for KS2, collect all Test Script packages by the end of the Timetable Variations window. |  |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 3.1.1 | The Supplier must Agree with STA:   * the dates by which STA can provide the provisional and final Component specifications, Model Specifications, Tactile Diagram Specification, and the complete Test design files to the Supplier; * the subsequent dates for production and provision of the Production Proofs for STA’s Approval. |  |
| 3.1.2 | The Supplier’s plans must account for the availability of the data required to produce any estimated or final production quantities. | The Supplier will collect this data through the Test Orders process. |
| 3.1.3 | The Supplier must utilise the School term dates data they have collected from the LA websites and via the Online System(s) to determine the optimum delivery period to each School for each assessment and, for KS2, the time available for Test Script collections prior to the May half-term.  Deliveries and collection planning must also take typical School opening hours into account i.e., Monday to Friday between 09:00 and 16:00.  STA will publish these delivery windows in the annual ARA document, and it will not be possible to alter these dates after publication. | Successful completion of deliveries, or collections, will depend on School availability. Although the test administration windows are reasonably fixed within each academic year, the Easter/Spring break will move depending on where the bank holiday weekend falls. LAs recommend term dates for all Schools in their area, but some Schools will vary from these. Similarly, the May half-term has traditionally been in the bank-holiday week, but some Schools vary from this or take two weeks.    The optimum delivery period should take into account, for e.g., their logistics supplier’s capacity, the risks of asking Schools to store confidential NCA Materials for extended periods, and the need to supply replacement or additional materials to Schools ahead of administration.  The KS2 main distribution has taken place in the week prior to the May Day bank-holiday and the Phonics Screening Check (PSC) distribution in the third week of May, i.e., before the half-term break. |
| 3.1.4 | The Supplier must adjust the plans periodically to account for changes to the underlying variables, e.g., changes to the School data or the final Component specifications or quantities and provide updated plans to STA by the dates specified in the Operational Delivery Plan. |  |
| 3.1.5 | The Supplier must ensure that the Print and Logistics Strategy and draft Production Plan is finalised for Key Milestone 1. |  |
| 3.1.6 | The Supplier must develop for STA’s Approval by the dates specified in the Operational Delivery Plan, processes to manage Exceptions that occur during any part of the delivery where confidential materials could be accidentally released into the public domain. |  |

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| **Production and Logistics – Production** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 3.2 | For each Test Cycle, the Supplier must produce the KS1, KS2 and PSC materials to fully meet the design, quality, digitisation, and delivery requirements specified by STA, so every participating School can administer them to their eligible Pupils during the published assessment timeframes/windows/periods or, for KS2, on the specific day of the Test timetable. | STA considers it important to ensure consistency in the manufacture of all NCA Materials to exactly the same high standard wherever the materials are used. The NCA Materials must also be accessible to all Pupils through the provision of Modified NCA Materials.  STA designs and develops the NCA Materials in Standard and modified variants. The standard answer booklets completed by Pupils are A4 and saddle stitched. The modified variants offered include Enlarged Print (EP), Modified Large Print (MLP), braille and various physical Models. The EP are in Japanese B4 format, MLP Test Papers are A4 format, and contracted and uncontracted braille in standard braille format, with the inclusion of tactile diagrams as appropriate.  Once the NCA Materials are signed off as complete by STA, the press ready PDFs and other design files (e.g., brf) are transferred via Secure File Transfer Protocol to STA’s Test Operations Service prime supplier’s print supplier. STA also provides hard copy samples of each braille Test, the specifications for any Models, and the moulds/formas for the tactile diagrams.  The Supplier will also be responsible for designing, printing, collating and distributing the Stationery Materials Schools require to despatch their KS2 Test Scripts to the scanning bureau. PSC is Marked in School by teachers.  STA notifies Schools of the statutory administration periods for the Tests and the corresponding weeks when NCA Materials will be delivered.  KS2 Mark Schemes, Mark Schemes for Modified Tests and PSC scoring guidance are developed and designed each year by STA and provided to the Supplier in PDF format.  A small additional contingency quantity of all materials is produced to account for late changes to School requirements. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 3.2.1 | The Supplier must calculate the quantity of KS1, KS2 and PSC materials to produce and supply to every participating School to ensure every eligible Pupil can sit the Test Paper during the appropriate and published test administration period, as set out in STA’s ARA document for each academic year.  To achieve this the Supplier must:   * utilise any available data sources, e.g., Get Information about Schools (GIAS), School Census, to determine the Schools’ requirements; * request Schools provide additional data only when it cannot be obtained through available sources, e.g., the Schools that do not submit Census data, Modified Test requirements; * provide the Schools with the means to submit such data as defined within the Online System(s) requirements; * incorporate data supplied by STA for Schools not covered by the requirements bulleted above (within this sub requirement) or for any other STA purpose, e.g., Reference Sets; * work with STA’s Modified Test Agency to help Schools revise their Modified Test Orders to ensure that they meet the agreed validation criteria; * build, test and assure the System/application that will calculate Accurate production quantities for each STA specified Component; * determine appropriate contingency quantities to add to the minimum production quantities to allow for any removal of Components for QA sampling, late increases in demand from Schools, and so each School receives a small quantity of each Test Paper beyond their Pupil count for each subject.   In the event the Supplier under-calculates the quantity of any Component, they must arrange for the deficit quantity to be produced while maintaining the deliveries to Schools ahead of the test administration windows. | The number of Pupils taking each Test Paper, and the specification for the Test Papers, changes each year. The Supplier needs to be able to brief their print and collation suppliers about the quantities to output.  Alongside the materials for Schools, STA needs to receive final production copies of all Test materials for various purposes. These are the “Reference” sets. As a minimum, the Authority will need one of everything but may require 30-50 copies of KS2 Test materials in particular cycles. |
| 3.2.2 | The Supplier must make available to STA the means to transfer NCA Materials design files to the Supplier’s print supplier and to receive pdf Production Proofs. The Supplier must:   * document associated processes and quality controls, e.g., filename conventions and version control, to minimise the risk of an incorrect file being used, and provide any training on these processes and the System(s) that are relevant to STA; * provide STA with any licenses to access the file transfer System; * limit access to STA’s files within the System to only those people from STA, the Supplier or the Supplier’s production contractor directly involved in the transfer of the files in accordance with Security sub-requirement 9.2.21; * provide an ITHC in accordance with Security sub-requirement 9.2.18. |  |
| 3.2.3 | The Supplier must produce Production Proofs for every Component to match exactly STA’s artwork in the format specified by STA in the Production Specification.  The Supplier must supply the Production Proofs to STA either electronically through the file transfer system or by courier for physical samples. STA must Approve every Production Proof before the Supplier uses the originating design file for production. |  |
| 3.2.4 | The Supplier must ensure that successful completion of a print proofing cycle with Approvals from STA must take place for handover to be finalised. |  |
| 3.2.5 | The Supplier must produce a Quality Management Regime, by the date specified in the Operational Delivery Plan. The Quality Management Regime must include how:   * the Supplier ensures every Component the Supplier produces and delivers to Schools is an accurate reproduction of STA supplied design files and/or physical samples, and STA supplied specifications, and the Approved Production Proofs; * the Supplier ensures all KS2 Test Papers meet any additional specifications or quality considerations introduced by the Supplier to support their scanning and Marking processes; * the Supplier ensures any quality Exceptions discovered during production will be investigated and corrected. | In the event defective materials reach Schools and are identified before a Pupil has used them. The Supplier must replace those materials or have provided contingency.  In the event a School administers defective Components to their Pupils and returns the Test Script for Marking, the Supplier must implement the process agreed with STA to provide a valid Assessment Outcome. |
| 3.2.6 | The Supplier must provide STA with evidence to demonstrate they have applied their Quality Management Regime during production. |  |
| 3.2.7 | The Supplier must source all substrates including paper to produce every Component of the KS1, KS2 and PSC materials as specified by STA, in conformance to STA Paper Specification. Before ordering the substrates for the Test Cycle, the Supplier must demonstrate to STA, and gain STA’s Approval, that every substrate is suitable for the specified Component and, for KS2, that it performs efficiently during scanning. | A basic Print Specification is set out in the 2019 Print Information Management Spreadsheet (PIMS) and the 2022 Print Specification documents in the data room. Previous papers that STA have used includes Print Speed, Berga Classic, UPM Fine and CVG Crown Offset.  Excessive transparency/opacity can be an issue in both cases because the image from the reverse page can show through and obscure the item on the facing page. This makes it difficult for Pupils to answer or for a clean image to be scanned. |
| 3.2.8 | The Supplier must ensure sufficient quantities of each substrate, and other materials required for production (e.g. ink) are available so that production is not delayed by lack of these essential materials, noting the need to replace copies taken for QA purposes and the risk of having to reproduce some or all of a production run to correct defective outputs. |  |
| 3.2.9 | The Supplier must produce all the NCA Materials for KS1, KS2 and PSC necessary for Schools and Markers in accordance with STA’s Test Component specifications and instructions, which will be refreshed for each academic year. | The development process takes around 3 years. KS1 materials will be available to handover in January. KS2 standard materials are ready to be handed over in February. Modified materials for both key stages follow after KS2 standard materials.  The Supplier must then produce print proofs, matching STA’s artwork, to be signed off for production.  The Test Paper content is new for each academic year. Example specifications can be found in the 2019 PIMs and the 2022 Print Specification documents in the data room. Final paginations cannot be confirmed until the booklets are constructed and signed off for handover at the start of the calendar year.  The Supplier will be responsible for collecting the data from Schools or other sources about their Pupil numbers. They will need to calculate the quantities of materials to produce. |
| 3.2.10 | The Supplier must document and share with STA any design elements it proposes to adapt the KS2 Pupil answer papers answer design templates to support any downstream processes, e.g., barcodes to support scanning for on-screen Marking Agreement must be reached with STA by the date specified in the Operational Delivery Plan. | STA reserves the right to refuse to implement any proposed design elements that interfere with the Test Paper content or may hinder Pupil responses. Agreement must be reached in time for STA to implement the design elements into the NCA Materials. This would usually be by July of the year before the Test Paper goes live. |
| 3.2.11 | The Supplier must produce NCA Materials in accordance with the Approved Security Management Plan and shall treat NCA Materials as confidential [OFFICIAL-SENSITIVE] until the point of administration in Schools in accordance with statutory NCA timetables as detailed each year in the ARA document. | The NCAs are of significant public interest and are politically sensitive. The Test Paper content is refreshed for each academic year and must remain confidential until the completion of the assessment periods for each Test Paper. Release of Test Paper content into the public domain before the Schools have completed administration risks the cancellation of that assessment, or part of the assessment if the breach is limited. This would be because the Authority could no longer have confidence in the responses being the Pupils’ own, unaided work. This would cause severe embarrassment to STA and the Government and would cause a significant waste of public funds.  Under the current Government Security Classifications, the NCA Materials are (OFFICIAL-SENSITIVE). |
| 3.2.12 | The Supplier must 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 Operational Delivery Plan. |  |
| 3.2.13 | The Supplier must provide the proposed Print and Scanning Specification to STA, for STA’s Approval, prior to STA’s production of the artwork. | The design and content of the NCA Materials is fixed by STA. |
| 3.2.14 | The Supplier must liaise closely with STA on the handover of print files to understand the specification of the items to be produced, especially Modified Tests (braille, Enlarged Print and Modified Enlarged Print) where there is more variation. |  |

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| **Production and Logistics – KS2 Script Return Stationery** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 3.3 | The Supplier must supply all Schools participating in KS2 assessments with, in the first instance, physical copies of the Stationery Materials necessary for them to despatch their Pupils’ KS2 Test Scripts to the scanning bureau or any other Marking location. | Stationery Materials for Schools have included:   * a guidance booklet explaining how to package Test Scripts, including variations for Modified Tests or School type, e.g. MoD Schools; * Test Script despatch labels (e.g. addressed to the scanning bureau); * outer Test Script packaging; * MoD or Jersey (as required) network over bag; * any inner packaging to distinguish non-scannable Test Scripts etc; * Attendance Registers and instructions; * despatch log for Schools to record the package tracking numbers. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 3.3.1 | The Supplier must design the Stationery Material and instructions Schools will need to return their KS2 Test Scripts for Marking, which STA will review and Approve. The designs must follow STA’s Style Guide and instructions.  The Stationery Materials will need to be designed to cater for the following (typical) variations:   * English Schools; * MoD Schools; * Additional packaging for braille Test Papers and Jersey Schools (as required). | Stationery Materials for Schools include:   * Test Script despatch guidance * Specific School type instructions sheets * Test Script despatch labels (e.g. addressed to the scanning bureau) * Outer Test Script packaging * MoD or Jersey (as required) network over bag * Any inner packaging to distinguish non-scannable Test Scripts etc |
| 3.3.2 | The Supplier must produce and provide Stationery Materials for Schools to package and despatch the KS2 Test Scripts for scanning and Marking. |  |
| 3.3.3 | The Supplier must seek to minimise the environmental impact of the production of Stationery items it provides to Schools. | The current Stationery includes various LDPE 4 polybags along with the paper-based items. |
| 3.3.4 | The Supplier must produce Attendance Registers which, must be designed and manufactured in such a way as to allow digitisation in preparation for matching of Pupils to Test Scripts before onscreen Marking. The design of the Attendance Register must:   * contain the details of the School; * indicate clearly which Test Script it relates to; * list the Pupils registered for the Test Script for each School, including their last name, middle name, first name, date of birth or other information agreed with STA with this data taken from the Pupil Registration and School Census; * allow the School to record the appropriate attendance status as defined in the ARA document. | STA would welcome digital solutions for provision of Attendance Registers where this is proven to work effectively with the solution and User experience testing has been carried out. |
| 3.3.5 | The Supplier must utilise the available data sources to calculate the quantity of Stationery Materials to produce and send to each School. |  |
| 3.3.6 | The Supplier must ensure that all Test Script despatch labels issued to Schools can be tracked through their logistics provider’s network. | The Supplier must demonstrate the process for exchanging parcel tracking data between their logistics provider and their contracted Stationery Materials producer is set up and functioning correctly so that no data is lost. |
| 3.3.7 | The Supplier must provide the means for Schools to request/order replacement Stationery items following delivery of the initial physical copy Stationery Materials. This could be via download or as physical copy where download is not suitable. All physical copy items must be delivered within 24 hours of request/next working day to avoid delays to the School returning the Test Scripts for scanning and Marking. |  |
| 3.3.8 | The Supplier must document and share with STA the Quality Management Regime it will apply during the KS2 stationery production, and demonstrate its application, so STA can be assured that every School will receive only the variable data items intended for them and that all items are accurate reproductions of their Approved proofs and specifications. |  |
| 3.3.9 | The Supplier must ensure that the Test Script return packaging maintains its integrity and protects its content during transit through the courier’s network from School to scanning bureau without bursting or seals breaking, so risking loss of Test Scripts. | The Supplier must demonstrate the Test Script return packaging maintains its integrity and protects its content during transit through the courier’s network from School to scanning bureau without bursting or seals breaking, so risking loss of Test Scripts. |
| 3.3.10 | The Supplier must minimise the number of deliveries Schools receive. | This will ensure the Authority support reducing burden on Schools and the environmental impact. |
| 3.3.11 | The Supplier must attempt collection of KS2 Test Scripts from Schools within 24 hours of Test administration noting this may be after a Timetable Variation. |  |

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| **Production and Logistics – Marker Training Materials** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 3.4 | Where the Supplier’s solution requires it, the Supplier must collate and securely distribute Marker Training Materials to Markers as appropriate for each face-to-face Marker training event (e.g., Manual Marking, manual Review Marking). | The majority of Marker training activities and events are to be delivered virtually, and as such materials are to be made available electronically to Markers with permission to print materials where agreed with STA (e.g. for Marker training User Acceptance Testing meetings, no materials are to made available for download or print). |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 3.4.1 | The Supplier must define the Production Specifications for any Marker Training Materials it will physically produce as physical copy. |  |
| 3.4.2 | The Supplier must provide a means for STA to securely transfer all files required to inform their Marker Training Materials design process, or any NCA Materials that must be produced as physical copy. |  |
| 3.4.3 | The Supplier must calculate the quantity of each Marker Training Material Component required for face-to-face events where Markers must receive a physical copy. |  |
| 3.4.4 | The Supplier must define the Quality Management Regime to apply to the production of Marker Materials, so that STA can reasonably expect all Markers to receive materials free from defects. |  |
| 3.4.5 | The Supplier must define the inventory of materials required at each Marking event. |  |

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| **Production and Logistics – NCA Materials Delivered to Schools** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 3.5 | The Supplier must provide a courier Service with the capacity and capability to deliver all of the NCA Materials Consignments to the Schools participating in each Test Paper during the agreed delivery windows whilst minimising the risk of loss or damage to packages in transit.  The Supplier must ensure each participating School receives the correct quantity of NCA Materials, for all eligible Pupils, in time to administer the Test Papers during the published PSC administration windows for KS1 and PSC or on the timetabled assessment day for each KS2 Test Paper.  For the KS2 Tests, the Supplier must also ensure all Test Scripts are collected from Schools and delivered to the scanning bureau, or other Marking location, promptly so that the Test Scripts can be scanned and Marked in time to meet the deadlines for the completion of Marking and RoR.  All Test Scripts Marked manually/in hard copy must also be returned to their Schools by the RoR date for each Test Cycle. The Supplier must collect any of these Test Scripts Schools wish to submit for Marking Reviews and return them to the Schools thereafter. | Following production of the NCA Materials for each Test Cycle they are currently collated into standardised Test Packs. These Test Packs are then collated into Consignments for Schools.  The Consignments are then presented to the Supplier to the agreed format, quantities and schedule to facilitate the completion of deliveries to Schools during the weeks that are published in the ARA.  NCA Materials (before the statutory assessment windows) are confidential as are the Test Scripts where such materials contain Pupil data.  The paper copies of completed KS2 Test Scripts are collected by the Supplier and delivered for scanning, for the purpose of Marking onscreen.  The Marked Test Scripts are currently returned to Schools electronically if they have been Marked onscreen and as hard copy where onscreen Marking was not viable.  There are no routine collections of Test Scripts for KS1 and PSC because these assessments are not externally Marked.  STA occasionally requests that NCA Materials are delivered to other interested parties e.g. media, other Government Agencies etc. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 3.5.1 | The Supplier must calculate the quantity of NCA Materials to fulfil the Consignments for every participating School to enable every eligible Pupil to sit the Test Paper during the appropriate and published Test administration period, as set out in STA’s ARA document for each academic year.  To achieve this the Supplier must:   * utilise any available data sources, e.g., School order data, to determine the Schools’ requirements for NCA Materials and the number of cartons within each Schools’ Consignment; * incorporate data supplied by STA for Schools not covered by the bullet above or for any other STA purpose, e.g., Reference Sets; * work with STA’s Modified Test Agency to help Schools revise their Modified Test Orders where they meet the agreed validation criteria; * build, test and assure the System/application that will calculate Accurate production quantities for each STA specified Component; * determine appropriate contingency quantities to add to the minimum production quantities to allow for any removal of Components for QA sampling, late increases in demand from Schools, and so each School receives a small quantity of each Test Paper beyond their Pupil count for each subject. |  |
| 3.5.2 | The Supplier must produce a Quality Management Regime by the date specified in the Operational Delivery Plan. The Quality Management Regime must include how:   * the Supplier will collate Test Packs for inclusion in the School Consignments, ensuring these must contain only the content described on the agreed pack description for that Test Pack; * the Supplier shall ensure that every Schools’ Consignment contains the correct quantity of each NCA Materials item (e.g. but not limited to, Test Packs, Modified Tests and associated Models) or other agreed content that School requires to administer each Test; * the Supplier ensures that for the KS2 Tests, every School receives only their Stationery Materials, in particular the items containing variable data specific to each School, e.g., Attendance Registers and Test Script despatch labels; * the Supplier ensures that School Consignments are delivered to the address set out in GIAS or to the agreed split site address; * the Consignment packaging can withstand handling through the courier’s network and remain intact until delivery at the Schools; * the Supplier shall identify any Exceptions on attempted delivery and implement appropriate remedial action, e.g. School site has temporarily closed and School is operating from a new location so redirect deliveries, and potentially collections, to that site; * the risk of Consignments/packages being lost after collection and before delivery to their intended recipient is minimised or, wherever possible, avoided; * the risks of any package/carton being damaged after collection and before delivery to the intended recipient is minimised or avoided (noting the risk of early public disclosure of Test Paper content); * the risk of packages being delivered to an incorrect recipient, or abandoned outside a delivery location, is minimised or avoided; * The KS2 Test Script package collection process maintains sufficient flow of packages to the scanning bureau to support the scanning profile and, in turn, Marking profile. |  |
| 3.5.3 | The Supplier must help to minimise the administrative burden on Schools by:   * providing clear and precise instructions on how to package KS2 Test Scripts for despatch for Marking; * making the delivery and collection process as simple as possible; * minimising the number of deliveries and collections to and from Schools across all Test Papers; * not attempting deliveries and collections during School holidays for which the Supplier will have to collect data on for each Test Cycle; * attempting deliveries and collections during the School working day between 09:00 and 16:00; * minimising the time Schools have to store NCA Materials onsite before the start of each assessment administration period; * pro-actively issuing replacement NCA Materials should the underlying data prompt this, e.g. Test Orders information, Helpline requests, or updates to Pupil Registration Data; * not requiring Schools to book collections for their KS2 Test Scripts but instead use the available data sources to determine which Schools require collections on any day and, where there is any uncertainty, utilise the Helpline to contact those Schools, until all packages are either collected or are discounted from the total for valid reasons, e.g., a special School decides not to administer the Tests to its Pupils; * ensure all KS2 NCA Materials required for external Marking are collected from Schools promptly after any Test has been completed, taking into account Timetable Variations and noting STA issued security instructions to Schools and the dependency from scanning for Test Scripts to scan; * and any other way that the Supplier can identify which is not detailed above. | Teachers and headteachers can feel they are under a lot of pressure during the Test administration periods, and it should be managed in a way that such pressures are not added to. Wherever possible, asking teachers to perform an action that the Supplier could do using information at its disposal should be avoided. |
| 3.5.4 | The Supplier must timetable deliveries such that every School has the opportunity to check NCA Materials received. The Supplier must fulfil any resulting requests for supplementary or additional NCA Materials so that they can be delivered before Tests are scheduled to take place. |  |
| 3.5.5 | The Supplier must ensure that NCA Materials are delivered to Schools no later than 2 weeks before the Test administration window and that the bulk of those are delivered during the first week. | There is a balance to be struck between delivering NCA Materials, so Schools have enough time to check they have received what they need and receive additional materials before administration, and the security considerations of having confidential materials in Schools. STA asks the Schools to store the Materials securely, and this kind of storage is limited in many Schools. |
| 3.5.6 | The Supplier must ensure when transporting hard copy secure/confidential NCA Materials that:   * tamper-proof and clearly labelled packaging is used; * only logistics suppliers authorised by STA and/or couriers are used and vehicles have GPS tracking; * 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 MI; * any suspicious incidents or events of note (e.g., delays to deliveries) are reported to STA immediately that the Supplier is made aware; * 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 immediately; * the delivery is completed during the driver's allocated hours; * when using the courier network to transport packages, a track-and-trace System is used for each package or Consignment, and; * 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. STA must be notified immediately of any issue or loss of package and the remediation actions the Supplier will undertake to rectify this. |  |
| 3.5.7 | During the KS2 Test Week, the Supplier must ensure that they can take orders from Schools for extra NCA Materials and deliver them to those Schools within 3 hours of request. | The KS2 Test Papers are administered on the days specified in the ARA for each cycle. Schools may require additional copies of a Test Paper at short notice for reasons including finding production defects with their current copies, Pupils joining the School, changing assessing status for Pupils previously thought to be unable to take the Tests etc. |
| 3.5.8 | The Supplier must ensure individual packages of NCA Materials are received at their destination within 24 hours of despatch or collection. |  |
| 3.5.9 | The Supplier must ensure NCA Materials are only delivered and collected from the School’s registered address as shown on GIAS. |  |
| 3.5.10 | The Supplier must investigate any instances of address errors that prevent deliveries or collections, and seek to resolve them by, for e.g., searching the School websites to determine if they have moved location without updating GIAS. | There may be instances where Schools change locations at short notice on a temporary basis and therefore will not update GIAS. An example may include a School flooding, requiring them to move to another location where packages will still need to be delivered. |
| 3.5.11 | The Supplier must ensure the location of all NCA Materials is accounted for throughout the delivery and collection process. |  |
| 3.5.12 | The Supplier must:   * ensure the despatch log is signed by the driver collecting each Schools’ packages so the School can later verify collection if required; * collect all KS2 Test Scripts from all Schools, including Ministry of Defence School via the British Forces Post Office currently at RAF Northolt, in time to meet the Approved scanning schedule. |  |
| 3.5.13 | The Supplier must have a reconciliation process in place that immediately identifies any NCA Materials not received at the intended destination within 24 hours; and the Supplier notifies STA within 2 working hours. |  |
| 3.5.14 | The Supplier must securely store all NCA 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. |  |
| 3.5.15 | The Supplier must return KS2 Test Scripts, which have been Marked on paper, to Schools by the date of RoR. | This needs to link to the scanning bureau processes and the management of the Test Script archive. |
| 3.5.16 | The Supplier must provide Schools with the instructions, means, packaging, and labels to despatch/send hard copy Test Scripts for Review Marking and then return those Test Scripts to their School following the Review. The packages must be traceable through the courier's network and reach their destination within 24 hours of collection. |  |

## Requirement 4: Marker Recruitment and Training

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| **Marker Recruitment and Training – Marker Retention, Recruitment and Management** | | |
|  | **Main Requirement** | **Supporting Information** |
| 4.1 | The Supplier must retain, recruit, contract and manage sufficient KS2 Markers for each Marking Phase to ensure:   * Marker Training Materials are developed and trialled; * NCAs are Marked/Review Marked to the required standard and by the dates specified in the Marker Recruitment and Retention Strategy.   All dates for requirements and sub-requirements are to be agreed in the Operational Delivery Plan. | Currently, only KS2 Tests are marked externally.  The Supplier currently identifies how many and what type of Markers are required to meet STA’s deadline for Marking and the Marker Recruitment and Retention Strategy to be implemented to fulfil that requirement. STA currently makes the existing Marker Register available to the Supplier for year 1 of Operationally Delivery, which the Supplier is expected to maintain as this is STA’s information asset.  The number of Review Markers needed to generate the required volume of Review Marking Capacity for each KS2 Test is currently determined by the Supplier, based on an estimate of the number of Review Applications. This is then refined once final Review Application numbers are known. Review Markers must have been trained and demonstrated the highest accuracy of Marking in their initial Marking Allocation of all Test Papers at subject level and must not have been stopped from Marking any Item to be invited to take part in Review Marking.  All Marking will be completed by Valid Markers. STA would consider future proposals to introduce and pilot Automated Marking for agreed Items. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 4.1.1 | The Supplier must recruit and contract sufficient Valid Markers in accordance with the agreed Marking Capacity Model (including the validation of retained Markers and the vetting of New Markers) by no later than one month prior to their first required attendance. This excludes the recruitment of those Markers creating Marker Training Materials. Recruitment is to be in adherence to the Key Milestones, to ensure the completion of Marking deadlines for all Test Scripts (including braille) in accordance with the Marking Quality Regime and Marking Quality Matrix. | New Markers will require an initial full vetting against the requirements/criteria of the role. Retained Markers will need a yearly validation to ensure they still meet the requirements/criteria of the role, update information etc.  The timeline for recruiting and contracting those Markers who create the Marker Training Materials is typically more condensed and there may not be time to allow for recruitment by “no later than one month prior to their first attendance”. Therefore, these Markers will need to be recruited in sufficient time ahead of their first material development meeting. |
| 4.1.2 | The Supplier is to retain and contract Markers for promotion, from the STA Marker Register appointing Markers based on their performance, rade, history, roles and subject in order to achieve the Supplier’s Marking capacity and in line with the Marker Recruitment and Retention Strategy.  If more entry level Markers are required, than are available on the STA Marker Register, the Supplier is to recruit these in line with their Marker Recruitment and Retention Strategy.  Recruitment and contracting of the most senior Markers responsible for developing Marker Training Materials must be completed as a priority. Timeframes for recruitment activity are to be shared with STA for comment. | Markers previously involved with the development of the Marker Training Materials should be retained where they have an adequate Final Marker Grade in the previous Test Cycle, ranked in order of performance, but also considering Markers identified for promotion, in order to achieve the Supplier’s marking capacity and ensuring best suitability to roles. These senior Markers should also have been involved in STA’s Technical Pre-Test (TPT) coding where possible. Senior Markers with experience of TPT should, where possible, lead on the most complex Items and cascade advice and guidance from TPT to other members of the material development team.  All other Marker roles are to be recruited and retained where they have an adequate Final Marker Grade in the previous Test Cycle, ranked in order of performance, but also considering Markers identified for promotion, in order to achieve the Supplier’s marking capacity and ensuring nest suitability to roles. |
| 4.1.3 | The Supplier must only appoint Valid New Markers into a non-supervisory role. | A New Marker is classified as someone who has either never worked for the Supplier as a Marker previously or is a current Marker but is moving to a different Test subject, e.g. a supervisor in maths who moves to English reading must start at the bottom of the Marking Hierarchy and be identified as a New Marker on the Marker Register. Supervisory Marker status cannot be transferred between Test subjects. |
| 4.1.4 | The Supplier must ensure that Markers only progress through the Marking Hierarchy one hierarchical role at time and must fulfil a substantive Marking contract before being eligible for promotion. Markers must have an acceptable Final Marker Grade to be identified for promotion. |  |
| 4.1.5 | The Supplier must ensure that primary School teachers within the English system are the priority for Marker recruitment. Secondary School teachers within the English system can be recruited but they must teach either mathematics or English and be contracted to that relevant subject. Teachers from wider UK nations (Scotland, Wales, Northern Ireland) can be used if required in order to achieve the numbers as defined in the Marking Capacity Model, once all avenues to recruit teachers within the English system has been exhausted. |  |
| 4.1.6 | The Supplier must ensure that as a minimum, for complex Marking Items all Markers must have Qualified Teacher Status and at least 1 year’s teaching experience in the current English National Curriculum. When the Supplier uses other markers who mark less complex Marking Items as part of their solution, the Supplier must ensure these markers have obtained three A-level or equivalent Post-16 academic qualifications recognised within the United Kingdom or the respective nation. The goal is to ensure that markers marking less complex Marking Items possess a reasonable level of academic achievement while allowing for a broader range of qualifications equivalent to and/or above A-level. |  |
| 4.1.7 | The Supplier must prioritise and appoint Valid Supervisory Markers for Review Marking based on their quality of Marking on completion of the onscreen and Manual Marking Phases. | Supervisory Markers who have been permanently Stopped on an Item cannot be considered as a Review Marker, as they must mark all Items within that subjects Test Papers. |
| 4.1.8 | The Supplier must produce annually for STA’s Approval, a Marker Recruitment and Retention Strategy which outlines the Marking Hierarchy, all Markers’ role and responsibilities and the criteria/experience of each Marker role. | Current guidance on who can be a KS2 Marker can be found here for the 2022 Test Cycle: [Key stage 2 tests: how to become a marker - GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/key-stage-2-tests-how-to-become-a-marker)  The criteria and experience required, aside from that stipulated in the Statement of Requirements, will be for agreement between the Supplier and STA through the development of the Marker Recruitment and Retention Strategy. |
| 4.1.9 | The Supplier must produce annually for STA’s Approval, a Letter of Appointment Template for all Markers for all Marking Phases to include all relevant information Markers require in order to accept a contract. This must contain a statement of consent for processing data required for the Marker Register. | Markers must not be contracted until the Letter of Appointment Template; Marker Terms and Conditions; and other related documents have been Approved by STA. |
| 4.1.10 | The Supplier must provide to STA for information, Marker Terms and Conditions for all Marking Phases for which Markers are engaged for a Test Cycle. Markers must not be contracted until the Marker Terms and Conditions; Letter of Appointment Template; and other related documents have been Approved by STA. |  |
| 4.1.11 | The Supplier must produce annually for STA’s Approval, a Contractual Fees and Expenses Document which includes the Marking fees for all Markers, for all Marking Phases. The fees should encourage Marker retention. The Supplier is to comply with maximum 30-day payment terms in respect of all Marker payments which the Supplier is liable to make. |  |
| 4.1.12 | The Supplier must produce annually for STA’s Approval a Marking Capacity Model Approach which provides rationale for the Marking Capacity as defined in the Marking Capacity Model. The document should seek to explain how the Marking Capacity required has been calculated and provide details of any activities which have been used to inform calculations/ forecasts of Marking throughout. The document should also demonstrate that sufficient contingency has been planned for all Phases of Marking and includes any working assumptions. This must consider requirements of the Marking Quality Regime and the Marking Quality Matrix. | Adequate contingency must estimate and account for scenarios that include but are not limited to: Markers withdrawing their contract, Markers no shows, Markers failing Practice and Qualification, Markers failing On-going Marker Quality Assurance, Marking which requires Roll Back due to Marker Stops and the estimated time to mark each Item dependant on Item classification and Marking complexity. |
| 4.1.13 | The Supplier must produce annually to STA for comment four iterations of a Marking Capacity Model for each subject.   * Phase 1 is Marker Training Materials development and UAT (MCM iteration 1 to include a forecast for Phase 2 and 3). * Phase 2 is Onscreen and Manual Marking (MCM iteration 2 to include any updates following UAT. MCM iteration 3 updates for Manual Marking based on scanning). * Phase 3 is Review Marking (MCM iteration 4 updates for Review Marking based on review applications).   The Marking Capacity Model will demonstrate the numbers of Markers required to meet the demands of the KS2 Test Cycle to meet Key Milestones ensuring adequate contingency for various scenarios which may arise and take into consideration the demands of the Marking Quality Regime and the Marking Quality Matrix on Marker Capacity. All roles identified in the Marker Recruitment and Retention Strategy are to be detailed, including reserve supervisor roles, braille Markers and transcribers. | The Marking Capacity Model can be informed by Summer and Autumn School Census level data which will be provided by STA in accordance with the Census timetable as shared in the data room. The Marking Capacity Model for each year will change dependant on variable data, e.g. Pupil entry data. |
| 4.1.14 | The Supplier must produce annually for STA’s Approval, a Marker Performance Management Plan to outline how Markers will be graded for each Test Cycle in order to retain as many high-quality Markers (i.e., those that met the required On-going Marker Quality Assurance standards and completed their Marking activities/Allocations on time) as possible from the previous Test Cycle. The Supplier must ensure:   * Supervisory Markers are graded in a way that also reflects their performance in their supervisory role; * Markers can only advance to the next Marker role in the Marking Hierarchy for that subject; * performance grades are used to inform future retention, recruitment activity and succession planning; * algorithms or other criteria by which performance grades are awarded are documented, and; * a Marker complaints/appeals process is available for any Marker wanting to challenge their performance grade. | Currently, Marker KPMs include:   * an element of automated system/data generated ratings for the quality of Marking KPM. * Supervisors grade other KPMs using their observations and statistics gathered throughout the Marking cycle to make judgements based on data, for all other KPM ratings.   The current system then uses an algorithm, as agreed in the Marker Performance Management Plan, to automatically calculate Interim and Final Marker Grades using all the Marker KPMs. |
| 4.1.15 | The Supplier must produce annually an approach for issuing all Markers with their Interim and Final Marker Grades, at the agreed points in the Test Cycle. | Currently, Markers receive their Final Marker Grades through a system, but the approach will be for the Supplier to decide. Supervisors currently submit KPM ratings for their team of Markers through the same system that grades are issued. One of the current KPMs are also system generated using relevant data and does not require manual intervention. The system then uses an algorithm, as agreed in the Marker Performance Management Plan, to automatically calculate Interim and Final Marker Grades using all the Marker KPMs. |
| 4.1.16 | The Supplier must ingest and map all STA Marker Register information (STA’s information asset) at agreed dates during Set-Up and ahead of the first Operational Delivery year, ensuring the accuracy of data. The mapping approach is for STA’s Approval. Following each ingestion, the Supplier must produce a New Marker Register in accordance with the Marker Register Template, for STA’s Approval. The Marker Register must be quality assured in line with Marker Register Management Document. | Mapping refers to the activity to translate information given in the Marker Register from the incumbent Supplier to the successful Supplier’s agreed Marking approach and definitions/ terms. E.g.: Marker Grades of 1,2,3 to A, B, C and D.  Information will be provided to the Supplier in multiple submissions for ingestion due to when information is obtained throughout the Test Cycle. |
| 4.1.17 | The Supplier must produce annually for STA’s Approval, a Marker Register Template which will list all the data fields required for the ongoing population of STA’s information asset. This is to include information for contracted Markers, uncontracted Markers and conflict of interests.  The Marker Register Template must adhere to that shared in the data room. Additional information must be added to the Marker Register Template at STA’s request in line with the Supplier’s solution. | There is one register, that will be handed over twice as per the data room product, containing individual tabs to cover: Live Marking, UAT and Review marker register information. |
| 4.1.18 | The Supplier must provide annually for STA’s Approval, a Marker Register Management Document which documents:   * the mapping approach for the initial STA Marker Registers; * what data will be in each column and when it will be populated including any mandatory fields; * how and what information is proactively quality assured; * how information is transferred between Marker management Systems and the Marker Registers throughout the Test Cycle including ensuring that only potential Markers who meet the entry level Marker requirements are included in the Marker Register; * how data is managed in line with privacy notices to ensure Marker data is not retained for longer than three Test Cycles. | The Supplier is expected to proactively quality assure the information in register as provided by Markers. This should cover all dimensions of data quality, including Accurate, Complete, Valid Unique, Consistent and Timely data. |
| 4.1.19 | The Supplier must obtain, record, maintain and store Markers personal, contact and Marking history information by method of a Marker Register (STA’s information asset) securely in accordance with the requirements in Requirement 9: Security. An updated Marker Register is to be submitted to STA each month for Approval. STA retains the right to request an updated Marker Register at any point in addition to the monthly submissions.  The Supplier must ensure:   * the retention of Marker data is managed in accordance with the applicable privacy notices to ensure adherence to General Data Protection Regulation (UK GDPR) regulations; * Marker data is maintained in the applicable Systems and Marker Register, in real time. Changes to any data contained within the Marker Register must be updated in the Marker Register and submitted to STA in the next monthly submission; * a Marker Register containing Interim Marker Grades is provided for STA’s Approval no later than the end of July; * a final Marker Register is provided at the end of each Test Cycle (taking into consideration Review Marking and Review Marking complaints) for STA’s Approval, no later than the end of September to include Final Marker Grades; * all STA feedback in relation to data errors within the Marker Register are investigated and rectified within the next month's Marker Register submission (unless errors need to be rectified immediately, in which case a deadline will be set by STA). | The Supplier is expected to proactively quality assure the information in register. The privacy notice currently states Marker data is held normally for a three-year period. The current privacy notice can be found here: [Privacy Notice: STA markers and coders - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/privacy-notice-sta-markers-and-coders) |
| 4.1.20 | The Supplier must provide annually for STA’s Approval, a final Marker Register (STA’s information asset) at the end of the contract term to include all required information as per the Marker Register Template, ensuring the accuracy of data. |  |
| 4.1.21 | The Supplier must annually develop for STA’s Approval, the following guidance on gov.uk in line with the Supplier’s solution and processes. Once Approved, text is to be submitted to STA Communication team who will manage publishing on gov.uk. | [Key stage 2 tests: how to become a marker - GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/key-stage-2-tests-how-to-become-a-marker) |

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| **Marker Recruitment and Training – Develop and Trial Marker Training Materials** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 4.2 | The Supplier must annually develop, trial, and refine a robust set of KS2 Marker Training Materials for each Test Paper for STA’s Approval, which exemplifies the Mark Scheme covering a range of Marking principles (tracking grids), for all Marking Phases. This will support the delivery of robust and consistent training to all Markers so that they qualify for Marking and can accurately and consistently mark Pupil responses. A full list of the materials required is included in the Glossary.  All dates for requirements and sub requirements are to be agreed in the Operational Delivery Plan. | Consistency and accuracy in the Marking of Test Scripts is of paramount importance in the Marking of NCAs. This is achieved, in part, through the development of a set of Marker Training Materials which support the delivery of robust and consistent training to all Markers, and then the utilisation of those materials in a managed and controlled training programme.  Mark Schemes and Marker Training Materials can be provided to Markers in hard or soft copy ensuring that Markers have the option to download and print soft copies, excluding Marker training User Acceptance Test (UAT) events. Mark Schemes, Marker Training Materials and Commentaries are used by supervisors as part of ongoing supervision and quality assurance. Quality assurance items are presented to Markers online in the Onscreen Marking System(s) (OMS).  For the Review Marking Phase, Marker Training Materials do not need to be trialled with Markers, but appropriate quality assurance of the materials is required. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 4.2.1 | The Supplier must annually classify items within the KS2 Tests and produce for STA’s Approval, an Item Classification Document which defines a rationale for how all items in each KS2 Test will be classified in accordance with their Marking complexity and the Supplier’s proposed Marking approach. | Items in each Test will be allocated as particular type to differentiate the level of Marking complexity. This will also define which Marker roles, mark which items. |
| 4.2.2 | The Supplier must produce annually for STA’s Approval, a Marker Training Plan which details the training programme for all Markers for all Marking Phases, including a detailed description of the scheduled meetings and the associated Marker Training Materials required for their delivery. |  |
| 4.2.3 | The Supplier must produce annually for comment an Event Management and Marker Allocation Document which defines the approach to event management for Marker training events. | This is to include the number of rooms/training events, how Markers/observers will access platforms, number of Supplier hosts required to manage events, all logistics and how Markers are allocated to rooms, supervisors and events to ensure teams have an equal range of experience and grades. |
| 4.2.4 | The Supplier must invite representatives of STA to attend and participate in Mark Scheme Training material development meetings and all Marking related meetings. Representatives of Ofqual and any other STA approved bodies must be permitted to attend as observers. | This includes providing draft materials to STA at least 5 working days prior to the meetings to allow for preparation. |
| 4.2.5 | The Supplier must produce annually for STA’s Approval, a Marker Training Materials Approach, Style and Quality Assurance Document to be used in the development, trialling, refinement and delivery of all Marker Training Materials. This will define how all Marker Training Materials will be created and quality assured throughout their development. | This will cover all Marker Training Materials including the suite of Marker Training Materials and any eLearning. |
| 4.2.6 | The Supplier must develop annually for STA’s Approval, Marker Training Materials, using the Technical Pre-Test (TPT) archive to select Pupil responses which exemplify the Mark Scheme. On-going Marker Quality Assurance Items (Seeds) are to be selected from Live Pupil Responses (from the current years Tests). The materials are to include:   * Mark Scheme Training guidance, Training scripts, Practice scripts, Qualification scripts, Re-Qualification scripts (Review Marking Phase) and associated Commentaries * On-going Marker Quality Assurance Test Scripts * Populated and regularly maintained tracking grid templates * Comment banks (Review Marking Phase)   These must support high quality training and quality assurance activities for all required Marking Phases, so that Markers successfully complete Qualification to equip them to mark in accordance with the Mark Scheme, Marking Quality Regime and the Marking Quality Matrix. | Mark Scheme Training, Practice and Qualification materials are developed by the appointed senior Marking team for all Marking Phases with input and sign off from STA to ensure the training developed reflects the intended Mark Scheme principles. The Supplier manages the senior Marking team in selecting, developing, User testing, refining and quality assuring these materials through a series of face-to-face meetings. Different approaches to these meetings will be considered by STA including virtual meetings.  Tracking grid templates will be developed by STA and shared with the Supplier annually. The principles which are to be populated in the tracking grids will annually be discussed and agreed between STA and the Supplier. At the point the tracking grids templates are handed over to the Supplier, they become the Supplier’s responsibility to accurately populate and maintain.  On-going Marker Quality Assurance Items are to be selected from Live Pupil Responses from the current Pupil Cohort by the appointed senior Marking team.  STA Assessment Research Development provide the Mark Schemes, themed response tables (English reading only) and TPT archive materials which are to be used to create training, Practice and Qualification Marker Training Materials.  STA will agree with the Supplier whether the TPT archive or Live Pupil Responses will be used for Marking Reviews Re-Qualification materials. Comment banks are part of the Review Marker Training Materials created by the senior Marking team and are used to ensure tailored responses to questions which Schools have queried in order to provide consistent messaging to Schools in the Marking Review Report.  More information on the current scope of Marker Training Materials can be found in the glossary under the defined term ‘Marker Training Materials.’ |
| 4.2.7 | The Supplier must ensure that any Markers engaged in Marking modified versions of the Test Papers e.g., braille, Modified Large Print, must be Suitably Qualified, trained and receive guidance on any bespoke Marking or Mark Scheme requirements for Modified Tests. |  |
| 4.2.8 | The Supplier must annually trial UAT Mark Scheme Training guidance, Training scripts, Practice scripts, and Qualification scripts and Commentaries, with a minimum of 20 Markers per Test Paper (to mark all Practice and Qualification responses for each Item in the Test) to successfully achieve the objectives defined in the Marker Training Plan. UAT must mirror the live delivery approach and use the Onscreen Marking System. Data will be used appropriately to refine the materials with the final sign off required by STA. STA representatives will have an assurance and sign off role in the development of the Marker Materials to ensure they accurately reflect Mark Scheme intentions. UAT activities and Marker characteristics are to be defined in the Marker Training Plan for STA’s Approval. | Materials for UAT need to be securely distributed to UAT Markers to avoid Test breaches. The method of how materials are shared for UAT is to be agreed with STA.  A minimum of 20 Markers are required to mark all Practice and Qualification responses for each Test Paper, to ensure enough data is collected in order to inform Marker Training Material refinement. The Supplier and STA will agree the number of Markers to attend UAT in line with the Supplier solution and in order to minimise Test exposure. For the Review Marking Phase, Marker Training Materials do not need to be trialled with Markers, but appropriate quality assurance of the materials is required.  Marker numbers are to be kept at an agreed level to ensure the integrity of the Tests. |
| 4.2.9 | The Supplier must ensure that all Mark Scheme Training guidance, Training scripts, Practice scripts, Qualification scripts and Commentaries accurately reflect final copies of the Test Papers and Mark Schemes for each Test for that Test Cycle, as handed over to the Supplier by STA. | Draft versions of the Tests/ Mark Schemes will be used in the development of the Marker Training Materials. Final versions of the Marker Training Materials must include the signed off versions. |
| 4.2.10 | The Supplier must ensure that Markers receive feedback from their supervisor following the completion of Practice, Qualification set one and Qualification set two for any failed items, before advancing to the next activity. A summary of feedback is to be captured for audit in the OMS. E.g., receive feedback on failed Practice items, before attempting Qualification set one. |  |
| 4.2.11 | The Supplier must ensure that all Markers who are required complete Practice and Qualification, do so using the Onscreen Marking System for the relevant Marking Phases. |  |

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| **Marker Recruitment and Training – Delivery of Marker Training and Guidance** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 4.3 | The Supplier must provide annual training, supervision, guidance, and on-going support to all KS2 Markers, for all Marking Phases, to include all Marking processes and procedures. Training for onscreen Marking activities is to be delivered virtually and training for Manual Marking events is to be delivered face to face.  All dates for requirements and sub requirements are to be agreed in the Operational Delivery Plan. | Currently all KS2 Markers receive Mark Scheme Training virtually for onscreen Marking and training is typically cascaded down the Marking Hierarchy, with each supervisor(s) training a team of Markers using presenter training slides based on the signed off Marker Training Materials to ensure consistency. Some elements of Marker training can be delivered by e-learning as agreed with STA.  Marker training for Manual Marking events is delivered face to face. Different styles of training may be considered by STA. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 4.3.1 | The Supplier must minimise the number of Markers who have access to Marker Training Materials and Test content prior to Test Week. | Only Markers involved in developing and trialling Marker Training Materials or supervisors requiring training should have access to Test content before Test Week. |
| 4.3.2 | The Supplier must develop annually for STA’s Approval, a Marker Communications Plan which identifies all required Marker communications and when they are due throughout the Test Cycle. This is to be updated monthly (during the Test Cycle) and shared with STA, to update on progress and add any new communications as identified. Key Marker communications are to be shared with STA for comment, in sufficient time to allow the Supplier to update communications based on feedback. These will be identified and agreed in the communications plan Final versions of all communications are to be sent to STA for information. | Examples of Marker communications are below, this is not an exhaustive list:   * Recruitment * Training and meetings * Marking activity * Post Marking activity * Feedback and acknowledgement of participation |
| 4.3.3 | The Supplier must comply with Marker Training Plan and ensure that all Markers complete Mark Scheme Training and all related training activities including training on the Onscreen Marking System prior to undertaking Practice, Qualification and Live Marking, in adherence to agreed deadlines. |  |
| 4.3.4 | The Supplier must develop annually for STA’s Approval high quality training and guidance materials, which support the accurate use of all Systems and all Marking processes (e.g., Maladministration/safeguarding/use of a scribe) utilised by Markers and ensure Markers are competent in their use. The Supplier must also ensure appropriate supervision for all Markers. This will also support Marker grading activities and appeals. Training and guidance material can be developed in the form of eLearning and Marker Handbooks.   * Materials are to include guidance/training on (not an exhaustive list): * Security and confidentiality * Marker supervision and guidance * Performance management and grading * Communication templates for supervisors * Complaint process * Ongoing quality checks * Admin process such as training on the notifications of the use of aids, suspected Pupil cheating, Maladministration which may appear during Marking * Detail responsibilities for attending all relevant Marker training for the applicable Marking Phases and completion of any eLearning activities * Systems to be utilised, including the OMS * Details and deadlines for Practice and Qualification activities for their own Marking, and for supervisors of their teams * Key dates * For Review Marking Phase, activities related to completing associated School Review reports, following Review Marking | Currently, training on the use of Marking Systems and administrative and security procedures is primarily online using eLearning modules, supported by Marker Handbooks. All activities that Markers undertake requires either a general or technical Helpline support solution, with requirements for the Helpline to be available at weekends and evenings to support Marker activities. |
| 4.3.5 | The Supplier must securely distribute/make available each Test Cycle, Marker Training Materials to Markers and ensure all Markers receive all required materials sufficiently in advance of either delivering or participating at Mark Scheme Training meetings or other Marker events to allow all attendees to prepare fully for the event and annotate materials as required. Timings to be agreed with STA. | Mark Schemes and Marker Training Materials can be provided to Markers in hard or soft copy ensuring that Markers have the option to print soft copies, excluding UAT. Appropriate printing allowances would be necessary if Markers are required to print. |
| 4.3.6 | The Supplier must annually gather feedback from Markers by means of Marker surveys on all aspects of the Test Cycle at agreed points, to allow Markers to detail their satisfaction with key elements of the solution and provide opportunity for them to make suggestions for improvement. The surveys are to be sent to STA for comment, but the Supplier must ensure the addition of questions requested by STA.  The Supplier must produce a report(s) on the findings, sent to STA for comment, which makes recommendations for changes, so that lessons learned can be implemented. Raw data is to be provided to STA if requested. | Various Marker surveys will need to be developed and reports produced for STA. STA and the Supplier will discuss and agree appropriate points throughout the Marking cycle at which Markers should be surveyed. Consideration is to be given to the use of survey reports/findings in the Marking Quality Technical Report (MQTR) to ensure there isn’t a duplication of information.  STA will have a defined set of questions for Marker surveys which are required to be included to ensure STA can compare Marker satisfaction. |
| 4.3.7 | The Supplier must ensure that Markers’ access is controlled throughout the Test Cycle so that any permissions, access to documents and or Systems is revoked at the required time. This must be documented for STA’s Approval in the Marker Training Plan. | Throughout the Test Cycle permissions will need to be granted and revoked in various scenarios, e.g., access to materials before and after UAT events, access to the Onscreen Marking System following Qualification set two fails. |

## Requirement 5: Scanning and Script Storage

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| **ID** | **Main Requirement** | **Supporting Information** |
| 5.1 | The Supplier must provide and manage the operational capacity and capability to scan, or otherwise process, all KS2 Test Scripts and Attendance Registers for each Test Cycle, match them to the corresponding Pupil, and record their appropriate assessing status in the Pupil results file while maintaining the throughput of matched Test Script Images and Test Scripts to the Marking process so that Marking completion and RoR are achieved by the Milestones for each Test Cycle. | The scanning process is the critical link between the Schools administering the KS2 Tests and the Marking activity.  The responses to these requirements need to consider Requirement 8: Marking and Review Marking. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 5.1.1 | The Supplier shall arrange for the collection of Test Script packages from Schools and their delivery to the scanning bureau as described in Requirement 3: Print, Collation and Logistics. The Supplier must be able to verify receipt of Test Script packages at the scanning bureau against the parcel tracking data provided by its Courier.  Test Scripts reconciliation must take place against enrolment data as soon as consignments are received to support with the identification of Missing Test Scripts. The Supplier must then investigate and resolve any discrepancies found. | Test Script reconciliation is the process of matching Test Scripts to enrolment data once consignments have been received and are being prepared for scanning. It is important to reconcile Test Scripts received at the earliest opportunity, as this will support the handling of any Exceptions (i.e., the missing and lost process). Reconciling Test Scripts received and Test Scripts which are missing at the earliest opportunity will maximise the time the Supplier has to investigate this with the School and within their supply chain, ahead of completing Marking, finalising the KS2 Assessment Data Outcomes and returning results to Schools. |
| 5.1.2 | The Supplier must be able to segregate Test Scripts, as a minimum at packages by subject level, to facilitate later scanning workload management to meet Marking demand e.g., increasing the throughput of mathematics Test Papers over GPS and Reading. |  |
| 5.1.3 | The Supplier must be able to verify they have received all expected Test Scripts for every School, based on Pupil Registration Data and accompanying Attendance Registers (if different), and where Test Scripts have not been received, contact the Schools to determine the status of those Test Scripts and arrange for additional collections as necessary so that any resulting Marking can be completed by the Milestones for each cycle. |  |
| 5.1.4 | The Supplier must demonstrate it has sufficient scanning and processing capacity by creating a Scanning Capacity Model, which must include planning assumptions and how these will be validated for each Test Cycle and expected throughputs and tolerances for each process along with resourcing levels. The Supplier must share this with STA to evidence how 99.9% of scanning will be completed no later than three weeks after the Tuesday of KS2 Test Week, or before the late May bank-holiday weekend.  The Scanning Capacity Model must align with the Marking profile to ensure that there is sufficient scanning completed to feed the Marking operation. The Scanning Capacity Model must demonstrate that the expected output rates for each stage of the scanning operation will guarantee that they are always sufficient to feed the Marking operation. The model should demonstrate the Supplier’s flexibility to switch from forecast rates to actuals, in order to keep up with actual Marking rates seen in any given Test Cycle. | There will be approx. 3.9m Test Scripts to process each academic year (approx. 650k assessing Pupils x 6 Test Papers). Of the Standard Tests, five Test Papers will be saddle stitched and have paginations ranging from 16-32 pages. The remaining booklet will be folded and four pages. |
| 5.1.5 | The Supplier must record the correct Assessing Status for each Pupil identified in the Pupil Registration data based on the code recorded on each Attendance Register, or by recording a Marking outcome where a Test Script is available for a Pupil. The Supplier must have a process to resolve any uncertainty about which status or Test Script to assign to a Pupil, e.g., multiple Pupils with the same name, which can require contacting the Schools to clarify. |  |
| 5.1.6 | The Supplier must set out how it will manage Test Scripts that cannot be processed via the primary scanning route, and either provide an alternative scanning process to allow for Onscreen Marking or pass the Test Scripts for on-paper Marking, e.g.:   * the Enlarged Print (EP) and Modified Large Print (MLP) Tests may not be suitable for the primary scanning route due to their dimensions or alternative question structure; * the Braille Test Scripts may not be suitable for any form of scanning; * School Modified Test Papers, e.g., photocopied to A3 dimensions or onto coloured paper; * Test Scripts completed under Access Arrangements, e.g., scribed, word processed; * Test Scripts that are damaged or are missing pages; * Test Scripts with additional Pupil answer sheets attached. | The Standard Test booklets are A4, saddle stitched and printed in two colours. |
| 5.1.7 | The Supplier must provide a suitable location for any on-paper Marking and manage the provision of Test Scripts to that location and their subsequent return to the Script Archive, ensuring all such Test Scripts are accounted for throughout. |  |
| 5.1.8 | The Supplier must define and document an Exceptions Handling Plan for STA Approval. This must include how it will identify and manage Exceptions during each stage of operations, including but not limited to:   * handling operations/incidents that damage Test Scripts and related materials; * Markers reporting issues with the quality or completeness of Test Script Images as seen in the Onscreen Marking System (OMS); * Test Scripts with missing pages found during scanning or Marking; * loss of Test Scripts and related material during any stage of processing; * Schools submitting past Test Papers, and; * Schools submitting correspondence or other items that are not related to the Tests. |  |
| 5.1.9 | The Supplier must specify to STA in the Print and Scanning Specification any design elements to support the scanning process, e.g. barcodes, timing marks etc, they require STA to add to the KS2 NCA Materials designs within the design limits set by STA. This must be completed in accordance with the Operational Delivery Plan for STA to add the required elements to the Test NCA Materials designs. |  |
| 5.1.10 | The Supplier must carry out an assurance exercise each Test Cycle to confirm that:   * STA has applied any scanning elements required by the Supplier to the NCA Materials design files correctly; * the Supplier can produce the materials to the tolerances required by the scanning bureau; * the scanning bureau equipment functions as required to process the KS2 Test Scripts for each Test Cycle; * the quality of print and performance of the substrates is of acceptable standard. This must include sending copies of printed assurance booklets to STA, and; * the end-to-end processes of the scanning bureau and associated activities, including how any Exceptions encountered are managed, is fit for purpose. | The Supplier may naturally achieve some or all of these assurance activities in the Set-up and Mobilisation period for the first Test Cycle (in order to achieve the successful completion of Set-up requirements 1.1.76 and 1.1.77). The Supplier will then be required to undertake the activities described in requirement 5.1.10 again at the start of each Test Cycle for the new test cycle ahead. |
| 5.1.11 | The Supplier must provide STA with an Operational Processes Document which sets out the processes required to operate the scanning bureau and associated activities, including how any Exceptions encountered during Test Script processing or subsequently identified by Markers are resolved, e.g., unclear scanned Test Script Images, and share these with STA. |  |
| 5.1.12 | The Supplier must scan Test Scripts and Attendance Registers and collate and ingest them into the Onscreen Marking System. |  |
| 5.1.13 | The Supplier must not lose Test Scripts during processing and storage and must investigate any identified as missing. The Supplier must maintain a log of the Test Scripts under investigation and record the eventual outcome (see Data sub-requirement 7.1.23). The Supplier must set out their process for investigating Missing Test Scripts with the aim of resolving this in time to complete Marking ahead of RoR, (see Key Milestone 7). Where Test Scripts cannot be located after receipt into the scanning bureau but before they can be scanned for Marking or passed to Manual Marking, the Supplier must agree these are Lost with STA, record the appropriate Assessment Outcome for that Pupil and notify the School of the Lost Test Script in writing. | Please see supporting information on Exceptions handling in Scanning and Script Storage sub-requirement 5.1.8 and Data sub-requirement 7.1.34. |
| 5.1.14 | After processing, the Supplier must store all physical Test Scripts, Attendance Registers, and any other documents provided by the Schools in an Archive.  This Archive must be searchable by School, document type to paper level for Test Scripts, and Pupil, and Unique Pupil Number (UPN) so that documents can be retrieved to support other processes such as:   * STA’s Maladministration investigations (which must be received by STA within 48 hours of request); * the Supplier’s Exception resolution processes, after which they must be returned to the archive, and; * preparation to return on-paper Marked Test Scripts to Schools. | For example, to resolve Marker queries/scanning Exceptions or despatch to STA. |
| 5.1.15 | The Supplier must retain the Archive until STA confirms in writing that the Test Scripts can be sent for recycling. The retention period is usually until the end January in the academic year following the Tests, e.g., if the KS2 Tests were in May 2025 then the Archive must be retained until January 2026. The Test Scripts must be shredded to BS EN 15713 and ISO27001 before pulping. |  |
| 5.1.16 | The Supplier must implement a retrieval process that enables hard copy Test Scripts to be retrieved from the Archive against the DfE UPN of a Pupil and/or DfE number within 48 hours of an STA request by any member of the STA Maladministration team between the months of May and the following January. This can be by subject or all subjects and could include multiple Cohorts and/or Pupils. | STA request the retrieval of a number of hard copy Test Scripts each Test Cycle, to support the investigation of alleged cases of Maladministration. There are a pre-defined number of Schools’ Test Scripts to be retrieved on a yearly cycle (as part of a sampling exercise) as well as ad hoc requests needed to allow STA to investigate a School. |
| 5.1.17 | The Supplier must ensure STA is able to search, view, and download individual Test Scripts or large quantities (including batches of up to and greater than 1000 Test Scripts) as specified by STA. Following RoR the Supplier should confirm any Test Scripts excluded due to Manual Marking. |  |
| 5.1.18 | Where Test Archive retrievals also require despatch to another location, the Supplier must make all necessary arrangements to package, label and despatch the Test Scripts on an overnight, tracked delivery Service. |  |
| 5.1.19 | The Supplier must provide a specified quantity of hard copy Marked Test Scripts (c.150-200) from specified Schools at specified times to STA (approx. throughout September the following Test Cycle). | Each Test Cycle the Maladministration team undertake a Test Script review sample, of approx. 150 KS2 Tests, starting in September (after the Tests have been sat). These selected Test Scripts are to be sent securely to STA’s Coventry office. STA will advise the Supplier which Test Scripts are to be retrieved and securely sent. |
| 5.1.20 | The Supplier must produce a Marking letter for each School with Test Scripts Marked on-paper explaining the particular Marking process for each Test Script and the Marking outcome where this cannot be returned electronically, and how the School can request a Clerical or Marking Review. These Marking letters must be printed and collated with each Schools’ Test Scripts for return by the RoR deadline. | Various letters are currently required to explain different scenarios to Schools about their Test Scripts, e.g., reasons for failing to scan Test Scripts, or if missing/damaged pages are produced by various functional teams. The Supplier must have one amalgamated letter for each School, to minimise School burden, to explain a variety of situations where the supplier is responsible for communicating to Schools. |
| 5.1.21 | The Supplier must provide STA’s Maladministration team access to view and download scanned Test Script Images by Pupil and Whole Cohort within 24 hours after being scanned, with marks as soon as those are available and up to the end of March in the following Test Cycle. This includes instances where they are suppressed. |  |

## Requirement 6: Marking Quality

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| **ID** | **Main Requirement** | **Supporting Information** |
| 6.1 | The Supplier must monitor, maintain, report on, and where possible, improve the quality of KS2 Marking, to ensure the integrity of results and high Marking standards throughout all Marking Phases, for each Test Cycle.  All dates for requirements and sub-requirements are to be agreed in the Operational Delivery Plan. | The current Onscreen Marking System includes the facility for each Marker’s Marking to be quality assured prior to (training and Qualification) and during Marking; this will continue to be the requirement of any future Onscreen Marking System. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 6.1.1 | **This requirement has been removed.** |  |
| 6.1.2 | The Supplier must propose annually for STA Approval (starting from year 2 of Operational Delivery) a Comparable Items Document which seeks to compare the current year’s Test Items, to the previous year’s, in terms of Marking complexity. | For the first delivery year, STA will complete this piece of work where a new Supplier has been contracted. This is used to inform the Supplier’s proposals for Item classification and Marking Quality Regime and Marking Quality Matrix. |
| 6.1.3 | The Supplier must produce annually for STA Approval, at the start of each Test Cycle, a Marking Quality Technical Report (MQTR) template to propose research questions for the Test Cycle. | This contains research questions on Marking quality throughout the Marking Phases that STA and the Supplier require to be answered, at various points in the Test Cycle. The Supplier will need to ensure reporting is created to be able to provide the data to answer the relevant questions. |
| 6.1.4 | The Supplier must provide annually for STA Approval, at various points throughout the Test Cycle as agreed, iterations of the populated MQTR. | This will answer the research questions on Marking quality that are defined in the MQTR Template. The Supplier will need to ensure reporting is created to be able to provide the data to answer the relevant questions. |
| 6.1.5 | The Supplier must produce annually for STA Approval, a Marking Quality Regime and Marking Quality Matrix which details how all Marking activities will be assured, timing of quality assurance processes, On-going Marker Quality Assurance checks (Seed/Check Marker) and how proposed Marking Quality Parameters and tolerances will be applied. Marking Quality Parameters and minimum Marking standards are unique to each Test Paper and Item and are required for all Marking Phases. It will also set out the process for handling Stopped Markers. |  |
| 6.1.6 | The Supplier must produce annually for STA Approval, a Seed Selection and Retirement Plan to set out the process of selecting Seed Items to be commissioned into the Onscreen Marking System and the process for retiring Seeds which are not performing as expected, due to certain scenarios, e.g., a Pupil response is ambiguous (meaning that it may be Marked inconsistently). |  |
| 6.1.7 | The Supplier must ensure that all Markers undertake On-going Marker Quality Assurance checks prior to (i.e.: Practice and Qualification) and throughout i.e.: as a minimum, Seeds and Check Marking) their Marking Allocation and complete these in adherence to agreed Marking Quality Parameters in the Marking Quality Regime and Making Quality Matrix. Ratios are to be consistent throughout the marking periods. Seeds and Check Marking are required as formal quality assurance checks that equates to an Items Quality Threshold and are used in the reporting of quality. Check Marking / Marker Checks must a blind Check Mark, as defined in the glossary.  The percentage of Quality assurance checks must be at a **minimum**:   * 5% overall per item in Live Marking   (eg: Seed frequency 1:40 or 2.5%, Check Marking frequency 1:40 (2.5%) equates to 5%/ 1:20 cumulatively)   * 10% per item in Review Marking.   (eg: Check Marking frequency 1:10 (10%)  **For Review Marking** - Quality Thresholds are lower than Live Marking and the rate of quality checks are higher than in Live Marking. | For live Manual Marking and Review Marking (onscreen and manual) it is recognised that Seeds may be unable to be utilised.    STA will agree appropriate approaches where Check Marking only will be acceptable.  The level of Check Marking for live Manual Marking must be the equivalent of Seeds and Check Marking as per onscreen marking. Eg: 1:20 or 5% |
| 6.1.8 | The Supplier must annually, at the end of each Marking cycle, provide to STA End of Series Marker Quality Files and Actual vs. Forecast Marker Allocation Document. | End of Series Marker Quality Files provide Test Script level data for all quality assurance Items that any Marker attempts for each of the six Test Papers (all Markers means every rank of Marker in the Marking Hierarchy). It will show the Item, Marker ID, supervisor ID, Item true mark, Mark the Marker awarded and date/time it was attempted. This will include and identify as such all Practice, Qualification set 1, Qualification set 2, Qualification set 3, Seed Items, and Check Marking data. Check will include both the Marker and supervisor marks awarded. It will also include by Marker ID, for each Item they Marked, the number of items they were allocated to Mark and number they actually Marked.  Marker Allocations will show, for each Marker, the number of Items they were allocated to Mark and the number they actually Marked.  The End of Series Marker Quality Files and Marker Allocations files will be specified and agreed as part of the Data Catalogue.  This is shared with Ofqual who perform their own analysis on KS2 Marking Quality. |
| 6.1.9 | **This requirement has been removed.** |  |
| 6.1.10 | The Supplier must allow all Valid Markers up to two attempts at qualification in order to proceed into Live Marking.  For the majority of items across all three subjects (GPS, English reading and mathematics) there are no allowable tolerances at qualification. The only exception being the two English reading three-mark questions, where an allowable tolerance of two is given across a set of qualifications responses. STA retains the right to review and amend this approach.  For Review Marking only one attempt for Valid Markers is permitted. The English reading three-mark question tolerance remains. | Tolerances are applicable at practice and qualification sets. Seeded Items are a pass or fail and do not have a tolerance.  Allowable tolerance is linked to the Onscreen Marking System requirement 13.1.11.  The senior marking team responsible for the development of the Marker Training Materials is not required to attempt qualification sets for the applicable Marking Phases. |

## Requirement 7: Data

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| **ID** | **Main Requirement** | **Supporting Information** | |
| 7.1 | The Supplier must provide the STA with access to and outputs of data, including KS2 Assessment Data Outputs throughout each Test Cycle to an agreed frequency and format, as specified in the Data sub-requirements. | STA (via the delivery of this Service) is responsible for the collection and verification of data relating to National Curriculum Assessments. This includes the results of KS2 National Curriculum Assessments, Teacher Assessment and Exceptions requested and agreed for all Pupils. The results from National Curriculum Assessments are available to Item level. | |
| **ID** | **Sub-Requirements** | **Supporting Information** | |
| **Data Quality (Accuracy, Completeness, Validity, Uniqueness, Consistency)** | | | |
| 7.1.1 | The Supplier must provide Accurate, Complete, Unique, Consistent and Valid Data. | Unless otherwise defined in these requirements, the Supplier must provide Accurate, Complete, Unique, Consistent and Valid Data during the lifecycle of the Agreement as defined in the Glossary. | |
| 7.1.2 | The Supplier must ensure that appropriate validation is applied at source such that data is Valid as it enters the database. | For example, where Organisations are required to submit or upload data to the Online System(s), this should be validated at source via agreed validation rules to prevent invalid data entering the System. Example system validation rules can be found in the data room products.  See Online System(s) sub-requirements 12.1.8 and 12.1.10. | |
| 7.1.3 | The Supplier must assign a unique Supplier identifier to all Pupils as they enter the System to enable tracking.  The Supplier unique identifier must be assigned to the Pupil when they enter the System via:   * Census. * Pupil Registration if the Pupil is added. * An Attendance Register (if different to Pupil Registration). * Teacher Assessment data collection. | All Pupils within the English local-authority-maintained School system and all state-funded Schools are assigned a UPN (<https://www.gov.uk/government/publications/unique-pupil-numbers>). However, this number can change over time or may exist more than once if a Pupil is registered at more than one School (e.g., if they leave one School and arrive at another, or are dual registered). Therefore, to enable tracking of data and ensure unique Pupil Records within Schools, the Supplier will be required to create a Supplier unique identifier.  See Online System(s) sub-requirement 12.1.22.  The KS2 Assessment Data Output Specification and formats provides more detail about the format and requirements of the Supplier unique identifier. | |
| 7.1.4 | By Key Milestone 6, KS2 Assessment Data Outputs and all subsequent outputs must be complete for 99.9% of Pupils for each subject. (English Reading, English Grammar Punctuation and Spelling and Mathematics).  This data must contain Accurate School, Pupil, Test, and Item Level Data. After Key Milestone 6 this data must not change unless agreed by STA or by Organisations via a Clerical or Marking Review or via the submission of Teacher Assessment data. It must also contain all available matched Teacher Assessment data at that point in time, see Data sub-requirement 7.1.19.  **Accuracy**  Accurate Item Level Data contains all Items within a Test that are marked by 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 Test Level Data is the derivation of an Accurate Assessment Outcome at a subject level based on:   * the aggregation of Accurate Item Level Data where the Pupil sat the Test(s), or; * an Assessment Status either from Pupil Registration or the Attendance Register, where the Pupil did not sit the Test(s), or; * a code as approved by STA (e.g., Maladministration, Missing/Lost Test Scripts).   The exact business rules to determine an Accurate Assessment Outcome at a subject level are documented in the data room.  Accurate Pupil Level Data is where Accurate Test Level Data has been matched to the correct Pupil in 100 per cent of cases. See Data sub-requirement 7.1.20.  **Completeness**  A Pupil record is considered Complete when an Accurate Assessment Outcome exists for each subject and when all mandatory fields as defined in the KS2 Assessment Data Output Specification and formats are populated.  The KS2 Assessment Data Outputs are considered 100% complete if all expected Pupils as defined in Data sub-requirement 7.1.6 have an Accurate Assessment Outcome for all subjects (Accurate Test Level Data). | At Key Milestone 6, Completeness (volumes) will be calculated for each subject separately. This means to meet Key Milestone 6 the Supplier must provide Accurate Pupil Level Data for 99.9% of Pupils in each of English Reading, English Grammar Punctuation and Spelling and Mathematics.  The specific volume calculations are documented in the data room.  Before Key Milestone 6 it is expected that data may change due to:   * Markers being stopped and Items are subject to remark. * Data reconciliation and checking which identifies that Test level data and non-sitting Assessment Outcomes have been inaccurately matched to the wrong Pupil. | |
| 7.1.5 | By Key Milestone 7, KS2 Assessment Data Outputs and all subsequent outputs must be complete for 100% of Pupils.  This data must contain Accurate School, Pupil, Test, and Item Level Data. After Key Milestone 7 this data must not change unless agreed by STA or by Organisations via a Clerical or Marking Review or via the submission of Teacher Assessment data. It must also contain all available matched Teacher Assessment data at that point in time, see Data sub-requirement 7.1.19. | At Key Milestone 7, Completeness (volume) will be calculated at a Pupil level. This means to meet Key Milestone 7 the Supplier must provide Accurate Pupil Level Data for 100% of Pupils.  For avoidance of doubt, this is where all Pupils as defined in Data sub-requirement 7.1.6 have an Accurate Assessment Outcome for all subjects (Accurate Test Level Data). See Data sub-requirement 7.1.4.  The volume calculation is documented in the data room. | |
| 7.1.6 | The Supplier must capture data for all KS2 Pupils that are required to participate in the assessments as per the KS2 ARA, including those that will not take the Test. | STA will provide School Census data to be used as a baseline. Schools must be able to register additional Pupils for the assessments via the Online System(s) and Attendance Registers where required. Pupils who have not been added to any Attendance Register or the Online System(s) but for whom the Supplier receives a full or partial Test Script for should also be included. Pupils may also be added during the Teacher Assessment data collection window. The business rules/processes will be developed with the Supplier during Set-Up and fed into the data model and dataflows to ensure Accuracy, Completeness and Validity.  A Census timetable will be provided as part of the data room products to indicate the likely handover dates for this data and what it contains. | |
| 7.1.7 | The Supplier must develop a Data Quality Assurance Strategy for STA’s Approval. | An outline Data Quality Assurance Strategy is expected at bid stage, to be finalised during Set-Up and then updated and Approved during Mobilisation each year.  This should cover all dimensions of data quality, including Accurate, Complete, Valid, Unique, Consistent and Timely data.  The Supplier is responsible for ensuring that data has been subject to thorough validation and quality assurance. These processes should be detailed in the strategy and plan accordingly. |
| 7.1.8 | The Supplier must develop a Data Quality Assurance Plan for STA’s Approval. | The Data Quality Assurance Plan must be developed and Approved during Set-Up and then updated and Approved during Mobilisation each year.  This should include a plan for how the Supplier intends to monitor and address any quality issues during live delivery.  The Supplier is responsible for ensuring that data has been subject to thorough validation and quality assurance. These processes should be detailed in the strategy and plan accordingly. |
| 7.1.9 | The Supplier must implement the Approved Data Quality Assurance Strategy and Plan during the lifecycle of the Agreement. |  |
| 7.1.10 | The Supplier must monitor the quality of all data flowing through all Systems, including automated processes and have a plan for monitoring and addressing any quality issues identified in line with the Data Quality Assurance Strategy. |  |
| 7.1.11 | The Supplier must correct any data errors identified as soon as reasonably possible and unless otherwise agreed with STA within 24 hours. The Supplier must keep a log of all issues and errors identified and feed any lessons learnt back into the Data Quality Assurance Strategy and Plan. | The process for this should be covered in the Data Quality Assurance Strategy and Plan. |
| 7.1.12 | The Supplier must ensure sufficient resource to enable effective quality assurance of all data and rectification of data errors as per the Data Quality Assurance Strategy and Plan. |  |
| **Timelines and Frequency** | | | |
| 7.1.13 | The Supplier must provide STA with KS2 Assessment Data Output data via a self-serve mechanism. During the term of the contract STA may want to move to an integrated technology solution working with the Supplier. This will be refined and agreed during Set-Up with the Supplier.  This data should be refreshed and made available for self-service a minimum three times daily (6am, 12pm and 4pm) between the last day of Test Week and two weeks after RoR. For the remainder of the Test Cycle (March through to the following February) the data should be available to self-serve by 6am on the Monday of each week.  The Supplier must be able to refresh this data on demand outside of this schedule and make available to STA between the hours of 9am and 5pm.  The data specification for this data is provided in STA’s Assessment Data Output Specification and data formats. These will be reviewed and Approved during Set-Up with the Supplier and then annually at the start of each Test Cycle so that they align to the Online System(s), underlying physical data model and any changes made. | Extracts of data will be taken at timed intervals. All extracts should reflect the data as it was at the time the extraction began to ensure that all data provided is internally consistent.  Test and Item data will contain all available marked data at that point in time. Before Key Milestone 6 data may be subject to Roll Back.  Teacher Assessment data will contain all available matched data at that point in time. | |
| 7.1.14 | The Supplier must ensure that all System generated, derived and KS2 Assessment Data Outputs are date and time stamped consistently throughout the Test Cycle. | All data outputs require a date and time stamp to indicate when that data was extracted. | |
| 7.1.15 | The Supplier must ensure that any changes that are made to any record via any System or any transactions are atomic and consistent. The Supplier must ensure that on completion of the change or transaction that the database is immediately updated, and those changes are reflected in the next available KS2 Assessment Data Output. | Examples of changes to the data include but are not limited to:   * Changes to marks as Items are marked. * Organisations updating the UPN via the submission of Teacher Assessment data. * Approval of a Special Consideration application. * Annulment or suppression request. | |
| 7.1.16 | The Supplier must provide a mechanism for STA to request ad-hoc changes to the records in the database. This should:   * capture all relevant information to make the change without manual intervention where possible; * apply the change to the database immediately where automated, or within 12 hours of them being received where they are not; * ensure all changes are available in the next scheduled KS2 Assessment Data Output; * produce an audit log/report to document all requested changes. The format and content of this will be agreed during Set-Up and be documented as part of the Data Catalogue. | There are occasions that STA request changes to the database, examples are, but are not limited to:   * Removing a Pupil completely from the database. * Changing an Assessment Outcome that may be part of a Review or may not. * Retrospectively apply a Special Consideration outside of the application window. | |
| **Specific Deliverables** | | | |
| 7.1.17 | The Supplier must supply Formal KS2 Assessment Data Outputs (see Data sub- requirement 7.1.3) in accordance with the Operation Delivery Plan and KS2 Assessment Data Output Specification to demonstrate delivery against Key Milestones and/or to meet specific requirements. | There are typically around ten Formal KS2 Assessment Data Outputs during the Test Cycle at specific points in time, generally after key activities are completed (e.g., Pupil Registration closure, end of Marking, for RoR, once Reviews have been completed). | |
| 7.1.18 | The Supplier must provide release notes for certain data deliverables as detailed in the Data Catalogue and all Formal KS2 Assessment Data Output, which must include as a minimum:   * The date and time stamp. * Source of the data. * Description/summary of the data included. * Any required volume calculations e.g., the percentage of Pupils with an Accurate Assessment Outcome. * Summary of quality assurance activities completed. * A summary of any issues, errors, or anomalies identified (e.g., duplicates, out of range values etc.). * Actions that are being taken to address any issues or errors and a plan for their completion. * Details of authorisation. |  | |
| 7.1.19 | The Supplier must ensure that KS2 Teacher Assessment data gathered via the Online System(s) is accurately matched to Pupil Assessment Outcomes.  Any unmatched data should be captured and made available to STA if requested. | See Online System(s) sub-requirements 12.1.68 and 12.1.69.  KS2 Teacher Assessment data should be automatically matched within a School, on upload, to Pupil data held by the Supplier using the following attributes: UPN, name fields, date of birth, gender. The exact algorithm will be agreed during Set-Up, but example rules can be found in the data room.  Where a match cannot be made automatically, the Online System(s) should enable the User to resolve. The exact business processes and rules are to be determined and agreed during Set-Up.  Matched KS2 Teacher Assessment data volumes are reported at a subject level. There are certain expectations of volumes as listed in KS2 Assessment Data Output Specification, and related chase activity to ensure that Organisations submit their data by particular deadlines. | |
| 7.1.20 | The Supplier must ensure that all Assessment Statuses from Attendance Registers and all Test Scripts are matched to the correct Pupil at the correct School.  The matching algorithm should be created to ensure there are no false positive matches. There is an expectation that where there is any doubt over a match between a Test Script, or a Pupil on the Attendance Register and the Pupil Records held by the Supplier, that a manual intervention will be required including correspondence with the School to ascertain the correct outcome.    The specific rules for matching Attendance Registers and Test Scripts must be provided during Set-Up for STA’s Approval. | See Scanning and Script Storage sub-requirement 5.1.5.  Accurate Pupil Level Data is where Accurate Test Level Data has been matched to the correct Pupil in 100 per cent of cases.  All Attendance Registers and Test Scripts received by the Supplier from Schools must be reconciled and matched with Pupil Registration Data to ensure that Pupils receive the right Assessment Outcome. | |
| 7.1.21 | The Supplier must provide access to downloadable real-time reports on all Organisation interactions with the Online System(s) to agreed formats.  A list of example reports required (as a minimum) can be found in the Data Catalogue. The exact requirements and data formats will be specified and Approved in the Data Catalogue during Set-Up and will depend on the Supplier’s solution and end-to-end Service design. Thereafter they will be Approved annually at the start of each Test Cycle to consider any lessons learnt and so that they align to the Online System(s), underlying physical data model and any changes made. | These reports could be at an application, subject, Pupil, or School level, depending on their purpose. | |
| 7.1.22 | The Supplier must provide STA with (or give access to) any additional reports containing Derived Data to agreed timings and formats.  A list of example reports required (as a minimum) can be found in the Data Catalogue. The exact requirements and data formats will be specified and Approved in the Data Catalogue during Set-Up and will depend on the Supplier’s solution and end-to-end Service design. Thereafter they will be Approved annually at the start of each Test Cycle to consider any lessons learnt and so that they align to the Online System(s), underlying physical data model and any changes made. | These reports could be at an application, subject, Pupil, or School level, depending on their purpose. | |
| 7.1.23 | The Supplier must provide STA with (or give access to) any data or reports regarding Exceptions, including but not limited to:   * The School details. * Pupil details (name, UPN, etc.). * Test Script details (including Missing and Lost Test Scripts). * All contact with Schools, including attempted and successful outcomes. | The Supplier must provide all data regarding investigations into Exceptions and Missing and Lost for audit trail purposes as part of the Exceptions Handling Plan (see Scanning and Script Storage sub-requirement 5.1.8). This should be based on real-time data, such that STA are able to extract the latest available data.  The exact details will be developed and Approved during Set-Up and added to the Data Catalogue once agreed. | |
| 7.1.24 | The Supplier must ensure that access to all System generated, derived and KS2 Assessment Data Outputs are restricted such that each report/output can only be accessed by those who have been given permission as agreed with STA. | The expectation is that STA will provide and maintain a list of those who can have access to the data that is listed within the Data Catalogue and any KS2 data outputs. Governance arrangements will be established between both parties during Set-Up to agree how changes are approved and communicated to the Supplier and/or back to the Authority. | |
| 7.1.25 | The Supplier data model must hold raw, cleansed, and amended Pupil data and the Online System(s) must pull the data from the right data source depending on the agreed business rules as agreed during Set-Up. | The current process is as follows:  Raw Pupil data is the data as it is provided to STA by Organisations during Census collection. Raw Pupil data should be used in all Organisation facing downloads on the Online System(s) and any KS2 Assessment data extract unless an Organisation has amended the data themselves in the Online System(s), in which case amended Pupil data should be used. Teacher Assessment matching should be based on the raw or amended data.  Cleansed Pupil data is raw Pupil data that has any inappropriate characters removed and “known as” (and other variations) standardised. Cleansed Pupil data is only used to present Pupil data to Organisations on-screen via the Online System(s) and to be printed on Attendance Registers.  The process and use of each of the datasets will be agreed as part of Set-Up.  The process for Schools to provide and update this information should minimise burden on Schools. It is expected that Schools would use the User-facing Online System(s) to provide and update information on Pupils wherever possible.  STA will provide raw and cleansed Pupil data according to the Census timetable which is agreed every year as part of Mobilisation. An example timetable can be found in the data room products.  Refer to the Online System(s) sub-requirement 12.1.20. | |
| 7.1.26 | **This requirement has been removed.** |  | |
| 7.1.27 | The Supplier must apply changes or assign flags to the KS2 Assessment Data Outcomes as defined in the KS2 Assessment Data Output Specification and data formats. These changes must be applied according to the timetable provided in the KS2 Assessment Data Output Specification and/or Operational Delivery Plan.  These changes or flags include (but are not limited to):  **Access Arrangements**   * Applying approved Compensatory Marks and make available to Organisations via the Online System(s) by Key Milestone 7. * Applying Special Consideration flag and make available to Organisations via the Online System(s) by Key Milestone 7.   **Maladministration**   * Pupil cheating flag to indicate results are annulled or marks removed. * Suppress, Un-Suppress, and annul Pupil Assessment Outcomes as per Online System(s) sub-requirement 12.1.49. * Item level mark removals (and impact on Test level marks). * Teacher Assessment Maladministration flag as per Online System(s) sub-requirement 12.1.51.   **Marking and Clerical Reviews**   * Apply outcomes of Marking and Clerical Reviews and make available to Organisations via the Online System(s) by Key Milestone 9.   **Other**   * Test modification flag to indicate the type of paper taken. * Missing pages flag to identify where parts of a paper are missing. * Error flag to include details at a subject to describe errors or anomalies in the data.   The business rules on how and when to apply these changes and/or flags will be Approved during Set-Up. Thereafter they will be Approved annually at the start of each Test Cycle to consider any lessons learnt from the previous Test Cycle and so that they align to the Online System(s), underlying physical data model and any changes made. |  | |
| 7.1.28 | The Supplier must calculate the Compensatory Mark to be awarded based on an average score of all results once volumes for the relevant subject are over 80%. | The business rules and sign-off process will be documented within the data room product. These will be Approved during Set-Up and thereafter they will be Approved annually at the start of each Test Cycle to consider any lessons learnt from the previous Test Cycle and so that they align to the Online System(s), underlying physical data model and any changes made. | |
| 7.1.29 | The Supplier must apply pro rata marks and/or appropriate Assessment Outcome codes where Test Scripts (whole or partial) have been deemed Lost. | The current process rules for calculating pro rata marks and/or Assessment Outcomes where Test Scripts (whole or partial) have been deemed Lost is provided in the data room document ‘Business Rules to Determine an Accurate Assessment Outcome’. These will be Approved during Set-Up and thereafter they will be Approved annually at the start of each Test Cycle to consider any lessons learnt from the previous Test Cycle and so that they align to the Online System(s), underlying physical data model and any changes made.  See Marking and Review Marking sub-requirement 8.1.10. | |
| 7.1.30 | The Supplier must ensure there is a process to apply Scaled Scores to Pupil Records accurately as soon as they are provided by STA. | STA provide Scaled Score conversion tables usually on the Friday before RoR. These must be applied to the Pupil data and be made available in the KS2 Assessment Data Outputs on the same day. Further information will be provided as part of the KS2 Assessment Data Output Specification. | |
| 7.1.31 | The Supplier must ensure that User data is structured in such a way that STA can filter by School or LA roles e.g., headteachers, so that the Authority can target communications sent. | Refer to the Online Systems(s) sub-requirement 2.1.31. | |
| 7.1.32 | The Supplier must always comply with the requirements detailed in the Data Catalogue, KS2 Assessment Data Output Specification and any associated business rules and/or data formats in the provision of the Services. | The Data Catalogue, KS2 Assessment Data Output Specification and any associated business rules and/or data formats will be set out in the data room products. These will be developed and Approved during Set-Up to align to the Supplier’s solution. These will then be updated and Approved at the start of each Test Cycle. | |
| 7.1.33 | The Supplier must provide access as soon as they are scanned to all:   * Test Script Images including Accurate Item Level Data on the Test Script when available and * Attendance Registers.   These should be searchable on specific attributes (e.g., Supplier ID, UPN, DfE number etc.) which will be agreed during Set-Up.  Access to scanned images should be restricted to named STA Users which must be agreed with STA during Mobilisation of each year. | This is required so that where there is any ambiguity over Pupil Assessment Outcomes, STA can review the raw data to ensure it is matched/indexed corrected and contains the right outcome. | |
| 7.1.34 | Where the Supplier has not met 100% of Accurate Pupil Level Data by the date of Key Milestone 7, they must complete investigation activities to ensure that all Pupils have an Accurate Assessment Outcome in every subject.  Any outstanding Assessment Outcomes must be rectified prior to 1st September for each Test Cycle and made available in the KS2 Assessment Data Outcomes and returned to Organisations via the Online System(s). Where this is not complete by this date, this shall be deemed a material Default and Service Credits shall apply in line with Schedule 15 (Charges and Invoicing), Part C, clause 3.2.1.  For the avoidance of doubt, any Test Scripts that are found or become available after Key Milestone 7 must be marked and made available in the KS2 Assessment Data Outcomes and returned to Organisations via the Online System(s) by 1st September.  For those Pupils that have outstanding Assessment Outcomes at Key Milestone 7, the Supplier must provide all information relating to that outcome including all Pupil and School information and any associated chase activity. See Data sub-requirement 7.1.23 for details on the data required. | Outstanding Assessment Outcomes (to be rectified prior to the 1st September) may be because of:   * STA not approving Test Scripts as Lost (see Scanning and Script Storage sub-requirement 5.1.13). * outstanding investigations as part of the Exceptions Handling Plan (see Scanning and Script Storage sub-requirement 5.1.8). * Test Scripts that have yet to be marked. * Attendance Registers that have not yet been processed. | |
| 7.1.35 | The Supplier must resolve data anomalies by Key Milestone 7. Data anomalies will be specified by STA during Set-Up and updated where required and Approved annually. Some data anomalies will require the Supplier to contact the School as part of a chase activity, the details should be agreed in the Outbound Chase Activity Plan (see Helpline sub-requirement 10.1.23)  Any outstanding data anomalies must be rectified prior to 1st September (unless otherwise agreed with STA) for each Test cycle, where this is not complete by this date, this shall be deemed a material Default and Service Credits shall apply in line with Schedule 15 (Charges and Invoicing), Part C, clause 3.2.1. | Example of data anomalies are:   * Duplicate Pupils – where a Pupil may have a result at more than one School. * Inconsistent codes within a subject, e.g., a “B” code in one Test Paper, and test mark in the other. * Cross subject consistency – for all School types other than Independent Schools, a Pupil cannot be recorded as a “Z” – inappropriately registered in one subject and have a different code in the others.   Further information on data anomalies can be found in the data room products. | |
| 7.1.36 | The Supplier must provide a report detailing overall pass rates, pass rates of individual questions, the position of the person taking the exercise and which attempt – see Online System(s) sub-requirements 12.2.6 and 12.2.13. | * Position relates to role – pool/mod/lead Moderators * Required after each exercise * A report once all exercises have been completed, required to show – total passed, total taking exercises, list of Moderator names and related LAs, how many moderators passed within each LA. | |
| 7.1.37 | The Supplier must provide an exercise and training feedback survey. They must capture the answers to the survey and feedback to STA in a meaningful way such as a data extract. See Online System(s) sub-requirement 12.2.14. | * System should recognise that first attempt all questions responses required, 2nd survey response should limit number of required questions – STA to confirm which questions. * STA would require response rate data showing individual responses across each question asked. Within an excel format using rows and columns. * Training material feedback for Moderation Managers and pool/lead Moderators captured during the process at initial exercise completion. * STA would require response rate data showing individual responses across each question asked. Within an excel format using rows and columns. | |
| 7.1.38 | The Supplier must provide a report to include information relating to requirement 12.1.70 and 12.1.71. See requirement 7.1.21 for more information on downloadable report from the Online System. | * An example report is listed within the Data Catalogue and should contain LA level data including: summary data as submitted in 12.1.71, percentages of School judgements and a data field to indicate when that data was submitted. Where this is NULL it indicates that the LA has not completed the activity. To be agreed during set-up. | |

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| **Data Architecture** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 7.2 | The Supplier must provide a bespoke, flexible data architecture that accounts for the complex business processes, data requirements and User and Organisational needs. | The assessment Service is a complex Service with multiple User journeys for many different types of Users and Organisations collecting and processing data to ensure an Assessment Outcome for all Pupils. The data architecture as part of wider enterprise architecture is key to successful delivery. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 7.2.1 | The Supplier must provide for STA’s Approval a conceptual, logical, and physical data model to demonstrate how the solution will meet all the data requirements of the Agreement. This should include (but not be limited to) all outputs specified in the Data Catalogue, KS2 Assessment Data Outputs and any other data deliverable as specified in the requirements.  These must be provided during Set-Up then annually at the start of each Test Cycle. |  |
| 7.2.2 | The Supplier must provide for STA’s Approval, documentation including but not limited to physical entity relationship diagrams and source to target details.  These must be provided during Set-Up then annually at the start of each Test Cycle. | It is expected that these will be developed and refined according to data and business requirements over the course of Set-Up. |
| 7.2.3 | The Supplier must provide for Approval conceptual, logical, and physical data flow diagrams of the end-to-end Service.  These must be provided during Set-Up then annually at the start of each Test Cycle. | The dataflow diagrams should be created to provide a focussed approach to design and develop the Service including the Systems used by the Service (Onscreen Marking System, Online System(s), Helpline System). They will evidence that all business processes are fully understood and enable effective end-to-end testing. |
| 7.2.4 | The Supplier must design, develop, and test data pipelines to maximise the automation of the collection, organisation, movement, transformation, and processing of data including delivery to STA. Any automation should be developed to reduce burdens on Organisations, improve the quality of the data, and to allow improved access to more timely data by all Users including STA. | The pipelines should consider the different sources of data e.g., Online System(s), Onscreen Marking System, any other Systems, subcontractor Systems, Census data. |
| 7.2.5 | The Supplier must ensure that data is collected and stored via the Online System(s) or otherwise at the appropriate level to meet STA requirements. | The required level will be agreed during Set-Up.  As an example:   * KS2 Teacher Assessment data is collected for multiple subjects. STA would require data and MI to be captured and reported for each subject individually. * Test data needs to be captured at an Item level. |
| 7.2.6 | The Supplier must design data models and flows holistically with the Online System(s) and any other System to work as a single Service. | During Service/System development the Supplier must consider all dataflows to ensure that data can be collected/captured accurately to the right level, with minimal burden to the User. |
| 7.2.7 | The Supplier must provide a solution that minimises manual handoffs and interventions of data therefore maximising automation and reducing error and potential points of failure. |  |
| **Change Management** | | |
| 7.2.8 | The Supplier must ensure that the data architecture including data model and data processes are flexible and can be changed easily when needed to accommodate for policy changes and/or changes due to lessons learnt. | The KS2 Assessment Data Output Specification, data formats and all data listed in the Data Catalogue will be reviewed and Approved during Mobilisation each year. Any changes required will be documented throughout these and agreed and Approved as part of Mobilisation for each Test Cycle. |
| 7.2.9 | The Supplier must ensure the data architecture is designed and built to enable additional School and Pupil related data collections to be accommodated without significant amounts of rework. | Example of changes include addition of allowable codes for data submissions or changes to subjects included in statutory assessments. For example, in 2021/22 when the engagement model became statutory (replacing P Scales) for Pupils working below the standard of the assessments and not engaged in subject-specific study. |
| **Data Security** | | |
| 7.2.10 | The Supplier must enable STA’s Service suppliers secure access to specific data to meet their needs to support administration of assessments.  The exact business rules and data needs will be developed during Set-Up and then annually during Mobilisation. | For example, the Modified Test Agency may be required to validate Test Orders placed by Schools via the Online System(s). |
| 7.2.11 | The Supplier must ensure that data is shared with STA securely. | The data transfer mechanisms and pipelines agreed when developing the Service/System must consider Security sub-requirements 9.1.2 and 9.2.21. This should include any views of the data, access to databases and/or data transfers. |
| 7.2.12 | The Supplier must ensure that Pupil level data or any other Personal Data is not shared with anyone without STA’s permission. |  |
| 7.2.13 | The Supplier must adhere to STA’s retention policy and any cleardown of the Online System(s), and associated database(s), must be approved by STA. The retention policy will be supplied during Set-Up. |  |

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| **Test and Assurance - Data** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 7.3 | The Supplier must provide for STA’s Approval as part of the Test and Assurance Strategy and Plan the approach for testing and assuring all data, including inputs and outputs, MI, the data model, data flows, data pipelines and any associated business processes or Systems that process or present data for review or download. |  |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 7.3.1 | The Supplier must ensure that data testing includes unit testing, integration testing, smoke testing, regression testing and feature testing as per industry standards. | The Test and Assurance Strategy and Plan needs to include all appropriate testing methods to ensure that the Agreement can meet Data sub-requirement 7.1 and all sub-requirements including Accurate, Complete, Valid, Unique, Consistent and Timely data. |
| 7.3.2 | The Supplier must ensure that where possible, processes are automated such that any quality assurance checks can be run (as defined in the Data Quality Assurance Strategy and Plan) at pace and with minimal intervention to ensure the quality of the data. |  |
| 7.3.3 | In collaboration with STA the Supplier must undertake an annual end to end data (to include all Systems) dry run to ensure readiness for the delivery of KS2 Assessment Outcomes.  This must include the following processes and Systems where required as a minimum:   * Pupil Registration * Access Arrangements * Scanning and indexing/matching solution * Marking solution * Teacher Assessment * Maladministration * RoR * Reviews   The Supplier must ensure that STA have access to all relevant Systems to complete this testing and the following data must be available to STA:   * All reports either via the Online System(s) or from Derived Data as per the Data Catalogue. * All raw data as specified in the data requirements. * The KS2 Assessment Data Outputs. * All appropriate MI reports as per the MI catalogue.   STA will provide an initial plan for the end-to-end dry run and will work collaboratively with the Supplier to refine and Approve during Mobilisation at the beginning of each Test Cycle. As part of the plan, the Supplier must work with STA to define and agree an appropriate remediation plan, should the testing uncover any failures with business processes, defects, or errors within the data. | The first end-to-end dry run must take place during Set-Up to provide assurance going into live delivery that the Systems and processes meet the requirements as listed. Thereafter the dry run should take place annually between Key Milestone 1 and Key Milestone 2 but before Pupil Registration commences to provide assurance of any change. Some elements of the testing as listed may be excluded year on year if no changes are made, but the expectation is that there will be a dry run every year to provide assurance ahead of Key Milestone 6 and Key Milestone 7. |
| 7.3.4 | The supplier must securely provide STA with a copy of script images for a total of 5000 pupils per subject by KM10. Where there is more than one paper for a subject all papers must be included, so for example if there are 3 papers, there would be 15,000 scripts included for that subject. | STA will provide the Supplier with a pupil level sample consisting of a list of the pupils for which scripts are required in each subject. STA will exclude pupils/scripts for where a scanned script isn’t available (see requirement 7.3.5).  For each pupil the scripts must be combined into a single PDF, for example if there are 3 papers in a subject, the PDF should contain 3 script images for that pupil. The file name for the PDFs will be [test cycle year]KS2Live\_[subject initial]\_[DfE number]\_[SupplierID]. Where the SupplierID is that specified in requirement 7.1.3. The script images must be grouped and supplied as per the lists provided by STA.  The exact date for suppling script images will be agreed during set-up. |
| 7.3.5 | The supplier must provide a report to detail all Unscannable Test Script images. This must include the unique Supplier identifier (see requirement 7.1.3) such that STA are able to exclude these scripts from the sample required in requirement 7.3.4. |  |

## Requirement 8: Marking and Review Marking

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| **Marking and Review Marking – Main Marking Operation** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 8.1 | The Supplier must Mark onscreen all KS2 Test Scripts received from Schools (including Test Scripts with additional pages) or on paper where this is not possible (e.g., braille) by a Valid Marker to an agreed timeframe for Live Marking and Review Marking Phases.  The Supplier must implement an Item level marking approach.  Results must be returned to Schools via the Online System(s) by the date specified by STA in the Operational Delivery Plan.  All dates for requirements and sub-requirements are to be agreed in the Operational Delivery Plan. | An Item level marking approach is required by STA. Markers are to receive allocations for each individual Item they will be marking.  Specific requirements only relevant to the Review Marking Phase have been detailed separately in Marking and Review Marking section 8.2 but some requirements in this section (8.1) are also applicable to Review Marking. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 8.1.1 | The Supplier must produce annually for STA Approval a Marking Key Dates Document which includes key dates for Marking activities. | Some dates are for the Supplier to propose, and some are STA led, e.g., RoR. |
| 8.1.2 | The Supplier must produce annually for STA Approval, a Marking Operations Plan which shall include:   * Marking processes and procedures for all Marking Phases; * how Key Milestone Dates (e.g., for KS2 Assessment Data Outcomes) shall be met; * deadlines to which Marking should progress to meet Key Milestone dates; * how and when Accurate Item Level Data will be met Contingency measures which will be utilised in the event that Marking falls behind expected progress. | The Marking Operations Plan is to include all processes and procedures for the entire Marking operation and all Marking Phases (Marker Training Material development, User Acceptance Testing (UAT), onscreen Marking, Manual Marking, Review Marking). |
| 8.1.3 | The Supplier must ensure accurate Marking of all received KS2 Test Scripts by the dates specified by STA including Test Scripts which are received late (up to a date to be agreed) and those that were thought to be Lost and then were found. | From 2015, all KS2 Tests are Marked onscreen apart from those which cannot be scanned and or Marked on screen as per Marking and Review Marking sub-requirement 8.1.6. Currently, no other National Curriculum Assessments are externally Marked (Except for trialling phase of the test development cycle). KS2 Tests must be Marked in sufficient time to allow the final Standards Maintenance to take place so that the date for RoR set by STA can be achieved. |
| 8.1.4 | The Supplier must ensure that Markers can only access the Items they have been allocated to mark, and for which they have successfully passed Qualification, and all required On-going Marker Quality Assurance. | All On-going Marker Quality Assurance checks will be agreed between STA and the Supplier and will be documented in the Marking Quality Regime. |
| 8.1.5 | The Supplier must ensure that Markers Mark all the Items they are allocated for within Approved Marking Quality Parameters in line with the Marking Quality Regime. |  |
| 8.1.6 | The Supplier must ensure that Test Scripts which, by exception, cannot be scanned or read onscreen, shall be Marked by Valid Markers and their Item Level Marks captured electronically. The Marking of Test Scripts that cannot be Marked onscreen must be subject to the Marking Quality Regime and processed in time to meet the non-negotiable deadline for RoR. | By exception, there may be a small number of Test Scripts which cannot be scanned (e.g., unscannable and braille) and therefore cannot be Marked onscreen. The Supplier will need to include the facility for these Test Scripts to be Marked, their marks be captured, and allocated to the correct Pupil. |
| 8.1.7 | The Supplier must proactively ensure that all Markers declare and identify any potential conflicts of interest with any School and or any Pupils. The Supplier must ensure that the Allocation of Pupil Test Scripts for Manual Marking (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 a conflict/personal interest. | The Supplier is expected to ensure that any information they have which could suggest a conflict of interest is checked and followed up on with Markers in an aim to ensure conflicts are identified. E.g., if a Marker has a work address of a primary School but has not declared a conflict, the Supplier is to follow up. |
| 8.1.8 | The Supplier must ensure that Supervisory Markers can only access data for Markers in their supervision line within their Marking Hierarchy in any related systems. |  |
| 8.1.9 | The Supplier must have a process to enable manual Markers to report to them Pupil responses or whole Test Scripts where Maladministration and/or Pupil safeguarding is suspected. This information is to be shared with STA within five working days and must either be direct link to the Test Script or include DfE number, Test Paper, question reference. |  |
| 8.1.10 | The Supplier must have a process to enable Manual Markers to report missing pages/Items when Marking Test Scripts. The Supplier must agree a process in the Marking Operations Plan to adjust Pupil marks where there are missing pages/items, and the School is not responsible e.g., lost or damaged in collation or scanning. | The method of applying marks for where the Supplier has lost or damaged some pages and questions for a Pupil, will be agreed in the Marking Operations Plan. Additional marks are currently added by way of a pro-rata calculation or a search of Pupils who have the same marks awarded on the questions available to Mark, and an average calculated which is added to the Pupils mark. |
| 8.1.11 | The Supplier must produce annually for STA Approval a Marking Peak Period Meeting Schedule which defines key meetings and required stakeholders during peak Marking activity. | During peak Marking period various meetings are required to Review progress of Marking activities. This defines the dialogue between relevant stakeholders, decision making processes and how and when information will be shared. |
| 8.1.12 | The Supplier must populate letter templates as drafted by STA for issue to Schools which need to be received on or before the date of return of Return of Results (RoR). These letters are to explain situations where pages of a Pupil’s Test Script have been damaged or lost due to a Supplier error and how marks have been adjusted and applied.  Various letters are currently required to explain different scenarios to Schools about their Test Scripts, e.g., reasons for failure to scan Test Scripts, or for any missing/damages pages etc. The Supplier must have one letter for each School, to minimise School burden, to explain a variety of situations where the Supplier is responsible for communicating to Schools. | There are currently seven Marking letter templates which are populated by the Supplier. (There are also letters in Requirement 5: Scanning and Script Storage). The Supplier must amalgamate letter content from various functional teams to reduce burden on Schools. |
| 8.1.13 | The Supplier must provide a single point of access solution to Markers for any Online System(s) that they are required to use ensuring multi-factored log in validation to ensure security. | The security of systems where Markers access secure and confidential materials needs to be robust to mitigate unauthorised access. |
| 8.1.14 | The Supplier must capture and provide a complete audit trail in relation to the Allocation, Re-Allocation and Marking of each Item Response for all Marking Phases, including Practice, Qualification and On-going Marker Quality Assurance, to include Manual Marking. |  |
| 8.1.15 | The Supplier must ensure that only Marking from Valid Markers is returned to Schools and that an agreed amount of onscreen Marking from Stopped Markers is cleansed and Re-Marked, as agreed in the Marking Quality Regime. |  |
| 8.1.16 | Where there is a requirement to Mark hard copy Test Scripts, the Supplier must arrange logistics to deliver and collect hard copy Test Scripts which cannot be Marked onscreen from the scanning bureau to a Marking Panel Location, minimising the number of deliveries and collections. |  |

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| **Marking and Review Marking – Review Marking Operation** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 8.2 | The Supplier must provide a KS2 Reviews Service, to process Review Applications against an agreed Quality Assurance regime by a Valid Marker and return Review Outcomes to Schools via the Online System(s) by the date specified in the Operational Delivery Plan by STA.  All dates for requirements and sub requirements are to be agreed in the Operational Delivery Plan. | The Reviews Service allows Schools to raise a Marking and or Clerical Review. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 8.2.1 | The Supplier must conduct the Reviews Service, in accordance with the Approved Marking Operations Plan and Marking Quality Regime. The Reviews Service must be completed sufficiently in advance of Key Milestone 9 by which Review Outcomes must be returned to Schools. | The Reviews Service will include the contracting of Review Markers, creation and delivery of Review training materials and readiness of the Onscreen Marking System. |
| 8.2.2 | The Supplier must annually develop for STA’s Approval, the following guidance on gov.uk in line with the Supplier’s solution and processes. Once Approved, text is to be submitted to STA Communication team who will manage publishing on gov.uk. | Previous Reviews guidance can be found here: [Key Stage 2 Tests: Applying for a review of Pupils’ test results](https://www.gov.uk/guidance/key-stage-2-tests-how-to-apply-for-a-review-of-key-stage-2-results). |
| 8.2.3 | The Supplier must ensure that as part of a Review Marking application, all Items within all Test Scripts for the requested Subject, are Review Marked in the same manner that it was originally Marked (either onscreen or on paper) unless there is a valid Exception as to why this is not possible (e.g. an item which is not clear onscreen which needs to be Reviewed on paper). |  |
| 8.2.4 | The Supplier must not accept any Review Applications outside the 10-calendar day period running from the date of RoR, except where Schools have received results after the official date for RoR (e.g., due to initial suppression during a Maladministration investigation). Any late Review Application requests must be passed to STA for consideration and decision. | If Schools can only apply for a Review through an Online System(s), late applications from Schools who have reported a system/connection outage to the Supplier during the Review Application window, would be allowed a late application and systems/processes would need to allow for this. |
| 8.2.5 | The Supplier must collect KS2 Test Scripts which have been Manually Marked, from Schools which require a Review.  The Supplier must arrange logistics to deliver these hard copy scripts to a Marking Panel location for a marking or Clerical Review, minimising the number of deliveries and collections.  The Supplier must return the KS2 Test Scripts which have been reviewed on paper (and that include the review marks on the Test Scripts) by Key Milestone 9. | Currently the Supplier contacts Schools with Test Scripts Marked on paper for which Schools have requested a Review, to arrange suitable time for collection of Test Scripts. |
| 8.2.6 | The Supplier must ensure that a single Valid Review Marker, review marks all Pupils Test Scripts that have been entered for a Review, for their subject, for an entire School, ensuring they have visibility of the original Marker’s marking and are not conducting a blind remark. | This is to include any Manually Marked Test Scripts which are sent for Review. A blind Re-Mark is where the original marks are not visible to the Review Marker. |
| 8.2.7 | The Supplier must maintain a full audit trail of Pupil’s Test Scripts sent for Marking including, Item Level Marking in the event that a School should request procedural information about their Marking Reviews. | A full audit trail is required to record the sequence of events for each given Test Script, including marks awarded for each item, Marker ID for marks awarded at different stages of Marking, e.g., original mark, Review Mark etc. |
| 8.2.8 | The Supplier must capture and provide a complete audit trail in relation to the Allocation, Re-Allocation and Marking of each Item Response, including Qualification and On-going Marker Quality Assurance. Review Item Level Marks are required for all Review Marking, to include Manual Marking. |  |
| 8.2.9 | The Supplier must allow Schools as part of their Review Application to submit a comment at Item, Test Paper and/or Test level. All Marking Review comments are to be presented to the Review Marker for response to the School in the Marking Review Report. Any mark changes made by a Review Marker must also be accompanied by a comment for the School. |  |
| 8.2.10 | The Supplier must ensure that only Review Marking from Valid Markers is returned to Schools and that all Review Marking from Stopped Markers is cleansed and Re-Marked, as agreed in the Marking Quality Regime. |  |
| 8.2.11 | The Supplier must ensure Onscreen Reviewed KS2 Test Script Images are updated with Review Item Level Marks and returned to Schools electronically, to allow Schools to view and download Pupils Reviewed Test Scripts on, and after, Key Milestone 9. | Onscreen Review Marking is currently completed remotely by Review Markers. Test Scripts originally Manually Marked on paper are collected and delivered to a Manual Marking venue to be Review Marked. |
| 8.2.12 | The Supplier must return Review Outcomes to Schools by Key Milestone 9 via the Online System(s) to include:   * Updated Test Script Images with both original and Review Marks; * a Marking Review Report for all Pupils where a Marking Review has been requested, summarising the rationale for the Review Mark changes; and responses to School comments; * Review Outcome letters (using prepared comment banks to ensure consistent messaging), and; * Notification of changes sheet.   In order to reduce burden on Schools, Schools must be presented with one Marking Review Outcome letter to cover all Subjects and Pupils.  STA will discuss and agree with the Supplier whether Marking Review Report forms and notification of change sheets are at Pupil, Subject or School level in line with the Supplier’s solution. | In addition to the completion of the Review Marking, a Marking Review Report has to be prepared for the School which includes:   * Responses by the Review Marker to School queries providing a justification to their query. * Justification by the Review Marker for any mark changes.   The notification of changes sheet includes:   * Details of each Pupil included in the Review Application to show original raw score, Scaled Score, and outcomes and then the final raw score, Scaled Score and outcomes.   The Review Outcome letter template is drafted by STA (with input from the Supplier) and are to be populated and issued by the Supplier. |
| 8.2.13 | The Supplier must only charge Schools for a Review where they are classed as an unsuccessful Review Application (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). | Marking Reviews are classed as unsuccessful when a Marking Review does not result in a change to the Pupil achieving the expected standard, the Pupil not meeting the expected standard, or a total raw score change of fewer than two marks. See data room product ‘Marking Review Charges Information’ for further information.  Clerical Reviews are classed as unsuccessful if the amendment does not correct a Test Script matched to the wrong Pupil or produces no change to the raw score or Scaled Score, or the assigned code for why the Pupil has not taken the Test. |
| 8.2.14 | The Supplier must provide Schools the opportunity to submit a Marking Review Complaint for any Items they still believe have not been Marked in adherence with the Mark Scheme, within ten calendar days of Review Outcomes. Schools who have received results after the official date for Review Outcomes (e.g., due to initial suppression during a Maladministration investigation) also have a 10-calendar day Review period from the dates results are released. | Marking Review Complaints are to be Reviewed by the highest member of the Marking Hierarchy for the given Subject to check the application of the Mark Scheme during original and Review Marking Phases. Marks should be either corrected or a justification given for the marks awarded. Marking Review Complaint outcomes are final. |

## Requirement 9: Security

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| **Security Services** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 9.1 | The Supplier must provide a Security Assurance Report to verify that all Systems, Services, and premises are compliant with central Department for Education (DfE) and Cabinet Office mandated security policies so that DfE data and assets are always protected. | The STA require the Supplier to comply with the HM Government’s Policy and achieve review and sign off of a Security Assurance Report outlining their risk management approach and risk control decisions made. This report will be to an agreed standard using common risk management methods to understand the key risk components, to consistently communicate such risk and in specifying proportionate security controls; see <https://www.gov.uk/government/publications/security-policy-framework>.  Additional requirements may be added by HM Government from time-to-time which the Supplier is expected to comply with. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 9.1.1 | The Supplier must implement documented security management procedures which comply with the requirements listed in the Cabinet Office Security Policy Framework and HM Government’s guidance on risk management at OFFICIAL level (to be found at <https://www.gov.uk/government/collections/securing-technology-at-official>). The Supplier must keep these under review and updated throughout the Term of the Agreement.  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 [Implementing the Cloud Security Principles - NCSC.GOV.UK](https://www.ncsc.gov.uk/collection/cloud-security/implementing-the-cloud-security-principles). | The Supplier should be aware when completing the Security Management Plan in the Agreement, this should be completed in accordance with this requirement. |
| 9.1.2 | The Supplier must comply with the UK GDPR and the Data Protection Act 2018 (DPA 2018) when collecting, controlling, or processing personal data as part of the Agreement. |  |
| 9.1.3 | The Supplier shall be certified as compliant for the duration of the term with:   * ISO/IEC 27001:2013 by a United Kingdom accreditation service approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001:2013, and; * Cyber Essentials PLUS   and shall provide STA with a copy of each such certificate of compliance before the Supplier shall be permitted to receive, store or process STA data. | The Supplier must also complete annual DfE supplier assurance documentation. |
| 9.1.4 | The Supplier shall ensure that each Higher Risk Sub-contractor is certified as compliant for the duration of the term with either:   * ISO/IEC 27001:2013 by a United Kingdom accreditation service approved certification body or is included within the scope of an existing certification of compliance with ISO/IEC 27001:2013; or * Cyber Essentials PLUS   and shall provide STA with a copy of each such certificate of compliance before the Higher-Risk Sub-contractor shall be permitted to receive, store or process STA data.  The Supplier shall ensure that each Medium Risk Sub-contractor is certified compliant with Cyber Essentials. | All sub-contractors involved in delivery of Agreement must also complete annual DfE supplier assurance documentation. |
| 9.1.5 | The Supplier must appoint 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. | The role of a security manager includes:   * specification and implementation of appropriate security policies and standards, specific to the Service being delivered, that comply with the current Cabinet Office Security Policy Framework and the principles of ISO/IEC 27001 or an equivalent standard depending on the approach taken to information risk management; * monitoring compliance with the security policies defined above in the delivery of the Service; * notifying STA of any security breaches; * providing STA with regular MI reports, in relation to (but not limited to) details of missing packages, Missing Test Scripts, courier Exception reports and other security related incident reports; * reviewing and updating the risk log with security related risks; * monitoring the security performance of any appointed sub-contractor and ensuring their service delivery complies with the Cabinet Office Security Policy Framework, and; * the Supplier undertaking investigations relating to security incidents in accordance with Industry Practice as described in Information Technology Infrastructure Library (ITIL) v3.0. and in accordance with ISO 22301 or equivalent. |
| 9.1.6 | The Supplier must provide for STA’s Approval a Security Management Plan in line with the timeline and template set out in Schedule 5 (Security Management) of the Agreement. The Security Management Plan includes:   * Information Assurance Assessment * Personal Data Processing Statement * Required Changes Register * Incident Management Process |  |
| 9.1.7 | The Supplier must provide for STA’s Approval, their own and their Sub-contractors security policies, which shall document how the Supplier will ensure that there are policy and procedures for:   * securing, controlling, and monitoring access to buildings and data; * the ban of photographic and copying equipment, from all areas where NCA Materials and/or Test Scripts are held; * control and encryption of sensitive electronic data on all devices; * ensuring no secure material is left unattended, including within the Supplier’s premises (except when in secure storage); * secure, controlled, and managed storage of all hard copy sensitive material; * ensuring responsibilities and duties of all personnel regarding security are defined, and communicated to personnel; * certified disposal of all waste material, printing plates and data that is no longer needed and provide destruction certificates; * security checks on people with access to sensitive data and NCA Materials; * all staff handling/processing personal data must be BPSS vetted; * control of the transfer of sensitive material outside the organisation, with appropriate authorisation and signature; * communicating with and management of sub-contractors with regards to security; * regular review and testing of the security policy and procedures, and; * maintaining records of security audits and breaches of security. | The Supplier is to complete face to face security visits to sub-contractors at least once per Test Cycle, during ‘live’ operations.  STA to review and agree the Supplier’s security policies and site visit reports.  No memory sticks will be allowed for this Agreement. |
| 9.1.8 | The Supplier must ensure that all existing and new DfE central and Cabinet mandated security policies which emerge over time must be followed. |  |
| 9.1.9 | The Supplier must ensure that 'protective monitoring' is in place i.e., real time feedback on attempted illicit access to resources and assets for all Systems. |  |
| 9.1.10 | The Supplier must send protective monitoring logs, where technically possible via automation, to DfE’s Security Information and Event Management (SIEM) solution. | The Supplier will work DfE’s Security Operations Centre (SOC) to configure collection of logs to DfE SIEM solution. This is purely for the SOC team to take a holistic view of activity across DfE’s supported Systems (they will not actively be monitoring or providing that capability). |
| 9.1.11 | The Supplier must have a robust and resilient solution with proportionate BCDR Plans for the whole of the Test Operations Service, which will ensure continuity of Set-Up and Operational Delivery (in the event of failure or disruption), is completed on time to the required quality. The Supplier must ensure the BCDR Plan is context specific to the Services being provided. | The Supplier must comply with the obligations in relation to BCDR set out in Schedule 26 (Service Continuity Plan and Corporate Resolution Planning) of the Agreement from the Effective Date.  The whole Test Operations Service includes each individual component of the service, not simply a generic plan.  A number of annual milestones are fixed and cannot be moved. These dates are the statutory testing / assessment periods, when data is required for standard setting and the full set of results data that is published to Schools. The operational and reputational consequences of delays to other milestones on the critical path could be severe. A proportionate approach to BCDR planning which can be implemented in the event of unforeseen events to ensure continuity of the Service is essential. |
| 9.1.12 | The Supplier must undertake annual testing of BCDR and provide evidence of testing being completed, to provide annual assurance to STA on BCDR. | How and when this testing is to be agreed with STA. This must include testing of back-ups and recovery times. |
| 9.1.13 | The Supplier must undertake annual testing of Incident Management reporting processes of all components of the Test Operations Service. This is to provide assurance to STA on Incident Management reporting. |  |

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| **Systems Security Assurance** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 9.2 | The Supplier must routinely assess Systems for security vulnerabilities processing DfE assets and data so that there is no unauthorised release or loss of any material or data at any time and residual risk is minimised. | The security assessment of the data is undertaken by the contract manager, Senior Responsible Officer, a member of the DfE Information Security Team (IST) and a security advisor in the agency or department concerned. This includes a review of impact levels, the potential financial and reputational losses and overall business harm in accordance with the HM Government’s Security Classification Policy (GSCP) and associated policies.  Routinely assess in a timeframe to be agreed with STA.  Regular vulnerability testing of the Service – frequency and reporting to be agreed with STA. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 9.2.1 | The Supplier must adhere to the DfE Security Assurance process as referred to in Schedule 5 (Security Management) of the Agreement. | The Supplier must also complete any additional DfE Security Assurance processes. |
| 9.2.2 | The Supplier must ensure any training provided on security management is context specific to the Services being provided. | All staff to undertake security and data protection training. There should also be clear definitions of responsibilities between STA, the Supplier, and any sub-contractors. Refresher training to be done annually. |
| 9.2.3 | The Supplier must respond in accordance with the agreed Security Management Plan, to any unauthorised release or loss of NCA Materials or data and to provide Timely incident reports and implement any lessons learned as a result, updating the Security Management Plan for STA’s Approval. | The Security Management Plan to include instruction that any incident must be reported to STA immediately once the Supplier becomes aware. The plan should also include timescales for detailed reports of incidents which must include root cause analysis, covering the reason the incident occurred, immediate action taken, and corrective action taken. |
| 9.2.4 | The Supplier must provide and maintain an Information Asset Register (IAR), which accounts for all material and data that is in the possession of the Supplier at all times. The Supplier must outline within this an appropriate audit capability regarding the movement of NCA Materials and changes in data. | The Supplier must provide STA with an IAR i.e., a list of all assets in play owned and produced by the Supplier, the Supplier’s sub-contractors and STA. |
| 9.2.5 | The Supplier must have appropriate investigative capabilities to respond quickly to any unauthorised release or loss of NCA Materials or data which are able to recover the NCA Materials or data or minimise the impact of the release or loss. | Must have robust Incident Management Processes and any incident must be escalated immediately to an appropriate level for immediate and corrective action. |
| 9.2.6 | The Supplier must ensure that all the Supplier personnel with access to secure NCA Materials or OFFICIAL level data related to the Service have sufficient security clearance and this is reported to STA.  The Supplier must ensure that all personnel are screened to a level necessary to handle information classified as OFFICIAL. | 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. |
| 9.2.7 | The Supplier must 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. | All staff need to have security clearance to at least DBS. Staff that handle or process official information must have security clearance to BPSS. |
| 9.2.8 | The Supplier must ensure all employees and contractors sign a declaration to state that they have read, understood, and will comply with the Supplier’s security policies and standards (including the Cabinet Office Security Policy) before they commence any work on Set-Up or Operational Delivery. | The Supplier must ensure that these declarations are retained and can be inspected by STA on demand. |
| 9.2.9 | The Supplier must ensure that no National Curriculum Assessment Materials or data related to the Services shall be transferred or processed outside of the United Kingdom at any time, unless otherwise agreed in accordance with Schedule 31 (Processing Personal Data) of the Agreement. |  |
| 9.2.10 | The Supplier must 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 [National Cyber Security Centre - NCSC.GOV.UK](https://www.ncsc.gov.uk/) standard or equivalent; and:   * fully account to STA for all waste and defective stock using a procedure and records capable of being audited, and; * destruction certificates must be provided to STA. | In relation to Test Operations Services, ‘stock’ will mean anything evaluation related generated by the Service. |
| 9.2.11 | The Supplier must keep the Test Operations Service risk assessment set out in the Supplier’s solution under review and update the Operational Delivery Plan as required using a recognised risk management methodology suitable for the management of information classified as OFFICIAL and OFFICIAL-SENSITIVE to determine the likelihood and impact of potential vulnerabilities, threats, and adverse events. | UK government security classifications can be found on: <https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/715778/May-2018_Government-Security-Classifications-2.pdf> |
| 9.2.12 | The Supplier must actively manage all identified security risks and regularly review and update the associated risk log. | Risk logs must be shared, reviewed, and agreed by STA. The Supplier will regularly report to STA on security risks regularly, sharing details held on the risk log and manage these collaboratively with STA. |
| 9.2.13 | The Supplier must, from the Effective Date, require that every sub-contractor shall operate a security policy, which is compliant with the HM Government’s guidance and must confirm to STA that this is the case prior to letting the relevant sub-contracts.  The Supplier must also provide 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. |  |
| 9.2.14 | The Supplier must, from the Effective Date, ensure that physical site security wherever secure NCA Materials and data are processed or held is secured according to polices based on ISO/IEC 27001 or equivalent. | Adequate fire prevention and detection measures must be 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. |
| 9.2.15 | The Supplier must ensure that buildings where live NCA Materials are held or stored have CCTV cameras installed and there is security monitoring. | CCTV recordings to be stored for a period to be agreed with STA. |
| 9.2.16 | The Supplier must ensure that all ICT Systems are secured appropriately to the level of risk associated with the secure NCA Materials and data being held or processed on such Systems, according to policies based on ISO/IEC 27001 or equivalent, the Cyber Essentials Scheme and the HM Government’s guidance. | Must include appropriate controls in server rooms, for example, controlled access. Storage facilities to be fit for purpose, i.e., not prone to over-heating if storing electronic equipment or prone to flooding. |
| 9.2.17 | The Supplier must implement the following technology controls in line with the five control themes of the Cyber Essentials Scheme:   * Boundary firewalls and internet gateways to be used and securely implemented to protect against unauthorised access and disclosure from the Internet. * Secure configurations and System hardening measures to be in place along with the minimisation of any inherent weaknesses. * User access controls to be in place with special access privileges only assigned to authorised individuals. * Malware protection to be installed on all machines, kept up to date and regular scans on all files performed. * Patch management methods to be implemented to update software on a Timely basis with any outdated software and configuration removed. |  |
| 9.2.18 | The Supplier must conduct an ITHC (on all System(s) processing STA assets) in accordance with Security sub-requirement 9.2.22 and in line with the Cyber Essentials PLUS Common Test Specification including:   * testing to a defined scope as agreed with the Cyber Essentials Certification Body; * the vulnerability testing of external Systems; * the vulnerability testing of internal Systems, and; * carrying out ITHC by an external CHECK accredited company and must include days to re-test critical, high, and medium vulnerability findings after remediation. | In addition to an ITHC, the Supplier should conduct monthly vulnerability scans of the service and remediate all findings within the timescales defined in the Agreement. |
| 9.2.19 | The Supplier must ensure that a risk management approach is taken as to the regularity of any ITHC testing in accordance with Schedule 5 (Security Management) of the Agreement, provided that it should occur on at least an annual basis and whenever there is any material change to the Operational Delivery Infrastructure. | Vulnerabilities must be classified as critical, high, medium, or low.  Remediations must be completed within the timeframes specified by STA in the ITHC. |
| 9.2.20 | The Supplier must carry out any remediation activities following an ITHC within the timeframes agreed with STA. |  |
| 9.2.21 | The Supplier must provide STA with details of their secure file transfer Solution e.g., Galaxkey, 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. | All data shared electronically between STA, the Supplier and any sub-contractors must be secure and encrypted in transit and in rest. At this point in time, the minimum expected standard for data in transit is TLS1.2 or equivalent, but the Authority would expect the Supplier to follow best practices and industry standards at the time that the contract commences should this minimum expectation change when encrypting data. |
| 9.2.22 | The Supplier must ensure that all desk-top computers and laptops used by the Supplier personnel delivering the Service are password-protected and that the use of removable media devices is disabled, in compliance with the Supplier’s security policy and the Cabinet Office Security Policy Framework. |  |
| 9.2.23 | The Supplier must 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. | The Supplier should have the capability to remotely wipe portable devices in the event of loss or theft. |
| 9.2.24 | The Supplier must ensure that all data relating to the Service held on the Supplier’s network is secured. Data files and secure NCA 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. |  |
| 9.2.25 | The Supplier must 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. | Examples include, but are not limited to; Incident Management Processes and reporting, physical security controls, Business Continuity and Disaster Recovery plans, etc. |
| 9.2.26 | The Supplier must ensure that STA data relating to the Service is backed up and stored on a secure off-site System. |  |
| 9.2.27 | The Supplier must 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:   * on-site, in a secure, fireproof safe; * off-site, in a secure, fireproof safe. | The off-site facility needs to be agreed with STA and have site security assured. |
| 9.2.28 | The Supplier must ensure that all data including back-ups can be extracted and securely destroyed when agreed or when instructed by STA to do so. | Destruction certificates to be provided to STA for all destroyed data. |
| 9.2.29 | The Supplier must ensure that an appropriate media rotation procedure is followed, in line with ISO/IEC 27001 and government security policies. |  |
| 9.2.30 | The Supplier must maintain and make available to STA upon request an audit trail of the electronic processing, transmission, and access to all secure/confidential NCA 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. |  |
| 9.2.31 | The Supplier must have, where 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. | PCI DSS is Payment Card Industry Data Security Standard |

## Requirement 10: Helpline

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| **ID** | **Main Requirement** | **Supporting Information** |
| 10.1 | The Supplier must deliver a flexible, on-demand Helpline solution that can be scaled to:   * receive, manage, and resolve enquiries from Organisations and Markers; * receive, manage, and resolve enquiries from parents/guardians and signpost any media outlets; * handle all complaints within timescales specified in the KPIs and SLAs; providing resolution to those relating to the operational Service, or to hand off complaints that are unrelated to the operational Service to the STA; * make outbound calls to chase School and/or Marker activities. | Organisations and Markers have access to advice and support through telephone and email Helpline Services. The Services provide a prompt and accurate response to their enquiries relating to the administration and Marking of NCAs.  Outbound calls to chase School or Marker activities are currently provided through two separate numbers. Chase details are agreed and provided in the Outbound Chase Activity Plan, produced by the Supplier in conjunction with the Customer Relations Manager in readiness for Test Cycle.  Outbound chase activity also includes additional back-office functions, including automated email reminders, Outbound scripts, submitting on behalf of Schools where required.  Although the delivery of the Multiplication Tables Check is out of scope of this Agreement, the National Curriculum Assessment Helpline does currently provide First Line Support to callers in relation to the administration of this check.    The Reception Baseline Assessment (RBA) is another assessment that is out of scope of delivery within this Agreement. Although first line support for the RBA will be provided by another provider, calls may naturally pollute the NCA Helpline and so initial handling, and warm transfers will be required to the appropriate provider. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 10.1.1 | The Supplier must provide a separate number for the Marker Helpline. |  |
| 10.1.2 | The Supplier must ensure that the Helpline solution (First Line and Second Line Support) is available:   * Monday – Friday 08.30 to 17.00 – for Organisations and Markers, referred to as core hours * Monday – Friday 08.00 to 18.00 – for Organisations, during the 12 weeks across the Test Cycle that are referred to as peak delivery * RoR day 07:30 to 18:00 – to align with the opening time of the RoR module * Monday – Friday 08.00 to 21.00 for Markers in any period where the Supplier is recruiting and training Markers and when Markers are using the Supplier’s Onscreen Marking System to either mark or complete Practice and Qualification, around 14 weeks * Additionally, from 08.00 to 20.00 on Saturday and Sunday for Markers only in any period where they are using the Supplier’s Onscreen Marking System to either pass Qualification and or mark (around 14 weeks) * To equally support Marker training events and meetings that fall outside of the 14 weeks   Exact dates for specified periods of time stated are to be agreed with STA and included in the Helpline Forecast and Resource Model document. | STA Third Line Support will be available daily for live calls from 8:30am-5pm and available daily from 8am-6pm during the 12-week Peak Period. |
| 10.1.3 | The Supplier must provide, in advance (June) of each Test Cycle, a Helpline Forecast and Resource Model; demonstrating anticipated Helpline calls, emails and other media channels, and the resources required to support effective handling of these in line with KPIs and SLAs for the upcoming Test Cycle. This must be Approved by STA in advance of each Test Cycle. | The Helpline Forecast and Resource Model must include:   * Forecasting of all communications channels (in relation to SLAs) * Inbound and outbound demand forecast * Expected average handling time for calls * Recruitment plan for different stages of the Test Cycle   All the above must align with the following:   * Recruitment plan for different stages of the Test Cycle * Occupancy rates of Helpline Agents   Helpline forecasts are based on historic data from the previous Test Cycle, with adjustments made for known changes e.g., changes in key dates. The Helpline Forecast and Resource Model provides a plan of required resource to be able to manage forecast volumes. |
| 10.1.4 | The Supplier must provide, in advance of each Test Cycle a Helpline Training Strategy and Plan covering that Test Cycle. The Supplier must implement this and ensure that all Helpline personnel receive support and training to conduct their work effectively, including continuous training to upskill knowledge throughout the Test Cycle. This must be Approved by STA in advance of each Test Cycle. | The Helpline Training Strategy and Plan should include:   * Strategic objectives and outcomes * Training journey * The Moderator System training for Standardisation Exercises * Quality assurance of training * Risks to training delivery * How staff will be supported   The Helpline Forecast and Resource Model (noted in Helpline sub-requirement 10.1.3) should take account of this document and ensure that there are adequate staff levels throughout the year.  Helpline enquiries are based on activities that take place throughout the Test Cycle; therefore, agents will need continuous training along with support and monitoring throughout the academic year to ensure their knowledge is upskilled to be able to respond to enquiries relating to the specific part of the Test Cycle. For example, in October Test Orders are placed, in February Pupils are registered, in April materials are delivered and in May Tests are administered. |
| 10.1.5 | The Supplier must allow Helpline queries to be raised via, emails, calls, and other media channels. | All queries raised by a School, by any method, need to be linked to the School’s account so that STA can view all queries raised by the School in chronological order along with related responses from STA or the Supplier. This includes a mechanism whereby the School’s account identifies (a flag on the System is needed) any previous complaints, Maladministration investigations or government interaction, for example from a MP. |
| 10.1.6 | The Supplier must explore automation where possible using, for example voice and chatbots or other technology to reduce handling times and enhance the User experience. These features must be tested and Approved by STA to ensure they provide a smooth User journey, accurate information and meet quality standards as agreed with STA. | Chatbot is an artificial intelligence application that can imitate a real conversation with a User in their natural language. Chatbots enable communication via text or audio on websites, messaging applications, mobile apps, or telephone. The Chatbot option could include a facility to allow Users to be directed to specific teams for consideration.  The National Curriculum Assessment and Marker Helpline do not currently feature any automation. Future improvements may include automating the provision of caller information and providing answers to more straightforward enquiries. A large proportion of Helpline enquiries require a specific answer tailored to the User question; therefore, any proposal needs careful consideration and Approval from STA to ensure the callers are provided with correct information as providing incorrect information could lead to Maladministration. |
| 10.1.7 | The Supplier must provide a feature to allow Schools, and LAs to communicate with relevant Helplines via secure messages. | Primarily used for Schools and LAs to send secure messages for example about specific Pupils Access Arrangements needs or particular circumstances. Refer to the Online System(s) sub-requirement 12.1.44 for further information. |
| 10.1.8 | The Supplier must ensure that the Helpline can escalate queries to STA or the Supplier’s Second Line Support where appropriate. | STA take calls from National Curriculum Assessment Helpline for variety of queries including unknown scenarios and policy changes. They consult the relevant teams if necessary and respond back to the National Curriculum Assessment Helpline.  The Supplier will need an internal process to manage any escalations relating to the Supplier led processes e.g., System technical issues, print and logistics, Marking etc.  Currently, no more than 15% of all enquiries received are escalated to STA.  Ensure key information is collected at point of contact to help respond to the query/escalation.  The escalation process must take into consideration the duration the caller is kept on hold and a service level should be applied to this, for example 30 seconds. |
| 10.1.9 | The Supplier must provide STA access to the Supplier’s call recording System. The Supplier must also ensure that all recordings, emails, messages, and other media channels, as well as contact history is retained until 18 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. | In the current contract, STA have access to the Supplier’s call recording System and can listen to calls to support quality checks and help resolve issues.  The Supplier must have an internal quality checking process and agreed with STA before each cycle. This includes the frequency of the quality checking, for example weekly. The Supplier must also provide assurances that the quality checking feedback has been provided to the agent and what steps have been taken to ensure on-going support and monitoring. |
| 10.1.10 | The Supplier must provide customers with the option to complete a customer satisfaction survey at the end of calls, emails and other media channels focusing on the quality of the support provided. | The current Supplier manages this and provides the option to allow the caller to provide feedback about their experience. The Authority would expect the same process with the new suppler and assurance is required outlining how the feedback has been applied to allow Continuous Improvement. |
| 10.1.11 | The Supplier must report findings from the customer satisfaction survey to STA and investigate and respond to negative feedback. | The Supplier must outline the steps that have been taken to apply CI and the impact of this on the area of work. |
| 10.1.12 | The Supplier must ensure that all Helpline operatives are able to converse clearly and fluently and appropriately with customers in the English language and understand the education System in England. | The Supplier must ensure that the level of English is appropriate to the role and undertake relevant internal English Tests to ensure that the agents can deliver. The understanding of the delivery of training material to support the delivery of the National Curriculum Tests must be implemented by the Supplier with STA’s support. |
| 10.1.13 | The Supplier must ensure that the Helpline solution is compliant with:   * BS EN ISO 18295–1:2017 * BS EN ISO 18295-2:2017 | The Supplier must also ensure that the Helpline solution is compliant with all accessibility legislation and policies via their communication team. |
| 10.1.14 | 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. |  |
| 10.1.15 | The Supplier must 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 of the Agreement. |  |
| 10.1.16 | The Supplier must provide a Customer Record Management (CRM) System which captures all enquiry details and links these by Organisation using the Get Information About Schools (GIAS) DfE / Multi-Academies Trust (MAT) / LA or the Supplier assigned Marker reference number. | The Supplier must ensure that callers are directed towards a privacy notice which explains how personal data will be used and how long it will be retained etc.  Helpline Agents should record all information, including (but not limited to):   * Contact name * Email address * Telephone number * Organisation details * Enquiry details * Nature of the query * Actions taken |
| 10.1.17 | The Supplier must have Systems which allow the Helpline to capture, find, filter by topic and theme, view, update, and action enquiries quickly and accurately and look up via a search facility and easily. | Refer to the Online System(s) sub-requirement 12.1.41 for further information. |
| 10.1.18 | The Supplier must provide STA access to their CRM System and permit STA to monitor calls and view all other Helpline activities. | STA must have access to all enquiry information which includes cases which have been escalated to STA’s Helpline. STA require access to this information to complete internal quality assurance activity on all enquiries for a specific period, these are selected at random, and feedback shared weekly with the Supplier. Quality checks include Review of written responses and listening back to agents calls to monitor quality of information being given to callers.  The Supplier must have an internal quality checking process that is completed weekly and Agreed with STA before each cycle |
| 10.1.19 | The Supplier must build an easy-to-use knowledge base including Frequently Asked Questions (FAQs), training materials, standard lines to take and links to published guidance. The Supplier shall make these materials available to STA via an Online System(s). | The Online System must be compatible and accepts the format produced by STA and incorporate all accessibility requirements. |
| 10.1.20 | The Supplier must ensure that the Helpline and STA Third Line Support can impersonate an Organisation in read only mode in the Online System(s) so that they can understand and deal with the issues they are having. |  |
| 10.1.21 | The Supplier must ensure that the Helpline can capture all the required information for Maladministration allegations and escalate to STA. | The Maladministration team require specific information to be able to investigate Maladministration cases. The Helpline must be able to capture the following information:   * Contact identity (School, MAT, LA, parent/guardian, unknown) * DfE number or School name * Assessment type (PSC, KS2, Teacher Assessment KS2) * Contact details of informant * Nature of allegation, e.g.: * Unauthorised Timetable Variation * Unauthorised additional time * Over-aiding Pupils * Inappropriate assistance * Coaching Pupils during the Test administration * Inappropriate storage of NCA Test Materials * Displays not covered during the Test administration * Incorrectly opened NCA Test Materials * Changes to Pupils’ Test Scripts in another hand * Moderation of Teacher Assessment * Test security breach/Lost materials * Unsupervised rest breaks   In the current solution, this facility is provided via a drop-down menu. |
| 10.1.22 | The Supplier must provide a mechanism to securely export all the captured information, by agents from callers, relating to the allegation(s) of Maladministration to STA’s Maladministration case management System. | STA’s Maladministration team currently use a SharePoint based case management tool. |
| 10.1.23 | The Supplier must provide an Outbound Chase Activity Plan for STA’s Approval in advance of each Test Cycle. This plan must detail how the Helpline will conduct, monitor and track the chase activities and report the outcomes throughout the process. This should include:   * a forecast of all planned calls; * all automatically generated email notifications for any Organisations that have not completed or attempted to complete mandatory NCA related activities in advance of or by the completed deadline. | The outbound chase activities currently must include as a minimum:   * School and LA Moderation and Monitoring Agreement * Pupil Registration * Headteacher Declaration Forms * Exceptions (including scanning Exceptions) / Missing Test Scripts * Teacher Assessment * LA Moderation summary activity * Marker recruitment activity * Data anomalies (see Data sub-requirement 7.1.34) |
| 10.1.24 | The Supplier must ensure the Helpline can deal with Marking Review Complaints/queries effectively. | Following the return of Marking Review Outcomes, Schools can submit Marking Review Complaints or queries within a set timeframe (10 calendar days). The Helpline handles these small number of complaints/queries – these must be resolved in-line with the complaints SLA but will require a process that allows the Helpline to escalate to required parties and resolve the issue by responding to the School (some complaints may need a further Review of the Marking before responses can be provided). |
| 10.1.25 | The Supplier must ensure that STA has full visibility of all Marking Review Complaints. This include a robust triage process to allow the complaints to be sent and resolved to the relevant team/Organisation. |  |
| 10.1.26 | The Supplier must provide a digital training platform for use as a repository to store all guidance documents, FAQs, and training materials for agents to access, which will also monitor and log all training undertaken by Helpline Agents.  The Supplier must create a variety of training materials (including e-learning and facilitated learning) and FAQs tailored for each aspect of the Test Cycle as specified by STA. The Supplier must ensure all training materials and FAQs are reviewed and Approved by STA. | Training materials are currently split into modules to cover all aspects of the Test Cycle – all modules have an e-learning that Helpline Agents can navigate through during a specified period – for more complex modules, learning would need to be supported with facilitated classroom learning.  Some subject areas will require content from STA, for example Access Arrangements as STA are responsible for the policy and guidance – this should all be incorporated into the Helpline Training Strategy and Plan. The list below confirms all the training materials and FAQs required:   * Access Arrangements and Timetable Variations training materials and FAQ’s * Assessment and Reporting Arrangements * Standardisation training materials and FAQ’s * Test Orders – including Independent Schools and Jersey Schools (as required) Independent Schools * Distribution and Security * Maladministration and Monitoring * Pupil Registration * MTC * Special Consideration * Teacher Assessment and moderation * Attendance Registers and Test Script collections * RoR * Headteacher Declaration Form * Yellow label FAQ’s * Marker recruitment * Marking Reviews and Marking Review outcomes * Modified Test Agency FAQ’s * Online System(s) FAQ’s |
| 10.1.27 | The Supplier must provide STA with the contact details of Schools that need to be chased for Pupil Registration, Teacher Assessments, Headteacher Declaration Forms and Test Orders from Independent Schools. | A week before deadlines, STA receives a list of Schools to contact from the Supplier and sends out targeted reminder emails. This has a significant impact on reducing the number of calls the Helpline must make. |
| 10.1.28 | The Supplier must provide a Quality Monitoring Strategy in advance of each Test Cycle. This must provide assurance to STA that measures are in place to regularly monitor Helpline Agent performance through quality monitoring to a quality framework specific to STA’s enquiries and Approved by STA. |  |
| 10.1.29 | The Supplier must arrange monthly quality calibration meetings with STA Helpline to ensure a consistent approach to quality monitoring throughout the Test Cycle. | At present, STA and the current Supplier hold a monthly calibration meeting. In this meeting together with the Supplier for each agent, the Authority look at one email and listen to a call and provide a ‘joint’ score. Any major concerns that are not highlighted in the weekly quality meeting can be discussed here. The STA expects the Supplier to address the concerns with the agent and provide the assurance to STA.  STA will expect the Supplier to recruit and select well qualified telephony agents in advanced of any peak activities. All the training must be facilitated by the Supplier with the support of STA, if appropriate.  In addition to all the above, the Supplier must provide a high-level quality report and dashboards data for STA’s consideration. |

## Requirement 11: System Standards

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| **ID** | **Main Requirement** | **Supporting Information** |
| 11.1 | The Supplier must provide, manage, and host cloud-based Online System(s) and an Onscreen Marking System that supports the administration and delivery of NCAs. | The services provided by our Systems are business critical to ensure successful delivery of the NCAs. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 11.1.1 | The Supplier must ensure the Online System(s) and Onscreen Marking System is hosted within the UK mainland, ensuring all development, management, support, processing, and storage of data remains within the UK and in compliance with domestic standards, unless otherwise agreed in accordance with Schedule 31 (Processing Personal Data) of the agreement. |  |
| 11.1.2 | The Supplier must ensure the Online System(s) is available to all Users throughout the year, including outside standard working hours for a minimum of 99.8% of the time with the Exception of agreed maintenance or upgrades which must take place outside of standard working hours. | Non-standard working hours ensures the Online System(s) can be accessed by participating overseas Schools and allows Organisations the option to access and complete actions outside of working hours. |
| 11.1.3 | The Supplier must ensure the Onscreen Marking System is available to Markers for a minimum of 99.8% of the agreed standard working hours, with the Exception of agreed maintenance or upgrades which must take place outside of standard working hours. | The agreed standard working hours will be defined with the Supplier during Set-Up. This will depend on the Suppliers solution to Requirement 13: Onscreen Marking System. |
| 11.1.4 | The Supplier must ensure the Online System(s) and Onscreen Marking System is flexible to allow for Service improvements, changes or additional content and functionality throughout the academic year. |  |
| 11.1.5 | The Supplier must use an Agile approach to project management and software development including the design, build, test (following the build) and maintenance of the Online System(s) and Onscreen Marking System. | Agile is an industry recognised iterative approach to project management and software development.  Agile teams deliver work in small, but consumable, increments. Requirements, plans, and results are evaluated continuously so teams have a natural mechanism for responding to change quickly. |
| 11.1.6 | The Supplier must ensure the Online System(s) and Onscreen Marking System is able to accommodate the expected volumes of traffic and data processing with an acceptable response time (to be agreed as part of the Capacity Management Plan) per transaction including during periods of peak demand without reduction in the level of Service. | The Authority expect response times to be within a minimum of 0.5 seconds, this will be agreed during Set-Up and documented as part of the Capacity Management Plan.  Previous Test Cycle traffic has seen familiar trends in peak activity, around key days throughout the year.  For example, the School-facing Online System saw our highest peak day (RoR) and included:   * 285,000 page views * 80,000 downloads of System generated data reports * 21,000 individual Users accessing   In addition, the highest peak day for uploading data into the School-facing Online System saw 7,500 data submissions (uploaded and processed).  On some of these days, the traffic can be concentrated into a small timeframe within the day. For example, on RoR day, a significant majority of the activity (User access, page views, downloads) is between 7:00am and 8:30am. Therefore, load test outcomes are required for STA assurance (Refer to System Standards sub-requirement 11.1.16). |
| 11.1.7 | The Supplier must ensure the Online System(s) and Onscreen Marking System is able to manage the volume of data to be processed and stored. | This should be considered alongside the physical data model detailed in the Data Set-Up and Mobilisation sub-requirement 1.1.83. |
| 11.1.8 | The Supplier must provide STA unlimited access to an always live User Acceptance Testing (UAT) environment which accurately replicates the Online System(s) and Onscreen Marking System live environment for all Organisation types. This must include STA being able to create and amend their own User access e.g., creating new Users. |  |
| 11.1.9 | The Supplier must provide STA access to Dummy User accounts for each User and Organisation type within the live environment and allow interaction and upload of Dummy data. | Dummy/test User accounts will provide STA with ongoing ad-hoc assurance of the live Service for each User and Organisation type. |
| 11.1.10 | The Supplier must ensure live environment Dummy accounts are easily identified. | Dummy accounts historically have been assigned to LA number 999 to enable easy identification. |
| 11.1.11 | The Supplier must ensure any static content of the Online System(s) and Onscreen Marking System can be changed and updated with key messaging, including by STA and upon request from STA. | STA may wish to update the Online System(s) with important messaging or make amendments to existing content in exceptional circumstances. |
| 11.1.12 | The Supplier must ensure dedicated development level experts are available to provide live technical support for Online System(s) and Onscreen Marking System when required. | A development level expert has experience of the front and back-end System builds and can respond to System changes and live incidents promptly.  System development support will be required as an escalation point for incident management and emergency content changes. |
| 11.1.13 | The Supplier must provide as a minimum, on an annual basis the following documentation (or their equivalent) for the Online System(s) and Onscreen Marking System for STA Approval:   * System Test Strategy * System Test Plan * Test Reports (including load testing and penetration testing) * Capacity Management Plan * Technical Specification (review only – Approval only required as part of Set-Up) * Functional Specifications * Availability Management Plan * System Development Methodology * Clean Down System Process * System Guidance and User Guides | Linked to document required for each Online System(s) and the Onscreen Marking System, provided as part of Set-Up (see Online System(s) and Onscreen Marking Set-Up and Mobilisation sub-requirement 1.1.117) and then to be reviewed and approved annually.  System Test Strategy: details the on-going approach to undertaking Set-Up testing activities including what needs to be considered to test the end-to-end User journey, such as data flows. The strategy should detail what testing types will be executed, test reporting and defect management. The following testing (or equivalent) must be included:   * Exploratory testing * Accessibility testing * Acceptance and unit testing * Integration testing * Regression testing * Load and performance testing * Penetration testing * User acceptance testing * End-to-end User experience testing * Pre-production testing   System Test Plan: explains what will be tested, what is out of scope, describes how testers will implement the System Test Strategy, test schedule, risks, and execution cycle.  Test reports follow the information laid out in the System Test Strategy and System Test Plan documentation, including details of defects found and resolved and any remediation actions required.  Capacity Management Plan: details the expected demand, response times, User volumes and storage capacity requirements. It details how System capacity is architected and how expected fluctuations in demand can be accommodated by the System and infrastructure design. It provides assurance that capacity requirements of the System are well understood based on the available data and that the technical makeup of the solution provides sufficient support for the demand expected to be placed on it throughout the testing cycle.  Technical specification: describes the System goals or requirements and how these will be achieved including the infrastructure required to support the System.  Functional specifications: details the System capabilities, appearance, and interactions with Users in-line with business rules in detail for software developers. The functional specification is a continuing reference point for developers when writing the programming code – this documentation can be provided in sections determined by activities within the System going live at different stages within the academic year.  Availability management plan: details how availability of the System is managed, including regular testing and continuity and security mechanisms.  System Development Methodology: describes the steps that are used to form, plan, and control the process of developing/configuring the System.  Clean Down System Process: This process describes the clear-down of all relevant data within the Online System(s) and Onscreen Marking System at the end, of and before, the commencement of each test cycle.  System guidance and User guides: The guides include functionality and technical aspects to ensure Users are supported throughout the User journey for all aspects of the Onscreen Marking System and the Online System(s) – this documentation must also be available during testing. |
| 11.1.14 | The Supplier must ensure regular Agile ceremonies are held to assess past work and plan future project goals, this includes sharing and reviewing the Task Based Checklist and release notes. | Agile ceremonies should include Show & Tells, Retrospectives and Refinement and Prioritisation sessions (or equivalent depending on Agile methodology used).  Task Based Checklist: a comprehensive list of all tasks required for successful delivery of the System. Tasks should be in chronological date order and assigned an owner.  Release notes: a summary of recent changes, enhancements, and bug fixes in a particular software release. |
| 11.1.15 | The Supplier must ensure the Online System(s) and Onscreen Marking System receive annual upgrades in advance of Annual ITHC. | Update is required in advance of the rolling annual ITHC.  Annual upgrades are undertaken to maximise performance, this should include upgrading operating Systems, UAT application software, Firmware and Firewalls to the latest available. |
| 11.1.16 | The Supplier must ensure the Online System(s) and Onscreen Marking System is load tested to ensure performance as expected during Peak Periods, this must include testing the load on accessing the site and uploading and downloading data. Load testing is required following System development and annually before Peak Period for assurance following any on-going development. |  |
| 11.1.17 | The Supplier must ensure the Online System(s) and Onscreen Marking System has a cookies policy in place including advising Users what cookies are used and why and offering Users a mechanism to opt out of having cookies placed on their devices. |  |
| 11.1.18 | The Supplier must ensure that all electronic transactions are audited containing as a minimum the following information:   * Username associated with User account * Time of the transaction * Date of the transaction * Details of the transaction * Status or error messages if applicable | Electronic transactions provide data on the amount of clicks, downloads, data submissions and uploads received, which informs decisions on operational communication requirements, lessons learned and future improvement discussions.  Log-in transactions inform decisions relating to individual Organisation/User activities and helps understand User behaviour. |
| 11.1.19 | The Supplier must ensure the Online System(s) and Onscreen Marking System has a published privacy notice Online System(s) explaining how personal data is used and how it applies data protection principles. |  |
| 11.1.20 | The Supplier must annually review the Online System(s) and Onscreen Marking System accessibility standards and published accessibility statement. | Accessibility standards must be met, and an accessibility must be published (see Online System(s) and Onscreen Marking Set-Up and Mobilisation sub-requirement 1.1.125). The statement will need to be updated annually to ensure the Systems reflect and adapt to the changing digital behaviours of Users. |

## Requirement 12: Online System(s)

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| **ID** | **Main Requirement** | **Supporting Information** |
| 12.1 | The Online System(s) must be an interactive System to enable Organisations 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. The Online System(s) must also allow internal operations Users to engage and respond to Organisations. |  |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| **General Features** | | |
| 12.1.1 | The Supplier must review and update all Online System(s) content annually prior to go-live dates (Approved by STA within the Operational Delivery Plan). This must include STA review and Approval for any new or amended content. | System content is all wording within the Online System(s) that supports the end-to-end User journey and helps Users complete actions. |
| 12.1.2 | The Supplier must ensure all Online System(s) activities align with the Operational Delivery Plan Approved by STA, including page specific availability controls based on time and date. | All Online System(s) activities have go-live dates and deadlines, these are agreed with STA at the start of each Test Cycle and held in the Operational Delivery Plan.  Page specific availability controls ensure specific pages within the Online System(s) only stay available during specified times, in-line with key dates. |
| 12.1.3 | The Supplier must enable Users to view upcoming deadlines, specific to their Organisation when they log-in to the Online System(s). | Key dates and deadlines are published by STA annually (usually October) as part of the KS1 & KS2 ARA’s:  [2022 key stage 1: assessment and reporting arrangements (ARA) - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/2022-key-stage-1-assessment-and-reporting-arrangements-ara)  [2022 key stage 2: assessment and reporting arrangements (ARA) - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/2022-key-stage-2-assessment-and-reporting-arrangements-ara) |
| 12.1.4 | The Supplier must ensure the Online System(s) can identify and provide data on Organisations that have not completed or have attempted to complete mandatory activities in advance of or by the required deadlines. Mandatory activities must be agreed with STA.  Data should be made available to STA as per Requirement 7. | This information provides data that informs the Helpline Outbound Chase Activity Plan (see Helpline sub-requirement 10.1.23), this currently includes the following Online System(s) activity:   * School and LA Moderation and Monitoring Agreement compliance * Pupil Registration * Headteacher Declaration Forms (HDFs) * Teacher Assessment |
| 12.1.5 | The Supplier must chase Organisations that have not completed mandatory activities using automatic Online System(s) generated email notifications and generate a report used to inform Helpline calls as detailed in the Outbound Chase Activity Plan (see Helpline sub-requirement 10.1.23). |  |
| 12.1.6 | The Supplier must provide Users with email notifications confirming the activities undertaken in the Online System(s). However, such emails must not contain any Pupil data. | Activities include:   * Test Orders * Pupil Registration * Access Arrangement applications and notifications * Teacher Assessment * Timetable Variations * Special Consideration * Headteacher Declaration Forms (Phonics Screening Check (PSC) and KS2) |
| 12.1.7 | The Supplier must ensure all downloadable materials are presented in an easy-to-use format, including grouping documents and include titles, sub-titles and item descriptions as defined by STA. | Downloadable materials currently include:   * PSC materials (PDF and Word versions used by Schools to make modifications) * KS1 National Curriculum Assessment Materials (PDF) * Teacher Assessment standardisation training materials (PDF and video) * Teacher Assessment Standardisation Exercises (PDF) |
| 12.1.8 | The Supplier must ensure that data fields are made mandatory where required and completed before Users submit their data. | Mandatory fields will be agreed during the development process. |
| 12.1.9 | The Supplier must provide a mechanism for Schools to provide their term dates for the current academic year. The Supplier must be able to download and provide this data to STA. | Term dates are used to determine when is best to engage with Schools. The Supplier will also need this information to inform delivery of National Curriculum Assessment Materials. |
| 12.1.10 | The Supplier must ensure the Online System(s) processes then Validates submitted User data and provides an immediate User outcome advising if the data has been submitted successfully or corrective action is required. | Teacher Assessment and Pupil Registration files submitted by Users will require the Online System(s) to analyse data and provide feedback on Validity where appropriate. Further information is provided within the data room document: ‘Business Rules KS2 Pupil Registration and Teacher Assessment’. |
| 12.1.11 | The Supplier must ensure data, downloadable materials and Test Script Images are removed from the Online System(s) at the end of each Test Cycle on dates agreed with STA and archived where required in line with data retention policies. |  |
| **Database** | | |
| 12.1.12 | The Supplier must ensure that the Online System(s) allows Schools to be defined by Type of Establishments and Assessing Group in accordance with data room product ‘School Types and their Participation Status’. | Establishment types are grouped together into Assessing Groups, which are used to define the actions required based on their statutory duties. |
| 12.1.13 | The Supplier must ensure that the School and Pupil related data provided to all Organisations complies with the Functional Specifications Approved by STA. |  |
| 12.1.14 | The Supplier must maintain an Accurate and up to date (minimum weekly) database of all Schools in accordance with data room product ‘School Types and their Participation Status’ including setting up new Schools and ensuring changes to Schools are applied e.g., including School closures, mergers, and conversions. | School changes are submitted to DfE’s Get Information About Schools (GIAS) website. STA’s System database is currently updated weekly in line with this information.  [Get Information about Schools - GOV.UK (get-information-schools.service.gov.uk)](https://www.get-information-schools.service.gov.uk/) |
| 12.1.15 | The Supplier must ensure that any changes that are made to any record via any System or any transactions are atomic and Consistent. The Supplier must ensure that on completion of the change or transaction that the database is immediately updated, and those changes are reflected in the next available KS2 Assessment Data Output. | This should include any changes as instructed by STA or changes to data due to School migrations. |
| 12.1.16 | The Supplier must ensure School data held in the Online System(s) is kept up to date (minimum weekly updates) and allows tracking from point of entry until the end of the Test Cycle. | School data is available from GIAS. When a School closes it is common for a new establishment to open with links to the old School, for example as with academy converters.  Information on these links is available on GIAS and will need to be used by the Supplier to keep Systems up to date. Rules for the application of the links can be found in the data room document ‘School Types and their Participation Status’. |
| 12.1.17 | The Supplier must ensure Schools are able to view but not edit details regarding their Organisation. This must include School name, DfE number and postal address. The Online System must make it clear to the User how they can change this information if they need to. | For Schools, this information is imported from the GIAS website. |
| 12.1.18 | The Supplier must ensure LAs and MATs are able to edit details regarding their Organisation. This must include Organisation name, LA/MAT number, postal address, and telephone number. | LAs and MATs should be able to edit details as their Organisation details are not imported from the GIAS website. |
| 12.1.19 | **Test Orders:**  The Online System(s) must provide functionality for Maintained Schools to opt-out of receiving printed KS1 materials.  The Online System(s) must allow Maintained Schools and Academies to submit a Test Order for Modified Test materials, confirming the number of Modified Test Materials they require for each subject.  The Supplier must ensure that Independent Schools can submit a Test Order (for standard and Modified Test materials) if they wish to participate in the National Curriculum Assessments. The Online System(s) must enable the Independent School to confirm the number of Pupils requiring materials for each subject and in which format.  Other types of Schools e.g., Special Schools must be able to decline materials and/or place a Test order for the various National Curriculum Assessments, further details can be found in the data room. | Test Orders are required for some School types to establish quantities of National Curriculum Assessment Materials required for printing.  Further information is available in the data room product ‘Test Orders Business Rules’.  Independent Schools must place orders to opt in to participate in the National Curriculum Assessments. |
| 12.1.20 | **Pupil Registration:**  The Online System(s) must allow for multiple uploads of Pupil Census data supplied by STA as and when this becomes available (this may be after the System is live), to allow for Schools to set an Assessment Status for their Pupils by the deadline specified by STA, to inform the delivery of National Curriculum Assessments Materials volumes, currently known as Pupil Registration. | During Pupil Registration Schools must provide a reason for any Pupil not participating in the National Curriculum Assessments, the reasons to select from are:   * Working below the standard * Taking the Tests in future / previous years * Pupil has left the School * Unregistered - for Pupils who appear incorrectly in Census data   [Key stage 2 tests: guide to registering pupils for the tests - GOV.UK (www.gov.uk)](https://www.gov.uk/guidance/key-stage-2-tests-guide-to-registering-pupils-for-the-tests)  There are specific business rules for Pupil Registration found in the data room product – ‘Business Rules KS2 Pupil Registration and Teacher Assessment’. |
| 12.1.21 | The Online System must enable Schools to view and edit the Pupil information that is uploaded for them from their School Census data in-line with dates agreed with STA. They should also be able to add either on a Pupil-by-Pupil basis or via a bulk upload Excel template Pupils who were not included in the School Census data. The Online System(s) should not allow Schools to delete Pupils once uploaded and instead it should prompt them for a Valid Assessment Status. | During Pupil Registration Schools add Pupils who are not on their Schools existing Pupil lists and correct Pupil data e.g., names and date of birth.  Bulk upload allows multiple Pupils to be added to Pupil data, Schools may have multiple new Pupils after the Census data has been collected. DfE do not collect Census data for Independent Schools, these Schools provide all their Pupils data directly to the Online System(s).  Adding and editing data is not limited to Pupil Registration, this is also required when School’s upload Teacher Assessment data. |
| 12.1.22 | The Online System(s) must link individual Pupil data to compile all related actions in the Online System(s) (see Data sub-requirement 7.1.3). |  |
| 12.1.23 | The Supplier must enable Organisations to view data relating to the current and previous Test Cycle (for example, results from one Test Cycle must be available until the date specified by STA in the next Test Cycle). | Schools will need to be able to view their results and Teacher Assessment data at the start of the following academic year. Teacher Assessment data may still need to be amended until mid-September due to the DfE performance tables checking exercise.  Marking Review outcomes are currently provided to Schools in September of the next academic year. |
| **User Access** | | |
| 12.1.24 | The Online System must enable Users to access through a single login mechanism which grants customisable access to all the functions they require in connection with their role in administration of the National Curriculum Assessments. | Users are defined as:   * Schools (KS1, KS2 and Key Stage 3 (KS3) * LAs * MATs * Administrators (the Supplier, STA, Helpline agents etc.) |
| 12.1.25 | The Online System(s) must not support simultaneous logins by a single User at any given time. |  |
| 12.1.26 | The Supplier must ensure the Online System(s) have role-based access control for each Organisation. This includes account management access to create and manage a restricted number of Users (to be agreed with STA during Set-Up) from their Organisations. The level of access granted must be customised to only allow access to required data and/or to complete required actions, specific to the User’s role (to be agreed with STA during Set-Up). | Access to the current web-based solution is customised based on roles and responsibilities:   * Account manager (all Organisations) * General User (all Organisations) * Access Arrangement User (Schools and LAs only)   Only Access Arrangements Users can view applications and notifications, as these include confidential Pupil information.  Account managers can create Users for their Organisations. The Authority recommend based on current behaviour the number of Users is currently restricted to two account managers for all Organisations, five additional Users for Schools and MATs and eight additional Users for LAs. Additional Users can be made up of general and Access Arrangement Users.  Account managers are usually headteachers, All Users are required to provide their role when they set up their account, this is used to inform communications. |
| 12.1.27 | The Supplier must ensure all account manager Users are able to confirm they have read the Online System(s) guidance including how to manage Users within their Organisation. |  |
| 12.1.28 | The Online System(s) must ensure Users can only access data which they are entitled to see (e.g., in relation to their School or in the case of a LA and MAT, Schools within their control). | The business rules data room document details what data each Organisation User can access – see Online System Organisation and User Access in the data room. |
| 12.1.29 | The Supplier must ensure all Users must provide name, role, email address and an optional contact telephone number. Email address domains must be validated to ensure that valid education email addresses are being used. |  |
| 12.1.30 | The Online System(s) must provide a mechanism for LAs to provide annual External Moderation contact details including email and telephone number to STA. LAs must be able to update these details throughout the academic year. | This information is used to ensure STA have up to date External Moderation contacts to inform communications.  Depending on the Supplier solution this may link with Online System(s) sub-requirement 12.2.1. |
| 12.1.31 | The Online System(s) must provide a mechanism for LAs to provide monitoring contact details, for more than one contact, including email and telephone number to STA. LAs must be able to update these details throughout the academic year. | This information is used to ensure STA have up to date monitoring contacts to inform communications. STA requires name, job title, email address, telephone number (all mandatory fields). There may be more than one contact for the purpose of monitoring visits and STA would require all of these to be captured. LA roles may also overlap (e.g., monitoring and External Moderation). |
| 12.1.32 | The Supplier must ensure all Organisations User data (including email addresses) for all User roles (see Online System(s) sub-requirements 12.1.29, 12.1.30 and 12.1.31) can be accessed and downloaded by STA at any time. Data must be able to be customised based on a conjunction of Organisation type, User type and complete/incomplete actions. | A current list of User data is regularly required to inform recipient lists for STA communications e.g., STA currently sent a bi-weekly Assessment Update newsletter mailing to all School account managers. The Authority often send specific communications to certain School types and Users reminding them of upcoming deadlines or incomplete actions. |
| 12.1.33 | The Supplier must ensure they have a password policy in place. The Online System(s) must enforce a strong password and prevents Users from reusing passwords. Users who fail to enter their password correctly three times will be prevented from using the Online System(s), until a password reset has been actioned. |  |
| 12.1.34 | The Online System(s) must record audit information of all User interaction; data changes and page hits and this information must be available for STA to access at any time. This should include where Users have engaged but not submitted information. | This is used when making decisions that require evidence of User interactions and ensures Administrator actions are traceable information and User engagement is used to tailor our communications and chase activity appropriately. |
| 12.1.35 | The Online System(s) must allow Administrators to securely interact as an Organisation. Specified Administrators must be able to view data and perform all actions on behalf of that Organisation. Any Users performing actions on behalf of Organisations must be agreed with STA during Set-Up. | Administration staff need to be able to view the User journey to support advising Organisations how to complete actions. This supports the Helpline and STA when responding to enquiries and helps STA to gather information which informs Approval of applications. Only in exceptional circumstances where an Organisation is unable to complete actions would an STA Approved specified Administrator complete an action on their behalf.  STA’s Maladministration team need to be able to view individual School Script images (including a view of each individual question and marks awarded) and Test outcomes. |
| 12.1.36 | The Online System(s) must ensure Administrators can complete actions on behalf of Organisations, if required. | In exceptional circumstances STA allows Schools to complete activities after the deadline e.g., application for early opening where a Pupil has only recently joined the School.  This access is also required to allow Helpline Administrators to complete action as a result of Outbound Chase Activity. |
| 12.1.37 | The Online System(s) must ensure Administrators access can be updated at any time and ensure staff changes are implemented within one hour to ensure only current employees have access to sensitive data. | Administrator access to the current web-based solution includes:   * Administrators general (STA and the Supplier only) * Administrators Access Arrangements (STA and the Supplier only)   STA’s service suppliers e.g., Modified Test Agency also require Administrator access to the Online System(s).  STA are obliged to regularly provide an updated staff list to the Supplier. |
| **Access Arrangements and Test Administration** | | |
| 12.1.38 | The Online System(s) must enable Schools to apply to STA for Access Arrangements for their Pupils, to reschedule a Test day (Timetable Variation) and to make Special Consideration requests. Applications can be made for individual Pupils, multiple Pupils or whole Cohorts and STA must be able to respond to requests in accordance with set deadlines. | Applications that can be made include, to allow:   * a Pupil additional time to take the Test; * a Pupil or multiple Pupils (this could mean the whole Cohort) to take the Test on a different day to the scheduled day. This is called a Timetable Variation; * early opening of Test Papers; * for Special Consideration, and; * for Compensatory Marks. |
| 12.1.39 | The Online System(s) must enable STA to manually and/or automatically respond to applications. Schools must receive application outcome notifications via email and a printable PDF outcome letter, specific to each application type on dates specified by STA. | * Additional time – all automated (\*103656 Pupil applications) * Timetable Variation – mostly automated (\*4578 Pupil applications. 3780 automated. 798 manual) * Early opening of KS2 National Curriculum Assessment Materials - all manual (\*286 Pupil applications) * Special Consideration – mostly manual (\*14716 Pupil applications. 3763 automated. 10953 manual) * Compensatory Marks – all automated (\*116 Pupil applications)   \*Data provided from the 2018/19 academic year.  Additional documents will be provided in the data room containing more detailed information about automation e.g., rules for each of the application types – see data room product ‘Online System Access Arrangement Business Rules’. |
| 12.1.40 | The Online System(s) must enable Schools to provide notifications of aids used in specific Tests for specific Pupils. | Schools do not need to make applications, but must notify STA about certain aspects of Test administration including use of a:   * Scribe (\*18,892 Pupil applications) * Transcript (\*26,710 Pupil applications) * Electronic aid (\*301 Pupil applications)   \*Data provided from the 2018/19 academic year.  Additional documents will be provided in the data room containing more detailed information about data required for each application types – see data room product ‘Online System Access Arrangement Business Rules’. |
| 12.1.41 | The Online System(s) must ensure that for all applications and notification made by Schools, STA must be able to:   * find and filter them quickly and easily using School DfE number within the application or in an excel document for example if the information was easily exported. Search fields might include application reason/type, LA, School, key words, (for spec cons % applications); * open, view and respond to them efficiently, with visibility of which STA Users are currently viewing / responding to an application; * change decisions quickly and easily e.g., change a manual or automated application to ‘approved’ after the School provides additional information (and vice versa – change an application from approved to rejected). This must include being able to note the reason for change; * work with a solution which uses a single set of reference numbers for any School and STA activity e.g., an Access Arrangement application from the School and outcome will use the same reference number, and; * determine when outcomes are sent out to Schools and LAs – including for automated responses. | The System needs to allow STA Users to search applications using DfE numbers, this gives the individual a range of information relating to the School that makes the process for reviewing applications easy to use and ensures consistency. |
| 12.1.42 | The Online System(s) must enable Schools to download at the times specified by STA, National Curriculum Assessment Materials for KS1, PSC, and the KS2 Mark Schemes. | Currently Schools use the same Online System(s) to access and download:   * KS1 National Curriculum Assessment Materials * KS2 Mark Schemes * PSC materials   All Online System(s) activities have go-live dates and times, these are agreed with STA at the start of each Test Cycle and held in the Operational Delivery Plan. |
| 12.1.43 | The Online System(s) must refresh National Curriculum Assessment Materials available for download at the times specified by STA (on an annual basis). | All Online System(s) activities have go-live dates and times, these are agreed with STA at the start of each Test Cycle and held in the Operational Delivery Plan. |
| 12.1.44 | The Online System(s) must include provision of a secure communication method (as an alternative to emails) that enables Organisations to facilitate the exchange of confidential information in relation to Access Arrangements and general Helpline enquiries (see Helpline sub-requirement 10.1.7).  This must include providing:   * a method for Administrators to respond to messages; * an easily accessible view of historical records of previous conversations for Users and Administrators; * alerts when new messages appear for Users and Administrators; * filtering of messages by Organisation, and query type for Administrators, and; * an easily accessible link to User account for Administrators. | Due to the sensitivity and confidential information, STA Administrators only are currently able to respond to Access Arrangement messages:   * 3000 Access Arrangement messages in the 2017 – 2018 academic year. * 2766 Access Arrangement messages in the 2018 – 2019 academic year. * Helpline Administrators respond to Helpline general enquiry messages. |
| 12.1.45 | The Supplier must provide School level data on approved Timetable Variation application to inform Test Script collection. | If Schools have administered a Timetable Variation, the Test Scripts for the rest of the Cohort taking that Test Paper must not be sent for Marking until the last Pupil has taken the Test. This report informs the Supplier collecting National Curriculum Assessment Materials where a collection may not be required and calculates the new collection date. |
| **Maladministration and Monitoring Visits** | | |
| 12.1.46 | The Online System(s) must ensure STA and LA Users can view and download a report providing data on the number of different Access Arrangement applications and notifications for each of the Schools within their LA to support their monitoring visits. This must include Schools who have selected a non-geographical LA for monitoring purposes and the functionality to search by DfE number and for a Pupil by UPN. | LAs use the Access Arrangements report to inform visits to Schools. This includes selecting Schools who have a high number of applications for their Cohort size. The report is used to check the number of approved applications against the number of Pupils using these arrangements during Test administration. Monitoring visit outcomes are shared with STA’s Maladministration team. |
| 12.1.47 | The Online System(s) must provide information to LAs on the number of packs of materials, by assessment, which were delivered to each School to support their monitoring visits. | Test material collation data is used during monitoring visits to confirm National Curriculum Assessment Materials are stored securely in accordance with STA guidance. |
| 12.1.48 | The Online System(s) must ensure that STA Approved ‘Access Arrangements Reports Guidance,’ is available for LAs to download at the times specified by STA in the Operational Delivery Plan. | The ‘Access Arrangements Reports Guidance’ is currently emailed to LA monitoring contacts. This guidance advises LAs on how they should use the Access Arrangements report to inform their monitoring visits. |
| 12.1.49 | The Online System(s) must allow STA Maladministration team to Suppress/Un-Suppress or annul specific School results and Teacher Assessment data for individual Pupils, partial or whole School Cohorts by:   * Subject * Individual Test Paper * Item level before and after results are returned to Schools. | Test Results may be supressed or annulled for a whole School, individual Pupils, Test subject, Test Paper or for individual questions (Item level).  All amendments including suppressions and annulments must be reflected in KS2 Assessment Data Outcomes. Further information is provided in data room product ‘Online System Maladministration Business Rules’  STA will need access to pre and post amended marks, for the duration of the Test Cycle until system clear down. |
| 12.1.50 | The Online System(s) must enable Schools to notify STA of incidents of Pupils cheating in the Tests, including for whole or partial Test Scripts or individual questions by the date specified by STA in the Operational Delivery Plan and on submission automatically annul these results. | Test Papers change each academic year and therefore the number of questions on each Test Paper is subject to change.  All amendments including suppressions and annulments must be reflected in KS2 Assessment Data Outcomes. Further information is provided in data room product ‘Online System Maladministration Business Rules’. |
| 12.1.51 | The Online System(s) must enable Organisations to self-report to STA incidents of Maladministration, including for whole Test Scripts or individual questions. | During set-up STA will confirm with the Supplier what scenarios/business rules should result in an automatic annulment and those that will need to be referred to STA for further investigation.  Schools and LAs can self-report via the Online System, Parents and any other parties who do not have access to the Online System should be able to report via contacting the Supplier’s helpdesk who should record the relevant information to be exchanged with STA via the agreed method.  Further information is provided in data room product ‘Online System Maladministration Business Rules’. |
| 12.1.52 | The Supplier must provide STA with a pupil level report containing pre and post amended marks. | STA use this data to assure marks have been annulled/suppressed/unsuppressed accurately.  STA will work with the Supplier during set-up to define the required data entities/attributes required and frequency, |
| 12.1.53 | The Online System(s) must provide a mechanism to securely export allegations of Maladministration to STA’s Maladministration case management system (in the specified format), including those taken by the Helpline.  During the term of the contract STA may want to move to an integrated technology solution working with the Supplier. This will be refined and agreed during Set-Up with the Supplier. | Further information is provided in data room product ‘Online System Maladministration Business Rules’.  An example of the data required can be found in the Data Catalogue V1.1 and Data Catalogue formats V1.1. This will be refined and agreed during set-up with the Supplier. |
| 12.1.54 | The Online System(s) must provide Assessment Outcome data (including Item level data, standards and completed HDFs) as soon as available to STA up to the date specified by STA in the Operational Delivery Plan in relation to each Test Cycle. | The Maladministration team use all relevant information to process allegations of maladministration.  During Set-up the supplier must work with the maladministration team to agree how best to provide this data in conjunction with requirement 12.1.53, to maximise efficiency and reduce burden see requirement 1.1.121.  The Maladministration team will also require access to Test Script Images as soon as available, even pre-marked, as part of their investigations, see requirement 7.1.33.  The expectation is that any Assessment Outcome data will be available as soon as it is marked and be searchable via specific attribute (e.g. Supplier ID, UPN, DfE number etc.) which will be agreed during set-up. |
| 12.1.55 | The Online System(s) must allow for STA to download applied for (approved or rejected) Access Arrangements, notification of scribe, submission of HDF summary reports. | The Maladministration team use all relevant information to process allegations of maladministration.  During Set-up the supplier must work with the maladministration team to agree how best to provide this data in conjunction with requirement 12.1.53 and 12.1.54, to maximise efficiency and reduce burden see requirement 1.1.121.  The expectation is that any Access Arrangement and HDF data will be available as soon an application/declaration is made and be searchable via specific attribute (e.g. Supplier ID, UPN, DfE number etc.) which will be agreed during set-up. |
| 12.1.56 | The Online System(s) must allow for STA to download a School result report showing outcomes, including standard achieved (once available), for each Pupil and Test Paper (in a single report for each School). | This information is required to support Maladministration investigations. The team will need reports with outcomes as soon as they are available, thus pre availability of standard achieved, and with the standard once available (most likely at RoR). |
| 12.1.57 | The Online System(s) must enable the headteacher from each School administering the NCAs to submit a HDF by the date specified by STA. The form must allow headteachers to confirm the Tests have been administered correctly and accurate Teacher Assessment data has been submitted for all Pupils. | Currently, headteachers submit declaration form separately for each type of assessment:   * PSC * KS2 |
| **Teacher Assessment and External Moderation** | | |
| 12.1.58 | The Online System(s) must enable Schools to confirm to STA (by the date specified in the Operational Delivery Plan, which LA they have a Moderation and Monitoring Agreement with (this may be the same or different LAs) to undertake External Moderation and monitoring of the National Curriculum Assessments. This activity must be customisable by School type as this only applies to Academies, Free and Independent School types. | Most Academies and Free Schools use their geographical LA. Currently Academies and Free Schools only inform STA if they are using a non-geographical LA. This information is used to record which LA Schools have chosen for External Moderation of their Teacher Assessment and monitoring of the PSC and KS2 Tests.  Independent Schools must tell STA which LA they have an agreement with for External Moderation of KS2 and KS2 Teacher Assessment (if submitting) and monitoring of the KS2 Tests.  Most of these Schools will choose the same LA for both Moderation and Monitoring Agreements, but there may be times Schools wish to select a different LA for each agreement – the Online System(s) must allow this. |
| 12.1.59 | The Online System(s) must notify LAs that a School has informed STA they have a Moderation and Monitoring Agreement in place with them for External Moderation and monitoring of the National Curriculum Assessments. | Academies, Free and Independent Schools make agreements directly with their chosen LA and then inform STA when the agreement is in place. |
| 12.1.60 | The Online System(s) must enable LAs to approve/reject Moderation and Monitoring Agreement notifications from the Online System(s) by the deadline specified by STA in the Operational Delivery Plan. | LAs will only approve notifications if they have a Moderation and Monitoring Agreement in place. This replaces the current process of sending out surveys to obtain this information. |
| 12.1.61 | The Online System(s) must notify Schools when LAs have approved/rejected their Moderation and Monitoring Agreement notification. If rejected, Schools must be able to submit additional notifications until the deadline specified in the Operational Delivery Plan. | If rejected, these Schools must make agreements with the LA and re-submit or make an agreement with an alternative LA by the deadline specified by STA. |
| 12.1.62 | The Online System(s) must be able to assign Academies and Free Schools that do not meet the deadline for selecting a LA they have a Moderation and Monitoring Agreement with (as detailed in the Online System(s) sub-requirement 12.1.60) to their geographical LA. |  |
| 12.1.63 | The Online System(s) must allow STA access to amend the LA selected for Moderation and Monitoring Agreements if required. | This is required if any complaints or exceptional circumstances enquiries are received where STA feels the Authority should allow their selection to be amended. |
| 12.1.64 | The Online System(s) must ensure after Independent School Moderation and Monitoring chase activity (see Helpline sub-requirement 10.1.23) is complete, Test Orders are cancelled for any non-compliant Independent Schools who have not informed STA they have a Moderation (if applicable) and/or Monitoring Agreement with a LA, or the notification is rejected. | Independent Schools that do not have an approved agreement in place with a LA to moderate their Teacher Assessment or monitor the Tests are not able to participate in the National Curriculum Assessments.  This does not apply for Academies and Free Schools as it is a statutory requirement to have an agreement with a LA. |
| 12.1.65 | The Online System(s) must provide a mechanism for LAs to indicate which Schools they are submitting KS2 Teacher Assessment data on behalf of. | It is statutory for Schools to submit KS2 Teacher Assessment, however some LAs offer a service to their Schools to submit on their behalf. The Online System(s) should allow both Schools and LAs to submit the Teacher Assessment data, however, where data is missing, the Online System(s) needs a flag to identify where the LA is Submitting On Behalf Of. This flag does not prevent LAs who have not submitted this from submitting data.  Further detail about which Schools LAs can submit data on behalf of is provided in the data room business rules document called ‘Business Rules KS2 Pupil Registration and Teacher Assessment’. |
| 12.1.66 | The Online System(s) must ensure that STA Approved Teacher Assessment External Moderation Standardisation training materials (including videos), exercises and exercise Commentaries are available for Schools and LAs to download at the times specified by STA in the Operational Delivery Plan. It must also give weekly reports on the number of times material has been downloaded. | Standardisation provides Schools with assurance that LA External Moderation teams have the required knowledge to undertake External Moderation of KS2 English writing Teacher Assessment.  Training materials currently include:   * PDF files * 1x video encoded at 1080p, downloaded in .mp4 format |
| 12.1.67 | The Online System(s) must enable Schools and LAs to submit and edit (where agreed with STA) KS2 Teacher Assessment Outcomes for all Pupils, and ensure that the data submitted is Validated against rules specified by STA. | All Pupils at KS2, regardless of whether they take a Test or not, are assessed by their teachers and the Assessment Outcome submitted to STA. Some LAs submit Teacher Assessment Outcomes on behalf of Schools.  Schools must assess all Pupils in English writing and Science, providing a Valid code for them. Schools must also assess Pupils in English reading and mathematics where they are below the standard of the National Curriculum Assessments and provide a Valid code for them.  The codes that should be used when submitting data are detailed in the submitting Teacher Assessment guidance:  [Key stage 2 teacher assessment guidance - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/key-stage-2-teacher-assessment-guidance)  Further detail about Teacher Assessment business rules is within data room product ‘Business Rules KS2 Pupil Registration and Teacher Assessment’. |
| 12.1.68 | The Online System(s) must enable Schools and LAs to upload KS2 Teacher Assessment data files from their Management Information System (MIS) using a common transfer file (.XML) and ensure a manual solution for inputting Teacher Assessment data where the common transfer file cannot be used. This may include multiple uploads where a School or LA need to edit or update their data. | .XML file CTF schema currently published on GOV.UK annually. [Common transfer file 2019: guide, specification and schema - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/common-transfer-file-19-specification)  Schools and LAs who are unable to upload Teacher Assessment data using a .XML file currently download and complete a manual Excel spreadsheet; they are then able to upload this file to submit their data.  Further detail about Teacher Assessment business rules is within data room product ‘Business Rules KS2 Pupil Registration and Teacher Assessment’. |
| 12.1.69 | **Submitting On Behalf Of:**  The Online System(s) must provide a mechanism for LAs to input the Schools which they are submitting Teacher Assessment data on behalf of. It must also allow Schools to view if their LA has inputted their School as one they will be submitting Teacher Assessment data for. |  |
| 12.1.70 | The Online System(s) must provide a mechanism for LA users with Moderation Manager access to indicate which KS2 Schools (including geographical and non-geographic Schools that have selected the local authority for moderation) they have moderated for the current academic year, by the deadline as defined in the Operational Delivery Plan. | Activity deadline will be end of July each year. Window opens start of June to end July.  Role based access should be given to Moderation Managers to ensure this activity is only completed by users with this permission (see requirement 12.1.26).  System to present a list of geographical maintained Schools plus Academies and Independent Schools (geographic and/or non-geographic) who have indicated a moderation agreement with the LA. Schools will have provided this data via the system earlier in the year (see requirements 12.1.58 – 12.1.63).  LA should then indicate from this list those moderated this year.  Data presented to LA should include:   * School name * DfE (Department for Education) number * School Type for example, academy or Independent School   Additional mechanism will be required (to be agreed during Set-Up) to allow LA to record additional Schools who have an agreement to be moderated in place but are not available to select via the Online System(s). This would be required in instances where the data pulled from requirements 12.1.58-12.1.63 is incomplete and the LA identifies additional/missing Schools. The LA will need to be given the opportunity to add to the preset list of presented Schools.  Expectation is that by year 4 the report generated as per requirement 12.1.74 will drive which Schools are selected for moderation. |
| 12.1.71 | The Online System(s) must provide a mechanism for LA users with Moderation Manager access to submit moderation summary data on pre-judgement and post-judgement scores for English writing. Summary data must be provided for each of the 3 teacher assessment standards – Working Towards the expected Standard (WTS), Working at the Expected Standard (EXS) and working at Greater Depth Standards (GDS).  For each of the standards summary data must include:   * how many judgements were agreed with. * how many were upgraded (except for GDS) * how many downgraded. | Schools makes their KS2 English Writing Teacher Assessment judgements using the [TA framework](https://www.gov.uk/government/publications/teacher-assessment-frameworks-at-the-end-of-key-stage-2).  Pre-judgment is the judgment made by the School before the LA moderator reviews and either agrees or changes this judgment.  The standards include:   * WTS (Working Towards the expected Standard) * EXS (working at the Expected Standard) * GDS (working at Greater Depth Standard) \* upgraded option will not be available on this standard as this is the highest standard   The summary moderation data is an overall total of all judgements in all Schools that have been moderated within that LA (as highlighted in previous requirement).  An example of this is documented within the process flow ‘Teacher Assessment – Moderated Schools Activity Flowchart’.  Example file formats, to be agreed during Set-Up, can be found in the Data Catalogue. |
| 12.1.72 | The Online System(s) must validate moderation summary data fields (requirement 12.1.71) and provide warning messages and prevent submission where errors occur. | Validation will be required within the data fields to ensure the number of pre and post moderation judgements match (see requirement 7.1.2).  For example, if the pre-judgement total for a standard is 5 and the LA has input the below:   * School total pre-moderation judgements for WTS: 5 * Post moderation judgements: 4 made up of- Agreed – 2, Upgraded – 1, Downgraded – 1   The Online System(s) should produce a warning message to say that submission is not allowed as the School has indicated 5 pre-moderation judgements but provided 4 post-moderation judgements, the data does not match, and the Moderation Manager should review and amend the data provided to allow submission. |
| 12.1.73 | The Supplier must ensure the Online System(s) can identify and provide data on LA Moderation Managers that have not completed their Moderation summary data activity in advance of and by the required deadline (linked to requirement 12.1.4). | This information provides data the informs the Helpline Outbound Chase Activity Plan (see helpline sub-requirement 10.1.23). |
| 12.1.74 | The Online System(s) must ensure STA and LA users with Moderation Manager role-based access can view and download a report providing data on all Schools that are due for their 4-year statutory moderation. This must include geographic Schools and Schools outside of that geographic area that have selected that LA to moderate them in that year (Academies and Independent Schools). | The statutory requirement set out by the Secretary of State (SoS) requires each School to be moderated once every 4 years, or sooner if a substantive change in structure or leadership takes place. This report is designed to support LA’s when choosing which Schools they should select for moderation each year, the report should include:   * The last date the School was moderated based on historic recorded moderated data – this will take time to build up over the contract – this data will be sourced from requirement 12.1.70. * The last date all Schools were moderated and a flag to identify where moderation is expected in that year.   A suggested report template, to be agreed in Set-Up, is provided in the Data Catalogue. For LAs this report will only contain details of LA’s geographic Schools and Schools they have an agreement with for that year. Therefore, this report should be available to LAs after completion of activities in requirements 12.1.58-12.1.63.  In year one the report will only contain a list of Schools that have chosen the LA to carry out their moderation. This information will be populated from the moderation agreement activity which takes place during Oct-January in that year as detailed within requirements 12.1.58-12.1.63.  For STA the report will contain all LAs and Schools. |
| **Results and Marking Reviews** | | |
| 12.1.75 | The Online System(s) must enable every KS2 School to access KS2 Assessment Outcome data for all Pupils in their School only. Schools must also be able to view and download Test Script Images with Item level data for their Pupils on the date specified by STA in the Operational Delivery Plan. This must include bulk download of multiple Pupil Test Script Images. | Currently Schools use the same System to access:   * Marked Test Scripts: images of Test Scripts that have been Marked onscreen with Item level data available in PDF format. * RoR: results from the KS2 Tests are made available online. |
| 12.1.76 | The Online System(s) must enable all KS2 Schools to download an assessment outline data file with the option to download:   * all Pupil results for all subjects; * all Pupil results by individual subject, and; * a combined data file containing all KS2 Test and Teacher Assessment Outcomes.   The Assessment Outcome data file must only contain the results of Pupils relative to their School. | The results download file is currently available in .XML (Common Transfer File) to enable Schools to import into their MIS and a .CSV format. The options Schools must choose when downloading results are:   * All results * Individual subject results * Combined results and Teacher Assessment file |
| 12.1.77 | The Online System(s) must allow Schools to view and print a results summary letter, containing a summary of individual Pupil results, content must be Approved by STA. | The results summary letter is used to provide Schools with a printable summary of KS2 results and signed by the STA CEO. |
| 12.1.78 | The Online System(s) must enable KS3 Schools to read and confirm a Data Terms and Conditions statement and then securely download KS2 Test and Teacher Assessment Outcomes for Pupils in their new KS3 Pupil intake. | Results from the KS2 National Curriculum Assessments are made available to KS3 Schools for Pupils in their Year 7 Pupil intake.  KS3 Schools currently input their Year 7 UPNs into the System to obtain and download Assessment Outcomes in .CSV format. |
| 12.1.79 | The Online System(s) must enable LAs and MATs to view and download KS2 Test outcomes and Teacher Assessments for Pupils in their associated Schools and Academies. | LAs and MATs can only see Test and Teacher Assessment Outcomes for their Pupils, this excludes Test Script Images. These are available for download in .CSV and pipe delimited format.  The files will vary depending on when the LAs/MATs choose to download. If this is before RoR the file will only include Teacher Assessment data, and after RoR there will be a combined Test Results and Teacher Assessment file. |
| 12.1.80 | The Online System(s) must ensure that Schools can request Review Marking & Clerical Reviews and view their outcomes on the dates specified by STA in the Operational Delivery Plan (See Marking and Review Marking sub-requirement 8.2.12). | Schools have 10 calendar days after the RoR to apply for Review Marking. Review Outcomes are returned to Schools on the first Friday of the Autumn Term.  There are two types of Marking Reviews:   * Clerical Review – Schools can apply to correct Clerical Errors such as an incorrect addition of the marks awarded, a Test Script matched to the wrong Pupil, or an error made when recording a code on the School Attendance Register. * Review Marking – Schools can apply for a Review Marking for as many Pupils as they wish if they consider there is a discrepancy between how the questions have been Marked and the published Mark Scheme.   Late Marking Reviews will be accepted in exceptional circumstances – the Online System(s) must allow for late additions.  Historical data on the number of Review Marking applications received can be found in ‘Annex A: KS2 review outcomes’ of the ’2019 Attainment in Primary Schools in England, Quality and Methodology Information’ document: [DfE external document template (publishing.service.gov.uk)](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/862743/KS2_Revised_publication_Q_M_2019_.pdf)  Further information about business rules for Marking Review and Clerical Review Marking will be detailed in data room product ‘Business Rules Marking Review and Clerical Review Marking’. |
| 12.1.81 | The Online System(s) must provide a mechanism for the Supplier to invoice Schools for Marking and Clerical Review charges. |  |
| 12.1.82 | The Online System(s) must ensure that KS2 Test outcomes are updated to reflect the outcomes of Review Marking, Clerical Reviews and any other late changes by the date specified by STA in the Operational Delivery Plan. | Other late changes may include Missing/late Marked Test Scripts – in these exceptional circumstances results data must not be made available on the Online System(s) until agreed with STA. |

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| **Standardisation Exercises** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 12.2 | The Online System(s) must provide the capability for Moderators to complete annual Standardisation Exercises, access Commentaries, automate RoR, and provide certification to successful Moderators (dates to be Agreed with STA during Set-Up). | Standardisation Exercises are used to gain STA Approval to moderate and are undertaken annually. The current process is managed by STA providing downloadable materials (exercises and Commentaries) via the current Online System. LA moderation managers are responsible for scoring exercises, informing STA of successful Moderators, and manually providing email certification.  As part of Continuous Improvement, the end-to-end process should be included and automated in future Online System(s).  STA will provide the exercise content, there will be 3 exercises and Moderators responses will be multiple choice which will allow results to be easily automated. Commentaries support the results and there are 3 result outcomes:   * Successful – approved to moderate * Unsuccessful – can complete further exercise * Unsuccessful – no further attempts allowed   Moderators can only have a maximum total of 2 attempts out of 3 exercises.  Further information can be found in the data room:   * Detailed within the ‘Process Flow Supporting Document’ under the header section ‘Expected Volumes and Restrictions’.   Availability of exercises, release of results, supporting Commentaries and provision of certification must be in-line with key dates Agreed with STA. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 12.2.1 | The Supplier must ensure that all Moderators are registered Users within the Online System(s). Only registered Moderators within the Online System must be able to access and complete Standardisation Exercises. | Depending on the Supplier solution this may be incorporated within the role-based access controls for the ‘Local Authority’ Organisation (see Online System(s) sub-requirement 12.1.26.).  Approx. volume of Users can be found in the data room:   * Detailed within data room document – ‘Process Flow Supporting Document’ under the header section ‘Expected Volumes and Restrictions’. |
| 12.2.2 | The Online System(s) must allow Moderators to be assigned role-based access, this should include account management access for ‘Moderation Managers’ to create and manage their ‘pool moderators’ accounts. | There will need to be two types of Moderator Users:   * Moderation managers – responsible for managing their accounts and creating accounts for their moderators participating in the annual Standardisation Exercises. * Pool moderators – only able to have access if set up by their moderation manager.   STA will provide a list of Moderation Managers who should be given ‘account management’ access for Set-Up, these will then be maintained by moderation managers, who will be expected to keep their records up to date. |
| 12.2.3 | The Online System(s) for Moderators must also not support simultaneous logins by a single Moderator at any one-time (12.1.25), allow password re-sets (12.1.33) audit User interactions (12.1.34). |  |
| 12.2.4 | The Supplier must ensure all Moderators provide name, role, email address, LA, and a contact telephone number when registering as a User. | If linked to LA Organisation type the LA will be determined by organisation they are registered as a User. |
| 12.2.5 | The Online System(s) must send an automated reminders to registered Moderator Users when the following are available:   * Add annual updates * Standardisation Exercises * Commentaries / RoR and certification |  |
| 12.2.6 | The Online System(s) must ensure Standardisation activities align with the Operational Delivery Plan Approved by STA, including page specific availability controls based on time and date.  STA will require a report detailing overall pass rates, pass rates of individual questions, the position of the person taking the exercise and which attempt. | All Standardisation activities have go-live dates and deadlines, these are agreed with STA at the start of each Test Cycle and held in the Operational Delivery Plan. Moderators have two weeks to complete Standardisation Exercises.  Page specific availability controls ensure specific pages within the Online System(s) only stay available during specified times, in line with key dates. |
| 12.2.7 | The Online System(s) must ensure each Standardisation Exercise has specific User access controls that only allows moderators to have a maximum of 2 attempts out of 3 exercises. |  |
| 12.2.8 | The Online System(s) must allow Standardisation Exercises to be delivered in a range of formats. | STA will provide three Standardisation Exercises and Commentaries in video format, PDF or document uploads like JPEG detailed within the data room document ‘Process Flow Supporting Document’, under the header section ‘Expected Volumes and Restrictions’. |
| 12.2.9 | The Online System(s) must ensure the User journey for each Standardisation Exercise is interactive has a clear structure, is easy to follow and ensures the Moderator views all sections before moving through the exercise. | Each Standardisation Exercise contains the following:   * Display an initial video recorded by the teacher * Display the Pupil Test Script * Allow the participant the ability to answer the ‘find out more question’ set * This extra information branches off to either extra videos of the teacher answering the question and/or extra Pupil Test Scripts * Once reviewed, the System presents participant with the teacher’s judgment and asks the participant to record their judgement   Further information can be found inthe data room product ‘Standardisation Exercise Flow’. |
| 12.2.10 | The Supplier must provide Moderators with email notifications when Standardisation Exercises have been completed. |  |
| 12.2.11 | The Online System(s) must automatically Mark and release results with certificates to successful Moderators once each Standardisation Exercise is complete. | Returning results will include:   * sending a notification and certificate to Moderators who pass a Standardisation Exercise; * notifying Moderators who failed on their first attempt that they can have a second attempt, and; * notifying Moderators who have failed both attempts that there are no further attempts left.   For further information see the ‘Process Flow Supporting’ document and ‘Stakeholder Standardisation Process’ document within the data room. |
| 12.2.12 | The Online System(s) must include functionality to allow Moderators to download save and print certificates. |  |
| 12.2.13 | The Online System(s) must allow Moderation Managers and STA to access a report of successful Moderators for their LA after each exercise. STA must have an overall report of successful moderators. | See Data sub-requirements 7.1.36 and 7.1.37. |
| 12.2.14 | The Supplier must gather feedback from Moderators on the quality of training materials (see Online System(s) requirement 12.1.66) and Standardisation Exercises. The Supplier must produce a report(s) on the findings and recommendations for change raised by the end User, which must be shared with STA for review and agreement. | This feedback will allow Moderators to detail their satisfaction with key elements of the solution and provide opportunity for them to make suggestions for improvement. STA will use this feedback to work with their external supplier responsible for creation of the training materials to make improvements to future materials.    See Data sub-requirements 7.1.36 and 7.1.37. |
| 12.2.15 | The Supplier must create a training guide on how to use the Online System(s) for Standardisation Exercises including how to access and set up Moderator accounts. | The training guide must include how to:   * access on the Online System(s); * manage accounts (account managers only); * access and navigate Standardisation Exercises; * receive results and Commentaries; * view approval to moderate certificate, and; * know what happens if Moderators pass (received certificate) or fail (have one more attempt). |

## Requirement 13: Onscreen Marking System

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| **ID** | **Main Requirement** | **Supporting Information** |
| 13.1 | The Supplier must annually provide an Onscreen Marking System to deliver Item level marking, to ensure that all KS2 Test Scripts received from Schools (including Test Scripts with additional pages) which meet the criteria are marked onscreen, to capture mark data for each Item in accordance with the Mark Scheme. Marking must adhere to the Marking Quality Regime and Marking Quality Matrix.  All dates for requirements and sub requirements are to be agreed in the Operational Delivery Plan. | By Exception, there may be a small number of Test Scripts which cannot be scanned (for example, braille) and therefore cannot be marked onscreen. The Supplier will need to include the facility for these Test Scripts to be marked on paper, their marks be captured, and allocated to the correct Pupil.  Hard copy KS2 Test Papers are currently used. These are completed by Pupils and the Test Scripts are then collected from Schools and scanned to make Test Script Images available for Marking. Item Level Marks are recorded against each Item for the correct Pupil Record. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 13.1.1 | The Supplier must produce annually for STA Approval an Onscreen Marking System Configuration Document which details the System configuration required for the different stages of Marking activity required, for all Marking Phases. | Functionality is required for User Acceptance Testing, live Practice and Qualification, onscreen Marking, Re-Qualification, and Review Marking etc. Various iterations may be sent for the different stages of System Set-Up. |
| 13.1.2 | The Supplier must be able to mark onscreen all received KS2 Test Scripts which meet the criteria for onscreen Marking, by the dates specified by STA including Test Scripts which are received late (up to a date to be agreed with STA and defined in the Marking Operations Plan) and those that were thought to be Lost/Missing and then were found. |  |
| 13.1.3 | The Supplier must 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. |  |
| 13.1.4 | The Supplier must provide a single point of access solution for Markers, for the Onscreen Marking System and any other Online System(s) that Markers are required to use, ensuring multi factored log in validation to ensure security. | The security of Systems where Markers access secure and confidential materials needs to be robust to mitigate unauthorised access. |
| 13.1.5 | The Onscreen Marking System must only allow Markers to mark from any location within the UK. Markers are not to mark from outside the UK. |  |
| 13.1.6 | The Onscreen Marking System must be configurable for each Test Cycle to allow for changes in variable characteristics as agreed with STA. The Onscreen Marking System should not place any limits on any of these variables, including but not limited to:   * Test or Mark Scheme structure / format * Marking Quality Parameters, procedures, and thresholds * Marking Hierarchy, structure, and the number of Markers * Marking Allocations and the number of Test Scripts to be marked * Agreed volumes of Test Script Images and mark data   The Onscreen Marking System therefore needs to be adaptable (at no extra cost) to deliver the quality approaches required by STA. | By variable characteristics the Authority mean anything which can change year on year for example, number of questions, quality tolerances. |
| 13.1.7 | The Onscreen Marking System must automate (not require manual intervention) all Marking Quality Parameters and thresholds for On-going Marker Quality Assurance Items during a Marker’s Allocation e.g., rate of Check Marking, rate of Seed Items, temporarily stopping Markers and completely stopping Markers once thresholds have been reached, as per the Marking Quality Regime, for each Test Cycle. | Markers will be stopped from Marking either temporarily or permanently, on an individual Item, group of Items or completely from their entire Marking Allocation when they reach agreed Quality Thresholds. |
| 13.1.8 | The Onscreen Marking System must not allow the Marker to input a mark which exceeds the maximum marks available for an Item. It must allow markers to enter a mark of No Response (NR) where a Pupil has not engaged with an item in the Test Script. |  |
| 13.1.9 | The Onscreen Marking System must:   * capture Item Level Marks for all Pupil Test Scripts regardless of whether marked onscreen or manually on paper; * include tools required by Markers when Marking Pupil Test Scripts e.g., measuring tool, overlays, zoom function. |  |
| 13.1.10 | The Supplier must allow Markers to use the Onscreen Marking System to complete all Practice and Qualification Marking (Qual set 1, Qual set 2 and Qual set 3). Markers must receive feedback from their supervisor following each stage of Practice and Qualification for any Items they fail ahead of the progressing to the next stage. The Onscreen Marking System must automatically control Markers’ access through each quality assurance stage ensuring they can only mark Live Pupil Responses for the Items in which they have passed quality assurance as per the Marking Quality Regime and Marking Quality Matrix. | **For live marking:**  Markers can complete up to 2 Qualification attempts (Qual 1 and Qual 2).  **For review marking:**  Markers only have 1 Qualification attempt (Qual 3) |
| 13.1.11 | The Onscreen Marking System must ensure that Quality Thresholds and parameters for Qualification Marking are automated and can be applied across a set number of Pupil responses. | For a small number of questions, Markers can successfully pass Qualification with an allowed error tolerance. This tolerance is across a set number of Qualification responses. For example: a Marker Marking 8 responses is allowed a total mark difference of 2 compared to the actual marks which should be awarded across all 8 responses. |
| 13.1.12 | The Onscreen Marking System must be able to present to Markers onscreen immediately after Marking each Practice and Qualification item, an associated commentary explaining a rationale for the true score for that response. This is to be available for User Acceptance Testing of Marker Training Materials. | The Commentaries are developed and are a product of the Marker Training Materials which are to be created and as is referenced in Requirement 4: Marker Recruitment and Training. |
| 13.1.13 | The Onscreen Marking System must be used to trial (User Acceptance Test) Mark Scheme Practice and Qualification Test Scripts, and Commentaries, with a minimum of 20 Markers per Test Paper to successfully achieve the objectives as defined in the Marker Training Plan and as per requirement 4.2.8. |  |
| 13.1.14 | The Supplier must ensure that Supervisory Markers can only access data for Markers in their supervision line within their Marking Hierarchy in the Onscreen Marking System. |  |
| 13.1.15 | The Onscreen Marking System must enable Markers to not only view a focused/zoned-in image of an Item Response on the page of a Test Script, but also to view the entire Test Script page, (e.g., outside the allocated question area) to ensure all Pupil responses are marked accurately. |  |
| 13.1.16 | The Onscreen Marking System must provide a capability to ensure that Markers can only access Items they have been allocated to mark in relation to their Subject, Marking role/rank and Marking Allocation, for which they have successfully passed Qualification, and all required On-going Marker Quality Assurance checks (Quality Point). Markers can be given access to view Items they may not be Marking only in order to achieve requirement 13.1.15. |  |
| 13.1.17 | The Supplier must ensure that Markers mark all the Items they are allocated for Marking within approved Marking Quality Parameters in line with the Marking Quality Regime. |  |
| 13.1.18 | The Onscreen Marking System must prioritise the distribution of unmarked Items to Markers, where marks from a Valid Marker already exist for other Items on a Pupils Test Script to expedite fully marked Pupil Test Scripts and data. |  |
| 13.1.19 | The Onscreen Marking System must allow and must not limit the distribution and re-distribution of Items to Markers in line with the Marking Quality Regime and Marking Operations Plan. |  |
| 13.1.20 | The Onscreen Marking System must have the ability to allocate Seeds (selected from the current years Live Pupil Responses) randomly in all Markers' Allocations (to an agreed ratio) and automatically stop (temporarily or permanently) Markers if they fail a Seed during Live Marking, in adherence to the Marking Quality Regime and Marking Quality Matrix. | Seeds are a formal Quality Point. |
| 13.1.21 | The Onscreen Marking System must have the ability to ensure all Supervisors are not presented with Seeds that they have discussed and provided feedback on, with their team of Markers. | This is to ensure the validity of the supervisor’s quality assurance. |
| 13.1.22 | The Onscreen Marking System must provide a capability for all levels of Supervisory Markers to check the Item Level Marking of Markers within their supervisory chain.  Supervisory Markers must be able to remark Items where they disagree with the marks awarded. Where a supervisor changes a mark, the Marker should be automatically stopped (temporarily or permanently), in adherence to the Marking Quality Regime and Marking Quality Matrix. | Currently referred to as Check Marking which is a formal Quality Point. |
| 13.1.23 | The Onscreen Marking System must allow Item Responses to be marked by multiple Markers, with adjudication between sets of marks by a Supervisory Marker, when discrepancies arise as per the Supplier’s solution. | This requirement is wider functionality that may be needed to support other Marking activities or processes and is to ensure that Items can be Marked more than once as required and as per the Supplier’s solution.  E.g.:   * Where a Marker is Stopped and their Marking needs to be remarked. * If co-marking of Seed Items is done within the OMS (this is not a requirement) * Where marks are entered in the OMS for a Test Script which is then pulled and needs to be remarked on paper because an associated transcribed Test Script is identified. |
| 13.1.24 | The Supplier must ensure that in the Onscreen Marking System that an agreed amount of Marking (with configurable Roll Back logic) from Markers who fail to pass the Marker 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. | When a Marker reaches a Quality Threshold and is permanently stopped from Marking an individual Item, group of Items or completely from their entire Marking Allocation, an agreed amount of their Marking (agreed in the Marking Quality Regime) has the marks annulled and the Test Items are allocated to be marked by other Valid Markers. This is referred to as Roll Back. The amount of Marking required to be Rolled Back will be agreed by STA and may differ depending on when the threshold is reached.  Configurable Roll Back logic means the Onscreen Marking System must be able to Roll Back variable amounts of Marking as agreed in Marking Quality Regime. |
| 13.1.25 | The Onscreen Marking System must provide the capability to manually stop/withdraw a Marker from continuing to mark. |  |
| 13.1.26 | The Onscreen Marking System must include functionality for the Supplier and Supervisory Markers to send messages to Markers (as individuals or to specified groups), including making required messages mandatory for Markers to read and halting Marking to an individual Item or group of Items until Markers have read and acknowledged the message. It must also include the facility for Markers to respond to messages and raise questions with their direct supervisor(s). All messages are required to be saved for audit and GDPR purposes. |  |
| 13.1.27 | The Onscreen Marking System must provide a feature which enables Markers to report Pupil responses or whole Test Scripts where Maladministration and/or Pupil safeguarding is suspected. This information is to be shared with STA. | The Maladministration team requires UPN, DfE, Subject, Test Paper when the Marker escalates/reports these. |
| 13.1.28 | The Onscreen Marking System must ensure that Markers can report missing pages/questions when Marking Test Scripts. The Supplier must agree a process in the Marking Operations Plan to apply Compensatory Marks where there are missing pages/questions, and the School is not responsible e.g., lost, or damaged in collation or scanning. |  |
| 13.1.29 | The Onscreen Marking System must also be used for Review Marking. |  |
| 13.1.30 | The Supplier must ensure Onscreen Reviewed KS2 Test Script Images are updated with Review Item Level Marks and returned to Schools electronically, to allow Schools to view and download Pupils Reviewed Test Scripts on, and after, Key Milestone 9. | Onscreen Review Marking is currently completed remotely by Review Markers. Test Scripts originally Manually Marked on paper are collected and delivered to a Manual Marking venue to be Review Marked. |
| 13.1.31 | The Supplier must ensure that as part of a Review Marking application, all Items within all Test Scripts for the requested Subject, are Review Marked in the same manner that it was originally marked (either onscreen or on paper) unless there is a valid Exception as to why this is not possible (e.g., an Item which is not clear onscreen which needs to be Reviewed on paper). |  |
| 13.1.32 | The Onscreen Marking System must capture Item Level Review Marks alongside original mark data, identifying for audit purposes original and Review Markers. |  |
| 13.1.33 | The Supplier must provide Schools the opportunity to submit a Marking Review Complaint for any Items they still believe have not been marked in adherence with the Mark Scheme, within 10 calendar days of Review Outcomes. Schools who have received results after the official date for Review Outcomes (e.g., due to initial suppression during a Maladministration investigation) also have a 10-calendar day Review period from the dates results are released. The Onscreen Marking System must be available for Pupil responses and associated marks to be re-Reviewed and changed if required. | Marking Review Complaints are to be Reviewed by the highest member of the Marking Hierarchy for the given subject to check the application of the Mark Scheme during original and Review Marking Phases. Marks should be either corrected or a justification given for the marks awarded. Review complaint outcomes are final. |
| 13.1.34 | The Supplier must maintain along with a full audit trail of Pupil’s Test Scripts sent for Marking, Item Level Marking in the event that a School should request procedural information about their Marking Reviews. | A full audit trail is required to record the sequence of events for each given Test Script, including marks awarded for each Item, Marker ID for marks awarded at different stages of Marking, e.g., original mark, Review mark etc. |
| 13.1.35 | The Onscreen Marking System must capture Item Level Marking and quality assurance data for all Markers for all Marking Phases including Practice, Qualification and On-going Marker Quality Assurance, which is to be supplied to STA at agreed specified points. | STA is required to share quality assurance data at Item and Marker level to Ofqual, for their Assessment of KS2 Marking Quality. This is known as the End of Series Marker Quality Files.  Actual vs forecast Marker Allocation Document may also be provided to Ofqual. |
| 13.1.36 | **This requirement has been removed.** |  |

## Requirement 14: Communications and Guidance

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| **ID** | **Main Requirement** | **Supporting Information** |
| 14.1 | The Supplier must develop instructions, advice and guidance to Schools, LAs and Markers, as required by them, to inform and support their full and effective participation in successful Operational Delivery. | Guidance is provided to Schools, LAs and Markers at various points throughout the Test Cycle. This is to ensure that each School, LA, and Marker understands their responsibilities in relation to administering or Marking NCAs.  This includes providing information about upcoming deadlines, key dates, and news items as an alert on the web-based solution used by Schools or Markers to manage the administration or Marking of the NCAs.  The STA controls and updates any content relating to NCAs on [GOV.UK](https://www.gov.uk/government/organisations/standards-and-testing-agency). |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 14.1.1 | The Supplier must develop and deliver simple, comprehensive, high-quality, and effective instructions, advice, and guidance to Schools and LAs throughout Operational Delivery.  All communications to Schools and LAs should go through STA’s and the Supplier’s communication channels.  Requirements for communications to Markers are outlined in Requirement 4: Marker Recruitment and Training. | Communication channels may include, but not be limited to, emails, videos, social media content, media briefings and the Supplier-led websites or Services.  STA publishes all information, documents, and videos on [GOV.UK](https://www.gov.uk/government/organisations/standards-and-testing-agency) and/or via STA emails, including through regular assessment updates newsletters. |
| 14.1.2 | The Supplier must, in advance of each Test Cycle, develop and obtain STA’s Approval for an updated Communications Strategy and Communications Plan. They must support, and align with, STA’s Communications Strategy and Communications Plan. | The Communications Strategy makes it clear how the Supplier’s communications support Operational Delivery and deliver excellent value. It outlines the communications objectives, audience insights, roles of communications channels, an implementation plan and evaluation approach. It must be reviewed annually as a minimum but should be updated throughout the Test Cycle to reflect any new insights or agreements which affect upcoming plans.  The Communications Plan, informed by the Communications Strategy, provides details and schedules of all planned communications across the year. This becomes a live document, which should be reviewed in regular (usually weekly) KITs with the STA communications team, and alongside STA’s Communications Plan, to ensure alignment of messages and timings and to achieve the most effective reach and frequency with the audiences. |
| 14.1.3 | The Supplier must ensure all communications products, plans and evaluation are in line with the Government Communications Service (GCS) professional standards. | For information about GCS, including communications planning and evaluation frameworks and details of professional standards, visit <https://gcs.civilservice.gov.uk/> |
| 14.1.4 | The Supplier must work closely with the STA communications team to ensure all planned communications spend is Approved in line with the latest Government guidelines in relation to spending controls for communications. | All Government communications expenditure, including through suppliers, is subject to spending control approvals processes. The Supplier’s communications plans need to be submitted through this process, with the help of the STA communications team. Processes can vary from year to year, and depending on the planned activity – more information is available at: <https://gcs.civilservice.gov.uk/guidance/marketing/delivering-government-campaigns/professional-assurance/> |
| 14.1.5 | The Supplier must ensure all communications channels and products are in line with the latest Style Guide and templates, Government accessibility requirements and GDPR laws. | STA use the following Style Guide:   * The Government Digital Service Style Guide is a glossary available at: <https://www.gov.uk/guidance/style-guide> * The DfE Style Guide provides a framework for communicating in DfE ‘house style’ in various channels and scenarios – this is not available publicly but will be provided. * The STA Style Guide provides clarity for STA-specific terms and rules which are not already covered by the other two Style Guides – this is not available publicly but will be provided. * STA also has separate guidelines which are specific for the Test Paper designs.   Templates for accessible publications, GOV.UK content and STA email contributions will be provided.  Accessibility requirements are outlined at: <https://www.gov.uk/guidance/accessibility-requirements-for-public-sector-websites-and-apps>  More information about GDPR is available at: <https://gdpr-info.eu>. For info, model privacy notices for School audiences are available at: <https://www.gov.uk/government/publications/data-protection-and-privacy-privacy-notices> |
| 14.1.6 | The Supplier must ensure that any content they provide in communications products or channels, including any Supplier websites or Systems, is checked, and Approved by the required teams in STA before publication. | Communications will be subject to Approval by STA in line with STA’s comms check and Sign-off processes.  The Supplier remains solely responsible for the accuracy of the content but should engage STA’s functional teams for any required fact checks. The comms check will focus on Style Guides, clarity, grammar, punctuation, spelling, formatting, tone, accessibility, usability, audience need etc. |
| 14.1.7 | The Supplier must not communicate on any matter relating to any subject matter of this Agreement unless agreed within the Communications Strategy and Communications Plan, and with STA’s Approval.  The Supplier must immediately refer any media enquiries directly to STA communications for further handling and Approvals. | If in doubt, direct any queries to the STA Communications team.  All media enquiries must go through DfE’s central media team, with STA communications as the Supplier’s liaison. This includes proactive plans for media engagement as well as reactive communications in response to contact or approach from the media. |

## Requirement 15: Continuous Improvement and Contract Management

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| **Continuous Improvement** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 15.1 | The Supplier must 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 assessment of a Pupil’s level of development and attainment. | As the Agreement will run for four Test Cycles, with the possibility of a further two Test Cycle extensions (4+1+1), it is particularly important that the Service is continuously optimised and enhanced in terms of both improved efficiency and effectiveness and to reflect appropriate best practice in the field of testing and assessment of a Pupil’s level of development and attainment.  STA will expect year on year Service improvements in terms of improved efficiency and effectiveness for STA and the end Users. Proposals for innovation throughout the lifetime of the Agreement will be welcome, where benefits will provide a return on investment during the delivery of the Services under the Agreement.  STA’s approach is to differentiate between improvements that arise from the day-to-day identification and implementation of lessons learned (Continuous Improvements), and proposals for innovation that have a material impact on the method of Operational Delivery. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 15.1.1 | The Supplier’s obligations in relation to Continuous Improvements (CI) are set out in Clause 8 (Services Improvement) of the Agreement and the Supplier shall comply with the same from the Effective Date. Proposals for CI must be of benefit to STA and the end Users of the Service. |  |
| 15.1.2 | The Supplier must identify opportunities and describe measures they will put in place to achieve the Service level target set for CO2 emissions. |  |
| 15.1.3 | The Supplier must identify opportunities and describe measures they will put in place to achieve the User experience Service level and to increase User satisfaction during the Term of the Agreement. |  |
| 15.1.4 | The Supplier must identify opportunities and describe measures they will put in place to achieve the Marking quality Service level and improve Marking quality during the Term of the Agreement. |  |
| 15.1.5 | The Supplier must provide for STA’s Approval a CI Framework and Strategy to outline their approach to CI across the Term of the Agreement. This shall include but not be limited to a process for identifying CI, categorising CI (high, medium low), a prioritisation matrix and governance arrangements. |  |
| 15.1.6 | The Supplier must provide a Benefits Realisation Strategy and Plan for STA’s Approval on an annual basis, which follows standard Project Portfolio Management (PPM) methodology and tracks all benefits (including financial and non-financial benefits), providing a benefits profile for each identified benefit. | The Benefits Realisation Strategy and Plan should consist of:   * Measures that have been identified and agreed through change control for use as a baseline. * Classification of benefits and/or measures. * Expected trajectories for each of the benefit measures (which are tangible). * Responsibilities for benefit delivery (benefit owners) and for tracking (measure monitors). |

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| **Contract Management** | | |
| **ID** | **Main Requirement** | **Supporting Information** |
| 15.2 | The Supplier must put in place appropriate processes and controls to track and monitor their solution against the Agreement. | This Agreement includes various requirements in relation to documents that need to be Approved by STA and therefore must go through the STA Approval Process, in addition to certain activities that must be completed at specific points during the Term of the Agreement. Therefore, STA requires the Supplier to have adequate processes in place to track these activities to ensure they are meeting their obligations and can provide assurance to STA of them doing so. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 15.2.1 | The Supplier must 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. |  |
| 15.2.2 | The Supplier must provide a Recruitment and Retention Strategy and must maintain this annually, including strategies to minimise staff turnover. The Supplier must keep STA informed of the Supplier Personnel changes. |  |
| 15.2.3 | The Supplier must provide a Resource Model annually, including but not limited to an organisation chart, which contains the following details:   * Named staff * Full time equivalent * Percentage of time spent on this Agreement * Details of Key Personnel. Key Personnel should include staff who are responsible for the day-to-day management of the different elements of the Service.   This model must show that there are adequate resources to deliver the Service, including the processes detailed in the business process library and must show how the overlap of Test Cycles will be resourced.  Where there has been a change to the Resource Model, the Supplier must provide an updated version to STA for review and must ensure effective knowledge transfer. STA may request reporting on such knowledge transfer from time to time. | The Resource Model must show how all areas of the Service are going to be resourced throughout the Test Cycle, including but not limited to all business processes and Helpline. Where posts are vacant, a planned deadline for recruitment to the post must be provided. |
| 15.2.4 | The Supplier must track and report on the progress of Approvals and timebound clauses set out in this Agreement. |  |
| 15.2.5 | The Supplier must put in place a process for distinguishing between contract changes and operational changes and develop a process to impact assess and implement both operational and contractual change requests submitted by STA or the Supplier. |  |
| 15.2.6 | The Supplier must have obtained STA’s 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 sub-contractors or other delivery partners. | The Exit Management Plan and Exit Information Document must cover exit in a termination scenario and exit at the end of the Agreement. |

## Requirement 16: Management Information

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| **ID** | **Main Requirement** | **Supporting Information** |
| 16.1 | The Supplier must create the MI that they require to manage and assure the end-to-end Service. The MI is critical to inform evidence-based decisions at pace and is adaptable to deal with any Exceptions to operational processes  The Supplier must also provide MI to STA (Minimum core reports defined in sections 16.2 to 16.12), to provide assurance that the Supplier is monitoring delivery, to support reporting at appropriate governance forums, and to enable STA to use the MI for upward reporting. | MI is crucial to enabling the successful delivery of the end-to-end Service, as well as indicating where intervention or additional action is required.  The NCA programme is a high-profile operation, with interest from Ministers, teachers, parents and the wider public. Regular, robust, and accurate reporting is essential throughout the entire Agreement to monitor delivery, manage risks and issues, and to fulfil governance reporting requirements to build and give confidence that the Test delivery cycle will be completed on time to the required level of quality. |
| **ID** | **Sub-Requirements** | **Supporting Information** |
| 16.1.1 | The Supplier must develop and obtain STA’s Approval for a suite of MI to be used to monitor and report on the progress of Operational Delivery, subject to the completion and Approval of the annual update of the MI approach (Set-Up and Mobilisation sub-requirement 1.1.168 and MI Test completion reports (Set-Up and Mobilisation sub-requirement 1.1.170). | In a typical reporting cycle, STA would expect from the Supplier, the delivery of weekly reports and MI reviewed at operationally focused meetings covering all elements of the Service, reflecting both the previous week and 4 weeks ahead. The frequency of reporting increases to daily (peak delivery) from the date Test Papers are sent to Schools until the date results are issued to Schools (a period of approximately 3 months).  Sections 16.2 to 16.12 below contain the Minimum Core Reports required to monitor and report progress of Operational Delivery. The list is not exhaustive, and the Supplier may propose additional reports and/or alternative reports to deliver similar outcomes.  For dynamic MI that is made available to STA to view in real-time, the Supplier will work with STA to agree the frequency of which static cuts of the MI need to be taken; this will support reporting at a moment in time at governance meetings and ensure there is a historical record of Test operations activities for future reference. |
| 16.1.2 | The Supplier must have robust management controls and MI to:   * provide a comprehensive view of actual progress against the Operational Delivery Plan with supporting evidence as necessary, and; * ensure potential problems are identified as early as possible so that corrective actions can be taken to keep Operational Delivery on track. | See sections 16.2 to 16.12 for the minimum set of core reports required. |
| 16.1.3 | In the event of any slippage against the Operational Delivery Plan, the Supplier must obtain STA’s Approval for a plan of comprehensive corrective actions, mitigations, and specific timescales to restore progress back to plan. |  |
| 16.1.4 | The Supplier must provide the agreed MI at the time and dates specified by STA and ensure this is reflected within the Operational Delivery Plan. | See sections 16.2 to 16.12 for the minimum set of core reports required. |
| 16.1.5 | The Supplier must provide a reporting solution which allows STA to construct bespoke MI reports to view trends over time. | An example of a reporting solution is Power BI. |
| 16.1.6 | The Supplier must report against all KPIs, Performance Indicators (PIs), SLAs and Key Milestones, monthly, and determine where these will be governed for STA’s Agreement. |  |
| 16.1.7 | The Supplier shall provide any additional MI that STA may require from time to time. |  |
| 16.1.8 | The Supplier shall work collaboratively with STA to define how MI shall be presented and agree the level of detail to be provide for each. |  |

**Minimum Core Reports**

Sections 16.2 to 16.12 below contain the minimum reports required to monitor and report progress of Operational Delivery.

**Print Materials**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.2.1 | Attendance Register and Label Print | Confirms the data records received, printed, and despatched for the Attendance Register and logistics label production. | Once | 09/04 to 09/04 | This information will be provided by the Supplier outbound printing business. |
| 16.2.2 | Paper Usage and Residual Stock | Tracks and reports to STA the total usage of paper across the printing products. This is also tracked against forecast. | Once | 30/07 to 30/07 | The Supplier provides this information, which will inform lessons learned and is a source of information where Freedom of Information (FOI) requests are received on paper usage (a common theme). This MI will also support evidencing of the environmental impact benefit. |
| 16.2.3 | KS1, KS2 and Phonics Print and Collation Progress | Tracks and reports to STA the printing and collation of KS1, KS2 and Phonics material. | Weekly | 20/01 to End of KS2 Test Week | For assurance of progress against plan. These dates are solution specific and are to be agreed in accordance with the Supplier’s approach, |
| 16.2.4 | Phonics Print and Collation Progress | Tracks and reports to STA the printing and collation of phonics material. | Daily | 04/02 to 21/05 | For assurance of progress against plan. |
| 16.2.5 | Test Material Stock | Tracks and reports to STA the total Test material stock balance held at the Supplier with details of waste and defective stock that has been destroyed. | Once | 30/07 to 30/07 | To inform future stock planning. |

**Logistics Process**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.3.1 | KS2 Delivery | The performance of delivery of material to Schools daily as a comparison to the delivery forecast by date for KS2. This daily MI provides the delivery status and, where deliveries have failed, the reason for that failure. | Daily | 19/04 to 08/09 |  |
| 16.3.2 | Phonics Delivery | The performance of delivery of material to Schools daily as a comparison to the delivery forecast by date for phonics. This daily MI provides the delivery status and, where deliveries have failed, the reason for that failure. | Daily | 19/04 to 08/09 |  |
| 16.3.3 | KS2 Reading Collection | Details of percentage of actual KS2 material collections (including from the British Forces Post Office) daily against the plan for Reading. The MI also includes reasons where a collection may have failed. | Daily | 19/04 to 08/09 | Collection of material is a dependency on scanning and Marking. |
| 16.3.4 | KS2 Grammar, Punctuation and Spelling (GPS) Collection | Details of percentage of actual KS2 material collections (including from the British Forces Post Office) daily against the plan for GPS. The MI also includes reasons where a collection may have failed. | Daily | 19/04 to 08/09 | Collection of material is a dependency on scanning and Marking. |
| 16.3.5 | KS2 Maths Collection | Details of percentage of actual KS2 material collections (including from the British Forces Post Office) daily against the plan for Maths. The MI also includes reasons where a collection may have failed. | Daily | 19/04 to 08/09 | Collection of material is a dependency on scanning and Marking. |
| 16.3.6 | KS2 Manually Marked Test Paper Return | Logistics information on the progress of return of Manually Marked KS2 Test Scripts to Schools versus forecast. If a return has failed the reason is logged. | Daily | 19/04 to 08/09 | This is the stage where Test Scripts have been Manually Marked (as they were unable to be scanned and Marked onscreen) and the physical Test Scripts need to be returned to Schools ahead of RoR. |
| 16.3.7 | KS2 Reviews Manually Marked Test Paper Return | Logistics information on the progress of return of Manually Marked KS2 Test Scripts that have had a Marking Review, to Schools versus forecast. If a return has failed the reason is logged. | Daily | 19/04 to 08/09 | This is the stage where Schools have applied for Test Scripts to be Review Marked. These Test Scripts have been Manually Marked (as they were unable to be scanned and marked onscreen) and the physical Test Scripts need to be returned to Schools. |
| 16.3.8 | Delivery Exceptions | Delivery exception MI including:   * quantities and reasons for all failed deliveries including, the School name and contact details. | Daily | 19/04 to 08/09 |  |

**Marker Recruitment**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.4.1 | Marker Recruitment Progress | Tracks and reports the progress of all Marker recruitment versus the number of Markers required (as described in the Marking Capacity Model provided by the Supplier). | Daily | 01/10 to 31/08 | Period defined by the recruitment times lines for the various Marking Phases, but reports expected to start on day 1 of recruitment activity. MI needs to clearly show the contracted roles at the Test subject, Test Paper, and Marking type level. |

**Marker Training**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.5.1 | Marker Training Progress | Tracks and reports the expected attendance of Markers at required training meetings versus actual attendance. MI needs to be delivered no later than 24 hours following the completion of the training session. | Daily | 01/10 to 31/07 | MI required for Markers attendance at Marker training development meetings and all subsequent Marker training events for all Marking Phases, including User Acceptance Testing (UAT). |
| 16.5.2 | Marker Attendance During Virtual Training Meetings | Tracks and reports the percentage of time all attending Markers have spent successfully logged into their training meeting. MI needs to be delivered no later than 24 hours following the completion of the training session. | Daily | 01/02 to 01/07 | This is to help identify any Markers who have technical issues during training, so the Authority know how much of a session a Marker may have missed. |
| 16.5.3 | Marker Engagement at Virtual Training Meetings | Tracks and reports how well Markers have engaged during their training meeting against parameters agreed with STA in the MI catalogue. MI needs to be delivered no later than 24 hours following the completion of the training session. | Daily | 01/02 to 01/06 | Monitoring Marker engagement during virtual training meetings is required to provide assurance that Markers have remained engaged throughout. This MI is dependent on the Marker training solution. STA will work with the Supplier to discuss if this MI is required. |
| 16.5.4 | Marker Familiarisation Progress Using the Onscreen Marking System | Tracks and reports the progress of the number of Markers required to complete familiarisation activities on the Onscreen Marking System (forms part of a Markers required training). | Daily | 01/03-30/05 | Period is dependent on the schedule for the Marker training meetings. |
| 16.5.5 | Practice and Qualification (Or Re-Qualification) Performance | Tracks and reports how all levels of Markers are progressing through their Practice and Qualification (or Re-Qualification for Review Marking) sets at Item level. The report should identify the number of Markers attempting Practice and Qualification, their progress, and final outcomes. The logic for these reports will vary depending on the Marker role attempting Practice and Qualification. | Hourly | 28/03-31/08 | This report is needed to monitor the number of Markers passing Qualification to be able to proceed to Live Marking. The report is required for Marker UAT meetings, Live Marking and Review Marking stages. This report helps understand the Marking Capacity available for Marking and tracks which Items are proving difficult to mark. UAT and Live Marking has Practice, Qualification set 1 and Qualification set 2. Review Marking has Qualification set 1. |

**Scanning**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.6.1 | Packages Received for Scanning Progress | Tracks and reports to STA the progress of packages received into the scanning centre. | Daily | 10/05 to 15/06 | This will be tracked against a forecast receipting schedule (derived from the Scanning Capacity Plan and the Logistics Supplier Collections Schedule). |
| 16.6.2 | Summary of Live Scanning Progress | Tracks and reports to STA the progress of live scanning at a summary level. | Daily | 10/05 to 15/06 | This will be a graphical daily cumulative view of scanned Test Papers vs scanned and indexed Test Papers vs Test Papers fully marked. |
| 16.6.3 | KS2 Maths Live Scanning Progress | As per the summary level report but for the Maths Test Scripts only. | Daily | 10/05 to 15/06 |  |
| 16.6.4 | KS2 Reading Live Scanning Progress | As per the summary level report but for the Reading Test Scripts only. | Daily | 10/05 to 15/06 |  |
| 16.6.5 | KS2 GPS Live Scanning Progress | As per the summary level report but for the GPS Test Scripts only. | Daily | 10/05 to 15/06 |  |
| 16.6.6 | Summary Of Unscannable Test Scripts Progress | Tracks and reports to STA the number of Test Scripts that have been passed to Manual Marking because they are unscannable.  The reason for the Test Script being unscannable will also be available as a data extract. | Daily | 10/05 to 15/06 | This will be tracked against the forecast of Unscannable Test Scripts.  This report is important as if the Authority breach the forecast of Unscannable Test Scripts it could place at risk the Manual Marking window. |
| 16.6.7 | Scanning Exceptions | Tracks and reports to STA the logging of scanning Exceptions by the Supplier that require intervention to resolve.  The reasons for the exception per date of submission is provided in the data along with a summary of all open Exceptions. | Daily | 10/05 to 15/06 | It should be assumed that Exceptions will prevent Live Marking from taking place, so effective management of Exceptions is vital. |
| 16.6.8 | Missing/Lost Test Scripts Cases | Shows each case where the Supplier has reported a Test Script as either suspected or confirmed Missing/Lost. | Daily | 10/05 to 09/07 |  |
| 16.6.9 | Missing/Lost Test Scripts Summary | Shows the total number of cases where the Supplier has reported a Missing or Lost Test Script.  Summaries will cover number of Schools, number of Pupils and by subject and the number of cases progressed through the process. | Daily | 10/05 to 09/07 |  |
| 16.6.10 | Damaged Test Scripts/Missing Pages Cases – The Supplier at Fault | Shows each case where the Supplier has reported damaged Test Scripts or Test Scripts with missing pages and the Supplier is at fault.  Shows the level of damage/defect within the Test Script and data resolution as either a pro rata score or judgement outcome. | Daily | 10/05 to 09/07 |  |
| 16.6.11 | Damaged Test Scripts/Missing Pages Summary – The Supplier at Fault | Shows the total number of cases where the Supplier has reported a damaged Test Script or Test Script with missing pages and the Supplier is at fault.  Summaries are provided covering number of Schools, number of Pupils and by subject, number of cases where impact has been above or below 50% of Test Paper questions. | Daily | 10/05 to 09/07 |  |
| 16.6.12 | Damaged Test Scripts/Missing Pages Cases – School at Fault | Shows each case where the Supplier has reported damaged Test Script or Test Script with missing pages and the School is at fault.  Shows the level of damage/defect within the Test Script. | Daily | 10/05 to 09/07 |  |
| 16.6.13 | Damaged Test Scripts/Missing Pages Summary - School at Fault | Shows the total number of cases where the Supplier has reported a damaged Test Script or Test Script with missing pages and the School is at fault.  Summaries are provided covering number of Schools, number of Pupils and by subject. | Daily | 10/05 to 09/07 |  |

**Marking and Review Marking**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.7.1 | Progress of Seed Selection for Live Onscreen Marking | Tracks and reports the progress against forecast, the number of Seeds required to be selected for onscreen Marking (including an adequate buffer for Seeds which may not be suitable to be commissioned and Seeds which are retired and therefore require replacement) and the number of Seeds commissioned into the Onscreen Marking System, to agreed deadlines. | Hourly | 17/05 to 15/06 | Seeds are classed as commissioned once they have been confirmed as appropriate Seed Items and have an agreed ‘true score/mark’ allocated.  Seed Items must be commissioned into the Onscreen Marking System before Live Marking can commence to manage Marking quality.  Seeds may be retired throughout onscreen Marking and replacements will need to be commissioned. |
| 16.7.2 | Performance of Seed Items and Seed Items Proposed for Retirement | Tracks and reports the number of Marker attempts on each Seed Item, for each Test Item, defining how many Markers have passed or failed the Seed. This is to include the number and percentage of passes and fails.  This report will then identify Seed Items which have met agreed parameters in the Quality Management Regime, which can be reviewed in line with the Seed selection and retirement plan. | Hourly | 17/05 to 15/06 | Provides an analysis of the performance of Seed Items highlighting Seeds which have met agreed parameters and demonstrate a level of Marker disagreement, flagging the Seed for a review. The Seed will either be retained as it is performing as expected or retired and replaced if it is ambiguous. |
| 16.7.3 | Fully Scanned Test Scripts vs. Fully Marked Test Scripts | Tracks and reports the progress against forecast, a graphical daily cumulative view for onscreen Marking at subject and Test Paper level. It also provides a comparison of the KS2 Test Scripts that have been scanned and are ready to mark versus the actual number of fully marked Test Scripts. | Daily | 17/05 to 15/06 | Report to start after the first day of scanning and Complete at the end of Marking. This report must be able to be filtered by subject and Test Paper. |
| 16.7.4 | Fully Scanned Test Scripts vs. Scanned, and Indexed Test Scripts vs. Fully Marked Test Scripts | Tracks and reports the progress against forecast, of live onscreen Marking by providing a graphical daily cumulative view of fully scanned Test Scripts vs scanned and indexed Test Scripts vs fully marked Test Scripts. | Hourly | 17/05 to 15/06 | It should also provide insights as to how long Test Scripts are taking to mark in full and can be filtered by subject and Test Paper to refine the graphs. |
| 16.7.5 | Onscreen Marking Progress | Tracks and reports for each subject and Test Paper, at Item level, how much Marking is to be marked, how much has been marked and is classed as safe (based on rollback rules), how much Marking is at risk (based on rollback rules) and how much Marking Capacity is available for that Item (Marking Capacity will fluctuate as Markers fail, withdraw, take on additional Marking Allocations).  This should be provided for:   * Live Marking * Review Marking | Hourly | 17/05 to 15/06 | This is required to monitor Marking progress, Marking which is classed is safe or at risk, and the Marking Capacity available at Item level (e.g., question level). Graphical representation e.g., bar chart is currently used.  The Supplier and STA will define at what point Marking is classed as safe or at risk based on the Marking solution, to be defined in the Marking Quality Regime. |
| 16.7.6 | Number of Manual Marked Test Scripts Identified Compared to Forecast | Tracks and reports at subject/Test Paper level the actual number of Test Scripts identified for Manual Marking against forecast. | Daily | 17/05 to 15/06 |  |
| 16.7.7 | Manual Marking Progress | Tracks and reports the progress against forecast, of Manual Marking by providing a graphical daily cumulative view of Test Scripts available for Manual Marking vs Test Scripts fully Manually Marked. | Hourly | 17/05 to 15/06 | It should also provide insights as to how long Test Scripts are taking to mark in full and can be filtered by subject and Test Paper to refine the graphs. |
| 16.7.8 | Missing/Damaged Pages | Tracks and reports the number of Schools and Pupils with missing and or damaged pages in a Test Script, along with details about any marks added as defined in the Marking Operations Plan. If a School has previously had a Missing Test Script this needs to be noted in the MI. | Daily | 17/05 to 15/06 | Information needs to be provided to allow STA to contact Schools with missing/damaged pages and explain remedial action. |
| 16.7.9 | Manual Marking Check Marking Report | Tracks and reports the progress of Check Marking for Manual Markers demonstrating that all Manual Markers have had the agreed amount of Check Marking completed by their supervisor per day, as described in the Marking Quality Regime.  This should be provided for:   * Live Marking * Live Manual Marking * Review Marking | Daily | 17/05 to 31/08 |  |
| 16.7.10 | Stopped Markers in Live | Tracks and reports the performance of the quality regime based upon the define quality thresholds. Markers who reach a pre agreed threshold will be stopped from Marking.  For each Item, a report to show how many Markers are at risk and/or have been permanently stopped on an individual item. For each Test Paper/type, how many Markers are at risk and/or have been permanently stopped from Marking their entire Allocations.  This should be provided for:   * Onscreen Markers in live * Manual Markers in live * Review Markers   There may be times when a Marker is stopped outside of pre-agreed thresholds due to quality concerns. These Markers would also need to be reflected in this report. | Hourly | 17/05 to 31/08 | Full details regarding Marking Quality Parameters will be agreed in the Marking Quality Regime.  The report also provides some logic as to what Markers may be at risk of being permanently stopped from Marking an Item or overall. The data from this report will also inform how Marker grades are assigned. |
| 16.7.11 | Review Applications Received | Tracks and reports the number of School applications for Marking and Clerical Reviews, showing applications daily and cumulatively across the application window. The report needs to show Marking and Clerical Review Applications at School, Pupil, and subject level. For Clerical Reviews, the report needs to show the reasons the School has selected for the Clerical Review. | Daily | 06/07 to 08/09 | The applications are made in the 10 days following RoR. |
| 16.7.12 | Review Marking Progress | Tracks and reports to STA the progress of Review Marking at subject and Test Paper level. | Daily | 06/07 to 08/09 |  |
| 16.7.13 | Review Applications Completed | Tracks and reports the completion of Marking and Clerical Reviews against School applications submitted, showing completed Reviews at School, Pupil, and subject level. | Daily | 06/07 to 08/09 |  |
| 16.7.14 | Review Marking Analysis | Provides STA with the data detailing marks that have been changed following Review Marking. | Daily | 31/08 to 08/09 | The data covers all Items across all 6 Test Papers and shows all the possible permutations of changed Marks. |
| 16.7.15 | Review Marking Complaints Received and Resolved | Tracks and reports the number and type of Marking Review complaints submitted by Schools vs resolved complaints. | Daily | 01/09 to 30/09 | Schools can submit a complaint about the application of the Mark Scheme and the most senior member of the Marking Hierarchy must Review the questions being queried and provide a response for the School (marks will either be held or changed, and a justification provided for the School). Schools can also complain about the Tests/Mark Schemes and query the Review Marking processes. All three are managed by different stakeholders. |
| 16.7.16 | Ministerial Marking Progress Report | Visual representation of the progress of Live Marking that can be used by the STA Programme Manager to update the Minister for Schools during their weekly briefing papers. | Daily | 17/05 to 15/06 |  |
| 16.7.17 | Supervisor MI | The Supplier must provide MI reports to Supervisory Markers, which facilitate management of their teams (including but not limited to, Practice and Qualification, tracking Markers’ progress, providing outcomes of quality assurance checks). | Daily | During peak Marking activity from the 1st Marker training session to the completion of Review Marking (Phase 2 and 3) |  |

**Security**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.8.1 | Security Management Report | Shows incidents or suspicious events recorded, including severity of Incidents. | Daily | All year |  |

**Helpline**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.9.1 | Hard Copy Test Paper Retrieval Within Last Month | Summary report on the number of requests received to retrieve a hard copy Test Paper from the scanning centre or archive. | Daily | 10/05 to 31/01 | These requests would be a result of a Maladministration allegation or a request to rescan the Test Paper if the marks were illegible. The report also confirms the timeframes against which the request from executed (as per the Statement of Requirements). |
| 16.9.2 | Daily Helpline Performance | Report on the performance of the Helpline as related to the forecast volumes of contact as defined in the Helpline Forecast and Resource Model. | Daily | All year | The MI considers reporting as per SLAs as stated in the Agreement.  Daily performance for NCA Contacts against the metrics defined in the Helpline KPI's and SLA - this can be sliced based upon the week / month. |
| 16.9.3 | Weekly/Monthly Helpline Performance | Report showing daily performance for Marker Helpline against the metrics defined in the Helpline SLAs - this should be able to be presented based upon the week/month. | Daily | All year |  |
| 16.9.4 | Helpline Performance Summary Survey Feedback | Report showing the results of voluntary surveys sent to Schools following Helpline contact. | Daily | All year |  |
| 16.9.5 | Helpline Historical Survey | Report showing historical survey information. | Daily | All year |  |
| 16.9.6 | Contact Analysis | Summary report of all contacts that can be filtered by the method of contact, enquiry subject area and User type.  Filtering will be available by method of contact, enquiry subject area and User type. Where no filters are selected the analysis will show all reasons across all channels and stakeholders.  STA requires flexibility to be built into the MI so that we are able to amend or add any new ‘contact reasons’ that agents will choose to log incoming queries. | Daily | All year | The purpose of the Contact Analysis report is for the Supplier’s Operations Manager to track and report to STA the reasons for the various contacts made to the Supplier Helpline by the Test Operations stakeholders. This will help identify trends on behaviours. |
| 16.9.7 | Helpline – All Data | Shows all the data and provides the ability to extract specific data based upon a selected contact type, reason, and date range. | Daily | All year | This is useful if a particular event took place and deeper analysis is needed on the data. |
| 16.9.8 | Contacts Analysis – Complaints | Shows details of complaints logged by the Helpline. | Daily | All year |  |
| 16.9.9 | Headteacher Declaration Form for Phonics | Shows data on the outcomes logged by headteachers when they submit their Headteacher Declaration Form to confirm that Tests have been administered in line with the Test Administration Guidance. | Daily | 14/05 to 23/07 | This is a statutory obligation, and all headteachers should submit this declaration. |
| 16.9.10 | Headteacher Declaration Forms for KS2 | Shows data on the outcomes logged by headteachers when they submit their Headteacher Declaration Form to confirm that Tests have been administered in line with the Test Administration Guidance. | Daily | 14/05 to 23/07 |  |
| 16.9.11 | Chase Activity | Provides the Helpline Operations Manager the information needed to chase up Schools who have not engaged with the Online System(s) to complete their statutory assessment obligations or if there are Exceptions in scanning that require an outbound contact to resolve. | Daily | 10/03 to 16/07 | The data is defined at School level and provides a visual representation of issues to resolve per chase. This should enable the Helpline to clearly see why a School may need a chase for multiple reasons. The report must also capture all outbound attempts to chase the School. |

**Online System(s)**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.10.1 | Online System(s) Transaction Activity | Reports on the transactional activity that has taken place on the Online System(s). | Daily | All year | This provides insights during key transactional activity (such as Pupil Registration) levels of engagement. The report also provides access to data to inform how Schools, LAs and MATs are managing access to the Online System(s), which is important from a Systems engagement point of view. |
| 16.10.2 | Online System(s) Page Visits | Provides the Supplier (primarily the Support Services Manager and Head of Communications), insight into pages clicked on to by Schools. | Daily | All year | In a similar fashion to the Online System(s) Transaction Activity MI, it provides insights into engagement on the Online System(s). |
| 16.10.3 | Pupil Registrations | Reports on Pupil Registrations submitted by Assessing Group 1,2,3,5, and Types of Establishment (ToE) Code. This is shown against expected number of Schools that are in the KS2 baseline.  Report to include actual weekly registrations against forecast (weekly totals from the previous year). | Daily | 15/02 to 21/05 | This is used to assess Pupil participation and engagement by participating Schools. Pupil Registration is vital for accurate printing & collation and distribution of KS2 Test Papers and forms the basis for online Marking expected enrolments.  The report includes an overall summary of expected registration by assessment group (based upon Schools on the KS2 baseline) versus actual. This is important as low engagement on Pupil Registration can indicate unexpected School behaviour and will need follow up by the Helpline. |
| 16.10.4 | Pupil Registrations -Current and Previous Years | Graphical views showing:   * summary of all actual registrations versus previous year by School, and; * summary of all actual registrations versus previous year broken down into the four in-scope Assessing Groups. | Daily | 15/02 to 21/05 | This helps understand if School behaviour is trending as previous Test Cycles or if there is unusual behaviour. |
| 16.10.5 | Requests for Additional Time, Compensatory Marks, and Early Opening | Reports on Schools that have requested additional time, Compensatory Marks (for the GPS Spelling Test) or requested Early Opening of the KS2 assessments. | Daily | 15/02 to 23/07 | The windows of when the forms are available to them is described in the [KS2 Assessment and Reporting Arrangements (ARA) guidance](http://www.gov.uk/government/publications/2022-key-stage-2-assessment-and-reporting-arrangements-ara). |
| 16.10.6 | Requests for Timetable Variation | Summary report on the number of Schools that have requested a Timetable Variation by Test Paper. | Daily | 15/02 to 23/07 | Timetable Variation means taking the Test later (up to 5 School days) than the specified day. This is important as Timetable Variations mean that KS2 Test Scripts are not collected as originally planned and impacts scanning and Marking assumptions. |
| 16.10.7 | Requests for Special Considerations | Summary report on the number of Schools that have requested a Special Consideration be made following the completion of the Test by the Pupil. | Daily | 15/02 to 23/07 | This is important as STA have seen a considerable increase in Special Consideration requests and a proportion must be Approved by STA individually, which creates a resource constraint. |
| 16.10.8 | Requests for Additional Time, Compensatory Marks, and Early Opening (2-Year Trends) | Report showing volumes of applications for additional time, early opening, Compensatory Marks, and Timetable Variations for current year and how that compares to the previous two years. | Daily | 15/02 to 23/07 | This will be used to identify trends in behaviours. |
| 16.10.9 | Aid Notifications | Report on the number and type of additional aids that have been used to administer the KS2 Tests to Pupils. | Daily | 15/02 to 23/07 | This is important as for example use of a transcript would indicate that the scanning centre will receive two Test Papers for that Pupil’s Test (the original and the transcribed version). |
| 16.10.10 | Pupil Cheating | Summary report of Schools that have reported via the Online System(s) that there has been Pupil cheating during a Test. | Daily | 15/02 to 23/07 | The outcomes of Pupil cheating notification would be that the marks for that Test are annulled. This can be reported at a whole subject, whole Test, or part Test level. |
| 16.10.11 | Headteacher Declaration Form | Report tracking the submission of headteachers’ declarations that the assessments have been administered as mandated by STA. | Daily | 15/02 to 23/07 | This covers all assessments (KS2 and phonics) and is a statutory obligation. Headteachers do this via the Online System(s). The Helpline will chase up Schools that have not made this declaration. |
| 16.10.12 | Maladministration | Reports the total number and rationale for all allegations of Maladministration. | Daily | 26/04 to 28/02 |  |
| 16.10.13 | KS2 Teacher Assessment School Submissions | Report detailing Schools’ interactions with the KS2 Teacher Assessment Online System(s) including highlighting where Schools have outstanding activity to fully complete their statutory obligations to submit Teacher Assessments.  This can be filtered by Assessing Group. | Daily | 17/05 to 01/07 | Shows information on the progress of School and LA statutory submission of KS2 Teacher Assessments. This is a vital data source when assessing Pupils’ abilities across the KS2 National Curriculum. |
| 16.10.14 | KS2 Teacher Assessment LASoB Submissions | Report detailing LA interactions with the KS2 Teacher Assessment Online System(s) where they submit Teacher Assessments on behalf of the School (known as LASoB).  This will include highlighting where Schools have outstanding activity to fully complete their statutory obligations to submit Teacher Assessments.  The data table can be extracted to show which LAs are Submitting On Behalf Of Schools and how many Schools they are doing this for. | Daily | 17/05 to 01/07 | Even though LAs submit on behalf of Schools, it is the School responsibility to ensure that Teacher Assessments are complete and error free. |
| 16.10.15 | KS2 Teacher Assessment Pupil Submissions | Summary report of the submission of Teacher Assessment by subject for all participating KS2 Pupils. | Daily | 17/05 to 01/07 | The Supplier must ensure that data is collected at the most appropriate granular level to meet STA requirements. |
| 16.10.16 | KS2 Monitoring/Moderating LA Selection | Reports on the number of Schools who have selected an LA to moderate and monitor their KS2 assessments, and which LAs are being selected. This is selected via the Online System(s). | Daily | 26/10 to 11/12 | This is important as some School types in Assessing Groups (Independent Schools for example), must select the LA to participate in the KS2 assessments.  The report includes a full list that can be exported of the Schools and the LA that has been selected. |
| 16.10.17 | KS2 Monitoring/Moderating LA Selection and Test Orders | Reports a summary of Test Orders placed by establishment type. | Daily | 26/10 to 11/12 | This is important as if Schools do not select their LA the Test Order will be cancelled (impacting print, collation, and logistics volumes). |
| 16.10.18 | KS2 Teacher Assessment Accepted/Rejected Uploads | Report tracking occasions where the LA or School has attempted to upload a data file (of a Valid type) to Teacher Assessments Online System(s), but this has been rejected (including the reason for rejection). | Daily | 26/10 to 11/12 | This is important to understand what issues with uploads Schools are having, what additional support might be needed and how this may impact the progress of Teacher Assessments and calls to the Helpline. |
| 16.10.19 | KS2 Test Paper Orders | Report showing a cumulative daily data view of KS2 Test Orders received across Assessing Groups 1,2, and 5 | Daily | 26/10 to 11/12 | The purpose of the Test Orders suite of MI is to inform the Supplier and STA on the School engagement of ordering NCA Materials across KS2.  This considers both standard material (where some types of establishments must order Test Papers, such as Independent Schools) and Modified Tests where all Schools who require a Modified Test for Pupil needs, must order the Test Paper. This data is important as it informs the printing, collation, and logistics requirements. |
| 16.10.20 | KS2 Test Paper Orders Comparison to Previous Year | Graphical representation of KS2 Test Paper Orders for current year with comparison against previous year. | Daily | 26/10 to 11/12 | This helps understand if engagement on Test Paper Orders is consistent with previous trends or different. |
| 16.10.21 | KS2 Modified Test Paper Orders | Report showing cumulative daily view of KS2 Modified Test Paper Orders placed by Schools, broken down by type of Modified Tests.  To include a comparison to the previous year’s orders, to assess levels of engagement and any unexpected trends. | Daily | 26/10 to 11/12 |  |
| 16.10.22 | KS2 and Modified KS2 Test Orders Received | Report showing a cumulative summary level of KS2 Test Orders received. | Daily | 26/10 to 11/12 |  |
| 16.10.23 | Downloaded NCA Materials | Reports on the engagement of the Online System(s) Users where NCA Materials are made available for download. | Daily | 02/11 to 30/06 |  |
| 16.10.24 | Return of Results | Reports on the engagement of the Online System(s) Users where NCA results and pupil test scripts have been made available to view and download. | Daily | 02/11 to 30/06 | The purpose of Return of Results MI is to inform the Supplier and STA on the school engagement of Results and Test Scripts. This is useful to understand load on the system on the day results are returned. For the day results are returned to Schools this should include an hourly breakdown of engagement. |

**Teacher Assessment**

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| **AID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.11.1 | Registration of Moderation Managers, Lead Moderators, and Pool Moderators | Report showing how many Moderators are registered. This will allow us to see how many Moderators for each LA are sitting the Standardisation Exercises. | Monthly | September - April | The Authority want to know the LA they are registered to, first name, last name, email address and position (Moderation Manager, Lead Moderator, or pool Moderator). |
| 16.11.2 | Standardisation Exercise Results | Report showing the data for pass/fail rates, breakdown of each question success rates and a list of successful moderator’s names for each LA.  % Pass rate 1st vs 2nd attempt | Monthly | September - April |  |
| 16.11.3 | Overview of LA School Numbers with Successful Moderators | Report showing breakdown of moderator data to assess whether each LA has enough moderators to moderate 25% of their Schools for the given Test Cycle.  Report should include:   * Total number of LAs * Number of LAs with approved Moderators * For each LA, total number of Schools within LA * For each LA, value equalling 25% of total Schools in LA * Evaluation based on capacity of whether the LA has enough moderators to undertake moderation of 25% of their Schools. | Annually | March | Ability to upload a data set containing LAs and the number of Schools it has within or selected to form part of its moderation list.  Compare the data within this System – how many Moderators who have passed within each LA. |

**Test Cycle Communications**

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| **ID** | **Report Name** | **Report Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| 16.12.1 | Head of Communication Report | Data and visuals that are incorporated with the Quarterly Report created by the Head of Communications. | Daily | All year | Used in parallel to the Incident Management Plan. |

**Optional Services**

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| **ID** | **Name** | **Description** | **Frequency** | **Approx Period** | **Supporting Information** |
| N/A | Optional Services | Will be inputted if required by the Authority | N/A | N/A |  |

1. https://www.find-school-performance-data.service.gov.uk/ [↑](#footnote-ref-2)
2. http://www.analyse-school-performance.service.gov.uk/ [↑](#footnote-ref-3)