



Standards
& Testing
Agency

2016 maladministration report

**National curriculum assessments at key
stages 1 and 2**

November 2017

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Introduction

The Standards and Testing Agency (STA) has a statutory duty to investigate any matter brought to its attention concerning the accuracy of results of key stage 1 (KS1) and key stage 2 (KS2) national curriculum tests and assessments, including the phonics screening check. We investigate any concerns in partnership with local authorities (LAs), in accordance with the [‘Maladministration investigation procedures’](#).

The term 'maladministration' refers to any act that could jeopardise the integrity, security or confidentiality of the national curriculum assessments and could lead to results that do not reflect the unaided abilities and achievements of pupils. This could refer to a range of actions, including test papers being incorrectly opened, pupils cheating, over-aiding of pupils by test administrators, changes being made to a pupil's test script by someone other than the pupil or inflation / deflation of teacher assessment judgements.

Following an investigation, if STA's maladministration team finds that the accuracy or correctness of a pupil's test results is in doubt, a senior manager within STA decides whether to amend or annul results.

This report details the numbers, sources and types of allegations of maladministration reported to STA throughout the 2016 test cycle across KS1 and KS2. It also presents the numbers of amendments and annulments to results made in 2016. In addition, it provides comparisons with the maladministration data from 2014 and 2015.

National curriculum assessments in 2016

Number of schools participating

In 2016, 16,027 schools participated in the KS2 national curriculum tests.

There were 16,321 schools that participated in end of KS1 assessments in 2016.

Changes to statutory assessment in 2016

Following the introduction of the new KS1 national curriculum, which was first taught in schools from September 2014, we provided new statutory tests in English reading and mathematics as well as an optional English grammar, punctuation and spelling test. Schools were required to use the results from the reading and mathematics tests to inform their teacher assessment judgements.

At KS2 a new suite of tests in English grammar, punctuation and spelling, English reading and mathematics were introduced. There was only 1 set of tests for each subject following the removal of levels and the introduction of scaled scores to report the results of the tests. The new tests included a small number of questions designed to assess the most able pupils in order that separate tests, such as the previous level 6 tests, would no longer be required.

In addition, at KS2, the mental mathematics test was replaced with an arithmetic test.

Changes were also made in 2016 to KS1 and KS2 teacher assessment reporting. Pupil attainment was no longer reported against levels, but instead was reported against a set of standards, in line with the published statutory interim teacher assessment frameworks.

Maladministration investigation procedures

The '[Maladministration investigation procedures](#)' guidance did not change between 2015 and 2016. As in previous assessment cycles, decisions upon the conclusion of an investigation were made by a senior manager at STA.

Main findings from 2016

- There was a small increase in the number of KS1 and KS2 maladministration investigations in 2016 compared to 2015 (see Table 1) from 516 to 524. In 2016, 48.7% of cases were self-reported by schools.
- There was a decrease in the number of cases at KS1 and KS2 resulting in amendment or annulment of results from 2015 to 2016. At KS1, there were 2

cases in 2016 (3 in 2015), and at KS2 there were 65 cases in 2016 (78 in 2015). See Tables 2 and 3.

- The number of allegations concerning the KS1 phonics screening check remained low (17 allegations). The total number of cases represented 0.1% of the total number of schools that participated in the assessment.
- The number of allegations concerning KS1 teacher assessment was also low (7 cases), representing a total of 0.04% of the total number of schools that participated.
- 0.4% of schools that participated in the KS2 assessments (65 in total) received amendments to, or annulments of, their results. Of these, 5 schools had a whole cohort annulment of at least one KS2 subject.

Breakdown of maladministration cases in 2016

The table below details the number of cases of maladministration investigated by STA at each key stage from 2014 to 2016.

Table 1: Total number of cases investigated at KS1 and KS2

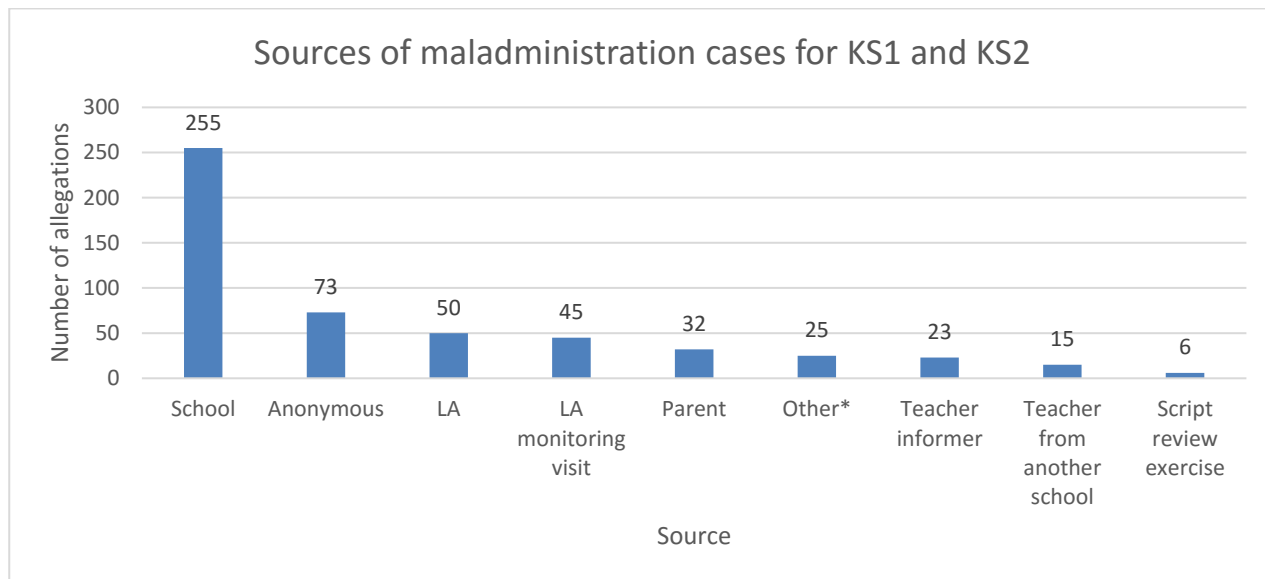
| Year | Total number of KS1 and KS2 investigations | Total number of KS1 investigations | % of total number of KS1 participating schools | Total number of KS2 investigations | % of total number of KS2 participating schools |
|------|--|------------------------------------|--|------------------------------------|--|
| 2014 | 595 | 89 | 0.6 | 506 | 3.2 |
| 2015 | 516 | 60 | 0.4 | 456 | 2.9 |
| 2016 | 524 | 94 | 0.6 | 430 | 2.7 |

Please note: As the number of participating schools differs between KS1 and KS2 a percentage has not been calculated for the total number of KS1 and KS2 investigations.

Sources of reported maladministration cases

Cases of alleged maladministration are reported to STA from a number of different sources. Across both KS1 and KS2, schools self-reported 48.7% of cases. 18.1% of cases were reported by local authorities (LAs), including those reported following LA monitoring visits.

Diagram 1: Sources of reported cases in 2016

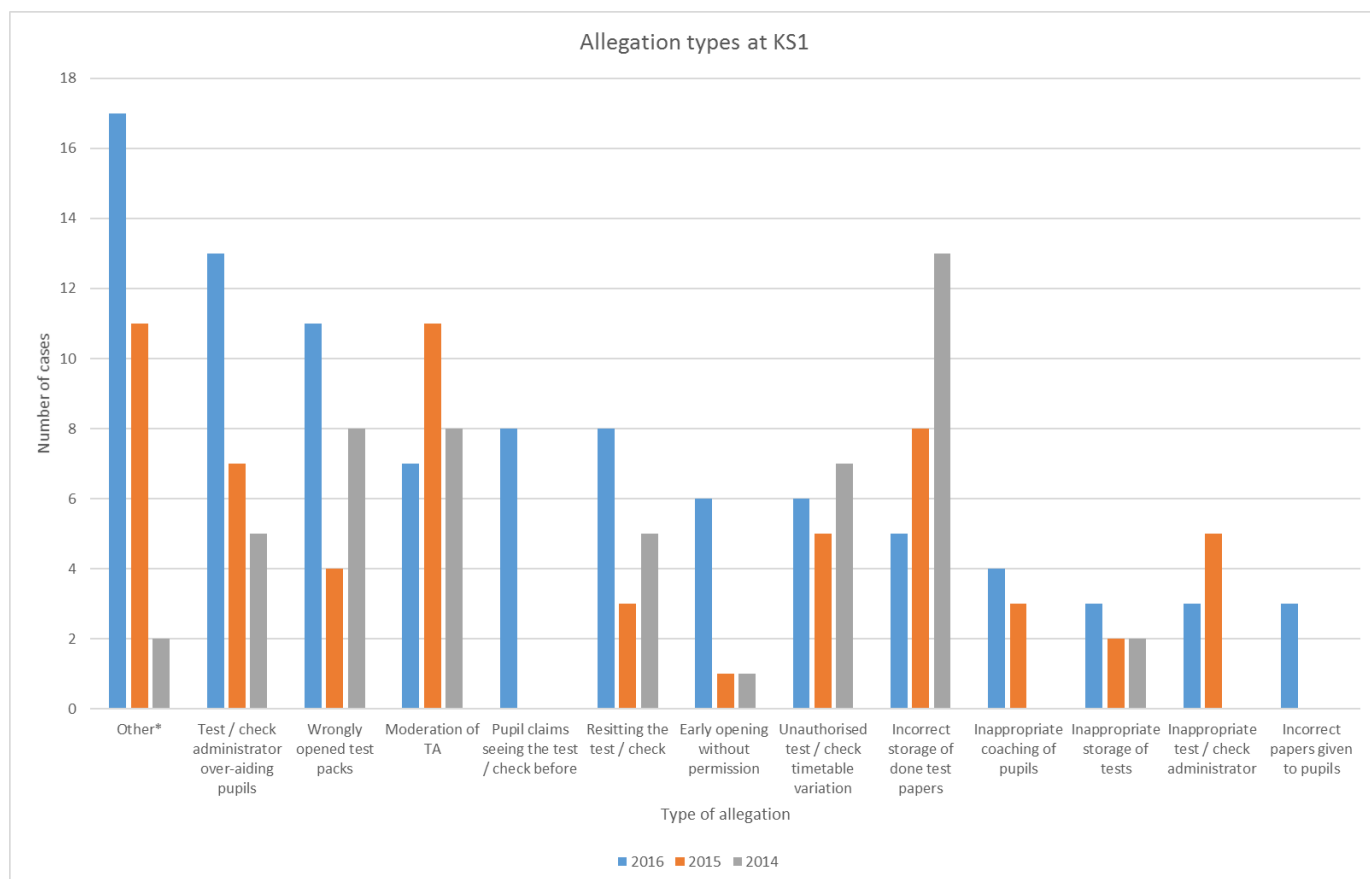


* Please note: 'Other' sources within diagram 1 includes governing bodies, markers, the public, parent of another child and referrals from Ofqual.

Key stage 1 maladministration investigations

Seventeen allegations were made about the administration of the phonics screening check and 77 allegations about KS1 tests and teacher assessment in 2016. The graph below gives a breakdown of allegations by type.

Diagram 2: Allegation types at KS1



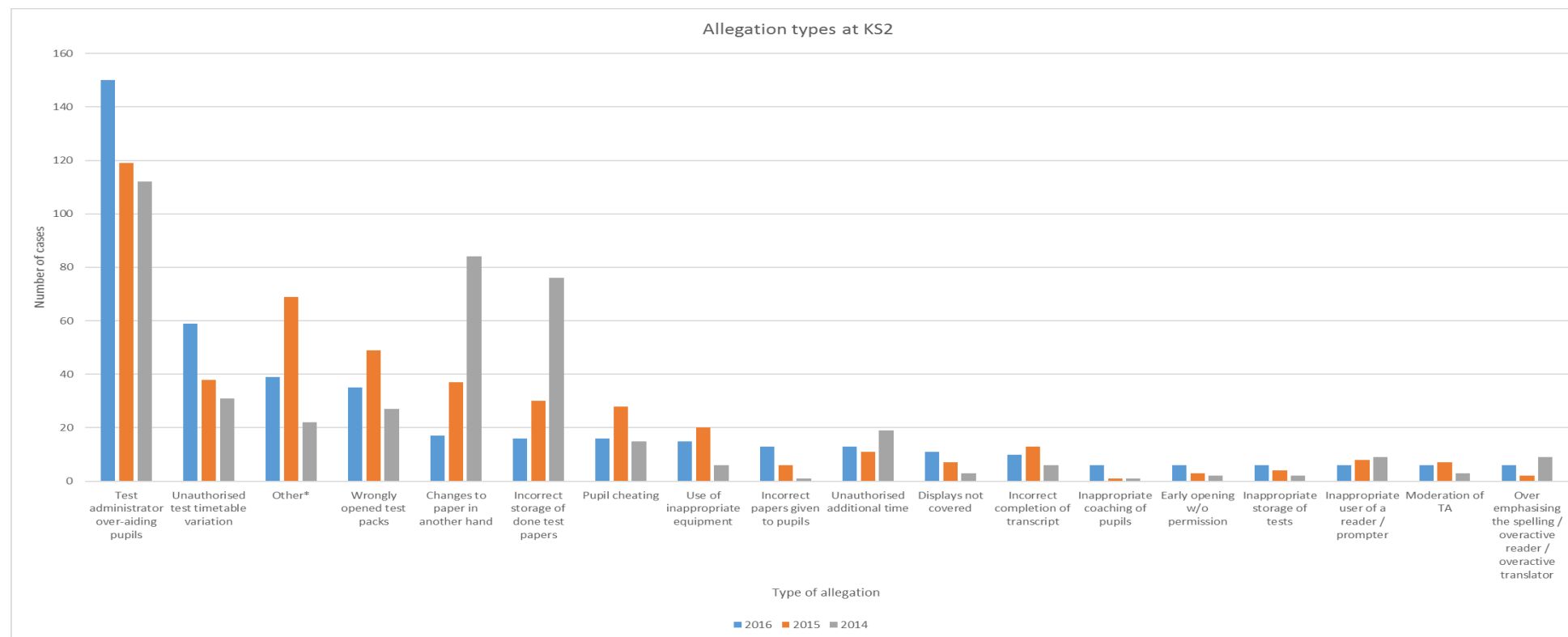
* Please note: 'other' allegations within Diagram 2 includes changes to marked scripts before review; displays not covered; lost test/check materials; pupil cheating; test/checks administered early; changes to paper(s) in another hand; early opening without permission (for photocopying); mark scheme opened early; test/checks packs damaged on arrival and test security breach. We received fewer than 5 allegations for each of these allegation types.

The largest number of allegations at KS1 were about test/check administrators over-aiding pupils during the KS1 tests and phonics screening check.

Key stage 2 maladministration investigations

There were a total of 430 maladministration allegations received for KS2 in 2016: 423 relating to the tests; seven to teacher assessment.

Diagram 3: Allegation types at KS2



* Please note: 'other' allegations within Diagram 3 includes pupil claiming to have seen the test paper before; resitting the test; review of the test scripts before collection; test security breach; unsupervised breaks; lost test/check materials; changed marked scripts before review; change to English/Reading level; consignment note/distribution issues; inappropriate room for a test/check; inappropriate test/check administrator; incorrect time allocation; mark scheme packs opened early; test administered early and test packs damaged on arrival. Fewer than 10 allegations were received for each of these allegation types.

The most common allegation type in 2016 was regarding test administrators over-aiding pupils during the KS2 tests. In 2015, 28.0% of allegations were of this type, compared to 35.0% in 2016 (an increase of 7 percentage points).

Amendments to, and annulments of, test results

Following an investigation, if STA finds that the accuracy of a pupil's test results are in doubt, a senior manager makes a decision to amend or annul results and communicates this decision to the school.

Where a school believes a pupil has gained an advantage as a result of cheating, the headteacher notifies STA of the incident. In doing this, they agree to the removal of marks for the specific questions where the pupil has gained an advantage or the annulment of the pupil's paper.

Amendment and annulment breakdown by school

In summary, for KS1 in 2016:

- Two schools either had pupils' KS1 phonics screening check results amended or annulled. These schools were advised that the pupils affected would be required to have the phonics screening check re-administered to them in 2017.
- There were no allegations received in relation to KS1 teacher assessment in 2016.

Table 2: Number of KS1 schools with amendments or annulments to results from 2015 to 2016

| Year | Teacher assessment | National curriculum tests | Phonics screening check | % of all cases at KS1 |
|------|--------------------|---------------------------|-------------------------|-----------------------|
| 2015 | 1 | 0 | 2 | 5.0 |
| 2016 | 0 | 0 | 2 | 2.1 |

Please note: the data is not available for reporting for 2014.

In summary, for KS2 in 2016:

- 54 schools either had pupils' results amended or annulled as a result of maladministration (6 of these schools were identified from the script review exercise)
- Of these 54, 5 schools had a whole cohort annulment for at least one subject
- 12 schools either had pupils' KS2 test results amended or annulled after notifying STA of a pupil cheating.

Table 3: Number of KS2 schools with amendments or annulments to results from 2014 to 2016

| Year | Schools with whole cohort annulments of at least 1 subject | Schools with individual pupil annulments / amendments to results in at least 1 subject | Total of schools with amendments or annulments to their results | % of all cases at KS2 |
|-------------|---|---|--|------------------------------|
| 2014 | 41 | 74 | 113 | 22.7 |
| 2015 | 7 | 78 | 85 | 18.6 |
| 2016 | 5 | 60 | 65 | 15.1 |

In 2014, two schools which had at least 1 subject annulled for the whole cohort also had individual pupils' results amended or annulled in other subjects. In 2015 and 2016, the outcome of cases resulted in either a whole cohort annulment in at least one subject or the annulment or amendment to results for individual pupils. One school in 2016 had amendments or annulments as a result of pupil cheating and a separate maladministration investigation.

In 2016, approximately 0.4% of schools that participated in the KS2 assessments had their results amended. There is a 3.5 percentage point decrease between the number of maladministration cases in 2015 and 2016, which resulted in an amendment or annulment of a school's KS2 results.



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