



Standards  
& Testing  
Agency

# **Key stage 1 teacher assessment guidance**

**For schools and local authorities**

**October 2019**

# Contents

1. Summary	4
1.1 Review date	4
1.2 Who is this guidance for?	4
1.3 Main points	4
2. Changes for 2019/20	5
2.1 NCA tools website replacement	5
3. Important dates	6
4. The purposes of assessment	8
4.1 Different forms of assessment	8
4.2 Data and teacher workload	8
5. Making statutory teacher assessment judgements	10
5.1 Statutory teacher assessment	10
5.2 Pupil can statements	10
5.3 Evidence	11
5.4 Exemplification	13
5.5 Moderation	13
6. Guidance for English writing	15
6.1 A more flexible approach	15
6.2 Independent writing	15
6.3 Spelling	17
6.4 Handwriting	17
7. Assessing pupils with disabilities	18
8. External moderation	19
8.1 Overview	19
8.2 Local agreements	20
8.3 Process	20
8.4 Preparing for an external moderation visit	22
8.5 During an external moderation visit	23
8.6 The professional discussion	24

8.7 Re-moderation	25
8.8 End of an external moderation visit	25
8.9 Pupils outside the moderation sample	26
9. Appeals	28
10. Data submission	29
11. Local authority management of the external moderation process	30
11.1 Local authority responsibilities	30
11.2 Recruitment of local authority moderators	31

# 1. Summary

This guidance has been produced to help schools and local authorities (LAs) understand the statutory requirements under the Education (National Curriculum) (Key Stage 1 Assessment Arrangements) (England) Order 2004 for teacher assessment (TA) in 2020. It also provides non-statutory guidance to support assessment processes that are both rigorous and proportionate.

## 1.1 Review date

This guidance will be reviewed before October 2020.

## 1.2 Who is this guidance for?

This guidance is for:

- headteachers, teachers, school staff and governing bodies in maintained schools (including maintained special schools), academies (including free schools), pupil referral units, maintained nursery schools, Service Children's Education schools and participating independent schools
- LAs

## 1.3 Main points

This document supports schools in making statutory TA judgements at the end of key stage 1 (KS1), and schools and LAs in undertaking statutory moderation of these judgements.

## **2. Changes for 2019/20**

### **2.1 NCA tools website replacement**

NCA tools has been replaced by the Primary Assessment Gateway. LAs and schools can use this to:

- view and download TA standardisation training materials
- view and download TA standardisation exercises and commentaries

### 3. Important dates

Date	Activity
September and October 2019	Standards and Testing Agency (STA) moderation training in English writing for LAs.
Friday 22 November 2019	<p>Deadline for all academies to have a written agreement in place with the LA that will monitor their phonics screening check and complete external moderation of their key stage 1 (KS1) TA.</p> <p>If academies are not using their geographical LA, this agreement must also be reported via the Primary Assessment Gateway by this deadline.</p>
Friday 13 December 2019	<p>Deadline for participating independent schools that intend to participate in the tests to report to STA, via the Primary Assessment Gateway, that they have a written agreement in place with the local authority that will complete external moderation of their KS1 TA. STA may not send test materials to independent schools that do not report which local authority they have an agreement with.</p> <p>Deadline for LAs to confirm they have completed an internal plan detailing how they intend to meet statutory assessment duties.</p>
Monday 4 November to Friday 8 November 2019	Standardisation exercise for moderation managers and lead moderators.
Monday 9 December to Friday 13 December 2019	Standardisation exercises for LA pool moderators.

Date	Activity
Monday 13 January to Friday 17 January 2020	Standardisation exercise for LA pool moderators that were previously unsuccessful.
Monday 24 February 2020	LAs informed if they are going to receive an external moderation visit, on or shortly after this date.
Friday 13 March 2020	Deadline for LAs to submit their internal moderation plan (if selected for external moderation).
Friday 15 May 2020	Schools informed by the LA if they are going to receive an external moderation visit on, or after this date.
Tuesday 2 June to Thursday 25 June 2020	LAs undertake external moderation of KS1 TA.
Thursday 25 June 2020	Deadline for schools to submit KS1 TA data to LAs.
Friday 24 July 2020	Deadline for LAs to submit their schools' KS1 TA data to the Department for Education (DfE).
Friday 28 August 2020	Deadline for LAs to confirm details of moderation manager and strategic leads for 2020/21.

## 4. The purposes of assessment

### 4.1 Different forms of assessment

Schools should develop their own approach to assessment that meets the needs of their pupils, parents, staff and curriculum. Statutory TA at the end of the key stage is just one part of the broader assessments that teachers make. There are 3 main forms of assessment in schools:

- day-to-day formative assessment—to inform teaching on an ongoing basis
- in-school summative assessment—to understand pupil performance at the end of a period of teaching
- national statutory summative assessment—to understand pupil performance in relation to national expectations and comparisons

In the context of statutory TA, it is a school's assessment policy that forms the basis of a teacher's judgements about what pupils know and can do. This will provide the evidence that teachers make a judgement upon, against the statutory TA frameworks. These judgements are designed only to report an outcome to DfE at the end of the key stage.

Statutory TA helps teachers and parents to understand broadly what a pupil can do in relation to national expectations and allows the government to hold schools to account for the education they provide to their pupils. However, pupils will have a wider range of knowledge and skills than that covered by statutory assessment. This may be evident through other forms of assessment that take place at school and should also be reported to parents.

Further information about the principles and purposes of assessment can be found in the [Final report of the Commission on Assessment Without Levels](#)<sup>1</sup>.

### 4.2 Data and teacher workload

Evidence to inform statutory TA should come from the teaching of the knowledge and skills specified in the national curriculum. Teachers should not seek to track or record evidence solely to show that pupils have achieved the statements within the frameworks.

---

<sup>1</sup> [www.gov.uk/government/publications/commission-on-assessment-without-levels-final-report](http://www.gov.uk/government/publications/commission-on-assessment-without-levels-final-report)

A school's assessment policy should outline when it is necessary to record assessment data. In developing their policies, schools should consider minimising teacher workload so that teachers can focus their efforts on teaching.

When data does need to be recorded, this should follow the principles and practices outlined in [Eliminating unnecessary workload associated with data management<sup>2</sup>](#).

---

<sup>2</sup> [www.gov.uk/government/publications/reducing-teacher-workload-data-management-review-group-report](http://www.gov.uk/government/publications/reducing-teacher-workload-data-management-review-group-report)

## 5. Making statutory teacher assessment judgements

### 5.1 Statutory teacher assessment

The [TA frameworks](#)<sup>3</sup> are for pupils who have completed the KS1 curriculum, and must be used to make statutory judgements in English reading, English writing, mathematics and science. The frameworks focus on important aspects of these core subjects for the specific purpose of statutory end-of-key stage assessment. They do not cover the full content of the national curriculum.

The [pre-key stage standards](#)<sup>4</sup> are for pupils who are working below the standard of national curriculum assessments but are engaged in subject-specific study. This means they will be working below the lowest standard in the relevant framework for TA. The pre-key stage standards are used to make statutory judgements in English reading, English writing and mathematics for pupils who have reached the end of year 2, when an outcome must be reported for school accountability, but who have not completed the relevant KS1 programme of study. They are designed to assess and record attainment in these subjects, but do not cover the full breadth of knowledge and skills.

If a pupil has special educational needs, is working below the standard of national curriculum assessments, and is not yet engaged in subject-specific study, their statutory outcome should be reported using [P scales 1 to 4](#)<sup>5</sup> when they have reached the end of year 2.

### 5.2 Pupil can statements

Pupil can statements are performance indicators to give a snapshot of a pupil's attainment at the end of the key stage. Each statement describes what a pupil working at that standard should be able to do. Teachers should follow the specific guidance set out for each subject in the frameworks and pre-key stage standards to reach their judgements about whether a pupil has met a standard.

Qualifiers are used in some statements to indicate the extent to which pupils demonstrate the required knowledge or skill. Where qualifiers are used, they have consistent meaning.

---

<sup>3</sup> [www.gov.uk/government/publications/teacher-assessment-frameworks-at-the-end-of-key-stage-1](http://www.gov.uk/government/publications/teacher-assessment-frameworks-at-the-end-of-key-stage-1)

<sup>4</sup> [www.gov.uk/government/publications/pre-key-stage-1-standards](http://www.gov.uk/government/publications/pre-key-stage-1-standards)

<sup>5</sup> [www.gov.uk/government/publications/p-scales-attainment-targets-for-pupils-with-sen](http://www.gov.uk/government/publications/p-scales-attainment-targets-for-pupils-with-sen)

‘Most’ indicates that the statement is generally met with only occasional errors. ‘Many’ indicates that the statement is met frequently but not yet consistently and ‘some’ indicates that the knowledge or skill is starting to be acquired and is demonstrated correctly on occasion, but is not yet consistent or frequent.

Examples are also used in some of the statements to clarify the knowledge or skill required. These do not dictate the evidence required, but show only how that statement might be met. Teachers should refer to the national curriculum to exemplify the statements and can use exemplification materials to support them in this if they choose.

## 5.3 Evidence

While the teacher’s knowledge of pupils can inform judgements, these must be based on sound and demonstrable evidence. This ensures that judgements are as objective as possible, and consistent between classes and schools. Specific evidence does not need to be produced. What pupils can do should be evident in their work.

Evidence should come from day-to-day work in the classroom and can be drawn from a variety of sources. The only requirement is that it supports the judgement being made. The type of evidence will vary from school to school, class to class, and even pupil to pupil. A pupil’s work in books will often have all the evidence a teacher needs, but evidence might come from a number of potential additional sources, such as projects, assessment notes (for example, guided reading records, phonics records, notes on mathematics exercises), classroom tests and assessments.

The form of evidence supporting a teacher’s judgement is entirely up to the teacher, provided that it meets the requirement of the frameworks.

Teachers should avoid excessive evidence gathering. The frameworks make clear that:

- a pupil’s work in the subject being assessed may provide sufficient evidence to support the judgement, although evidence should ideally include work in other curriculum subjects
- teachers may consider a single example of a pupil’s work to provide evidence for multiple statements—a teacher will see multiple statements evidenced across a collection of work, however, depending on the statements and the nature of the evidence, sometimes one example will be enough
- in English reading, discussion with a pupil about a single book, at the right level, that they have read independently may provide a teacher with evidence that the pupil has met all of the statements within ‘working at greater depth’

- in English writing, it may be the case that a single, comprehensive example of writing is sufficient to show that a pupil can, for example, write about personal experiences and real events
- in mathematics, it might be evident from one exercise that a pupil can recall multiplication and division facts for 2, 5 and 10 and use them to solve simple mathematics problems, demonstrating an understanding of commutativity as necessary
- in science, one piece of work might show that a pupil can describe basic needs of both plants and animals, while grouping and classifying things and carrying out simple comparative tests
- pupils' work which demonstrates that they have met a standard is sufficient to show that they are working above preceding standards. Teachers should be confident that pupils have met the standards preceding the one at which they judge them to be working. However, they are not required to have specific evidence for that judgement
- in science, there is no requirement to have evidence from the classroom that pupils have met statements relating to science content taught before the final year of the key stage:
  - year 2 teachers will not be expected to re-assess the science content taught in year 1 of the national curriculum
  - where possible, they should draw on assessment judgements that were made by year 1 teachers in determining whether the pupil has grasped that science content
  - this does not apply to the 'working scientifically' statements
- tests can be used as a useful indicator of a pupil's overall attainment, and the statutory tests in English reading and mathematics must be used to inform TA judgements. A pupil's answers to specific questions in the statutory tests, or any test, are acceptable forms of evidence for certain statements
- Depending on the subject and statement, this evidence might not be sufficient on its own:
  - for mathematics and science, a single test question may be sufficient to show that a pupil has grasped the knowledge or skill (for example, a pupil's answer in a mathematics test might show that they can read the time on the

clock to the nearest 15 minutes)

- for English reading and writing, discrete test questions will only supplement evidence that pupils have met statements—for example, a spelling test or handwriting exercise can provide additional evidence for these statements in English writing, but a teacher should also see these skills applied in the course of the pupil's writing

## 5.4 Exemplification

Exemplification exists to assist teachers when they are using the statutory frameworks to make judgements. Schools can use the materials to support teachers in making TA judgements or to validate judgements across the school. If teachers are confident in their judgements, there is no requirement for them to refer to the exemplification materials.

Exemplification materials only illustrate how pupil can statements in the frameworks might be met. They do not dictate a particular method of teaching, or the evidence expected from the classroom, which will vary from school to school.

LAs may find it useful to refer to exemplification materials to support external moderation visits. The materials show what meeting the pupil can statements might look like, but moderators should not expect or require teachers to provide specific evidence similar to the examples in those documents.

## 5.5 Moderation

Moderation allows teachers to benchmark judgements, while ensuring consistent standards and reliable outcomes. In the context of statutory TA, there are 2 forms of moderation.

Internal moderation is a non-statutory but vital process conducted by schools internally and, where possible, with other schools. Moderation should be a collaborative process with colleagues across key stages and should be undertaken throughout the academic year. This supports the quality assurance of TA judgements and provides a valuable opportunity for professional development.

External moderation is conducted by LAs. They are required to externally moderate at least 25% of schools every year. At least 25% of schools have a sample of their English reading, English writing and mathematics outcomes moderated by LAs. This is to validate judgements and ensure that they are consistent with national standards. It is a

collaborative process between schools and LA moderators. Section 8 provides more details about this process.

## 6. Guidance for English writing

### 6.1 A more flexible approach

The approach to English writing TA differs from that in other subjects. This difference recognises and reflects the nature of the subject and that a degree of flexibility is needed to assess it. Teachers are therefore given more flexibility in reaching a rounded judgement about a pupil's overall attainment in writing.

A teacher must still assess a pupil against all of the pupil can statements within the standard at which they are judged to be working. A pupil's writing should meet all the statements within that standard (since these represent the key elements of English writing within the national curriculum). However, teachers can use their discretion to ensure that a particular weakness does not prevent an accurate judgement of a pupil's overall attainment being made. A teacher's professional judgement about whether a pupil has met the standard overall takes precedence over the need for the pupil to meet all pupil can statements, if the pupil is judged to have a particular weakness. This does not mean that a teacher's professional judgement takes precedence over that of a moderator but teachers must be able to justify their decisions during moderation.

When a teacher deems that a pupil meets a standard despite a particular weakness, they must have good reason to judge that this is the most accurate standard to describe the pupil's overall attainment. The reason for this is likely to vary from pupil to pupil but, in all instances, teachers must be confident that the weakness is an exception in terms of the pupil's overall attainment.

A particular weakness can relate to a part or the whole of a statement or statements. Teachers should consider whether it prevents an accurate judgement from being made overall. A particular weakness may relate to a specific learning difficulty, but it is not limited to this. Similarly, a learning difficulty does not automatically constitute a particular weakness that would prevent an accurate judgement. The same overall standard must be applied equally to all pupils. This approach applies to English writing only.

### 6.2 Independent writing

Pupils' writing, on which teachers base their judgements, must be produced independently by the pupil.

Teachers should keep in mind that the national curriculum states writing can also be produced through discussion with the teacher and peers. This is particularly true at KS1, where discussion and oral rehearsal with teachers will feature more. The KS1 TA

frameworks state that pupils should demonstrate the pupil can statements after discussion with the teacher.

A piece of writing may provide evidence of a pupil demonstrating some pupil can statements independently, but not others. For example, a pupil may produce an independent piece of writing that meets many of the statements relating to composition and the use of grammar, but does not demonstrate independent spelling. This could be because the teacher has provided the pupil with some domain-specific words or corrected their spelling.

Teachers may choose to use success criteria in lessons to help pupils understand what they have learnt and to help them judge whether a pupil has met the objectives for a piece of writing. Using success criteria does not mean that a pupil's writing is not independent, they would simply need to avoid modelling or over-scaffolding the expected outcome. Furthermore, using detailed success criteria as a teaching tool for one aspect of writing could still provide independent evidence of other pupil can statements which have not been mentioned.

Writing is likely to be independent if it:

- emerges from a text, topic, visit, or curriculum experience in which pupils have opportunities to discuss and rehearse what is to be written about
- enables pupils to use their own ideas and provides them with an element of choice—for example, writing from the perspective of a character they have chosen themselves
- has been edited, if required, by the pupil without the support of the teacher, although this may be in response to self, peer, or group evaluation
- is produced by pupils who have, if required, sought out classroom resources, such as dictionaries or thesauruses, without being prompted to do so by the teacher

Writing is not independent if it has been:

- modelled or heavily scaffolded
- copied or paraphrased
- edited as a result of direct intervention by a teacher or other adult—for example, when the pupil has been directed to change specific words for greater impact, when incorrect or omitted punctuation has been indicated, or when incorrectly spelt words have been identified by an adult for the pupil to correct

- produced with the support of electronic aids that automatically provide correct spelling, synonyms, punctuation, or predictive text
- supported by detailed success criteria that specifically direct pupils as to what to include, or where to include it, in their writing—such as directing them to include specific vocabulary, grammatical features, or punctuation

## 6.3 Spelling

A pupil's standard in spelling should be evident throughout their writing. However, spelling tests, including the optional KS1 English grammar, punctuation and spelling test, can provide evidence of pupils' independent spelling.

When assessing pupils' writing, phonically plausible but incorrect spellings should be regarded as errors unless the statement makes it explicit that they can be accepted. For example, spelling some words correctly and making phonically plausible attempts at others.

The frameworks refer to the word lists within the spelling appendix to the national curriculum (English Appendix 1) to exemplify the words that pupils should be able to spell. The common exception words listed are non-statutory examples to show words with grapheme-phoneme correspondences, that do not fit in with what has been taught so far. Pupils are not required to use all of the examples of the common exception words. Teachers should assess the words that pupils do use, referring to the pupil can statements (for example, spell some/many/most common exception words).

## 6.4 Handwriting

A pupil's standard of handwriting should be evident throughout their writing. When assessing it, teachers should consider evidence in a pupil's independent writing to judge whether the statements have been met. Handwriting books or handwriting exercises can provide additional evidence, but this would not be sufficient on its own.

Pupils who are physically unable to write may use a word processor. Pupils who are physically able to write may also choose to word-process some of their writing, where appropriate. When pupils are using a word processor, it is advised that the spelling and grammar check functions are disabled, in order for the teacher to verify that they are able to meet the relevant pupil can statements independently.

## 7. Assessing pupils with disabilities

All schools are required to make reasonable adjustments for pupils with disabilities. Under the Equality Act 2010, a person has a disability if they have a physical or mental impairment that has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities. The [Special educational needs and disability code of practice: 0 to 25 years](#)<sup>6</sup> includes a reminder of the definition of disability. Teachers should also recognise the progress of individual pupils, setting targets that reference agreed outcomes within the code of practice where appropriate.

When teachers assess pupils against the pupil can statements, they should base their judgements on what disabled pupils can do when reasonable adjustments are in place. For example, reducing anxiety by providing a quiet area, or allowing more time to process instructions.

If a pupil has a disability that prevents them from demonstrating attainment in the way described in a pupil can statement, their individual method of communication or learning is applicable. For example, using a visual phonics system for a pupil with a hearing impairment, or using a computer for a pupil with vision impairment because they cannot read back their handwriting.

Teachers should ensure that all pupils have the opportunity to demonstrate attainment with reasonable adjustments in place, but the standards of the assessment should not be compromised and must be met in an equivalent way.

If a pupil has a disability that physically prevents them from demonstrating a pupil can statement altogether, even with reasonable adjustments in place, these statements can be excluded from the TA judgement. For example, handwriting if the pupil is physically restricted when writing, or phonics if a pupil is deaf and unable to make use of a visual phonics system. Teachers should use their professional discretion in making such judgements for each pupil and be able to justify these during moderation.

---

<sup>6</sup> [www.gov.uk/government/publications/send-code-of-practice-0-to-25](http://www.gov.uk/government/publications/send-code-of-practice-0-to-25)

## 8. External moderation

### 8.1 Overview

External moderation is a collaborative process between the LA moderators and the school. Teachers should consider it a positive part of their professional development. It offers the opportunity to discuss judgements on pupils' performance against the requirements of the TA frameworks.

KS1 data is not published but is used by schools to inform school improvement and by Ofsted to inform inspection judgements. KS1 TA data for English reading, English writing and mathematics is used as the baseline for KS1 to KS2 progress measures, which form part of schools' published accountability data. Statutory external moderation helps quality assure these judgements. It is used to confirm that TA judgements for KS1 are accurate and consistent with national standards. This ensures that schools are assessing accurately against national standards and the system is fair for all pupils.

Anyone responsible for KS1 TA in a school or LA must comply with the following guidance to ensure that the external moderation process results in valid and accurate TA judgements. It should be used alongside the [KS1 assessment and reporting arrangements](#)<sup>7</sup>.

LAs are required, on behalf of the Secretary of State for Education, to validate a sample of KS1 TA judgements in English reading, English writing and mathematics. LAs must ensure all schools that they are responsible for are moderated once every 4 years, or more frequently if required. Every year, LAs should ensure an equal spread of schools and academies are externally moderated. This should include at least 25% of LA maintained schools, plus 25% of academies and participating independent schools that are included in the LA's external moderation provision. Participating independent schools should be moderated by the LA in the first year that they opt in then every 4 years thereafter.

Academies using a non-geographical LA, and all participating independent schools wishing to compare their data, are responsible for confirming their choice of LA external moderation provider to STA by the dates listed in section 3. If this deadline is not met, independent schools may not receive test materials. Academies and participating

---

<sup>7</sup> [www.gov.uk/government/publications/2019-key-stage-1-assessment-and-reporting-arrangements-ara](http://www.gov.uk/government/publications/2019-key-stage-1-assessment-and-reporting-arrangements-ara)

independent schools are treated in the same way as maintained schools in the external moderation process.

## **8.2 Local agreements**

External moderation arrangements that are communicated to schools by LAs and that lie outside the scope of this document are by local agreement only and must be clearly stated as non-statutory. Local agreements are in addition to and do not replace statutory guidance.

Local agreements should be drawn up in consultation with, and with the agreement of, all stakeholders and revised annually. A local agreement should be signed by both the LA and school however, schools that do not want to enter into a local agreement can instead ask the LA to revert back to the statutory moderation arrangements. All schools with a local agreement with the LA should have a written copy of this agreement.

LAs should not charge maintained schools an additional fee for any appeals submitted by the school, following changes to judgements during an external moderation visit. These costs are included as part of funding paid to LAs for statutory moderation activities.

For appeals submitted by academies, and independent schools that opt into moderation, these costs should be agreed as part of the initial agreement between the school and LA.

## **8.3 Process**

LAs must tell schools on, or after, Friday 15 May 2020 if they are going to be moderated. LAs must give at least 2 school days' notice of an external moderation visit and let the school know who will be attending. Visits will take place between Tuesday 2 June and Thursday 25 June 2020 and should not involve any teachers working outside normal school hours.

STA does not require LAs to ask schools for pupil data in advance of an external moderation visit. During the visit, we would expect details of pupils within the cohort to be provided, categorised by standard and subject.

In the majority of cases, STA would expect only one LA external moderator per visit. However, if the school has a large cohort, the LA external moderator is being quality assured, or the visit forms part of moderator induction, there may be additional LA external moderators conducting the visit. The school must be made aware of this in advance of the visit.

The LA external moderator will visit the school to review work from a representative sample of pupils from the cohort. The sample chosen by the LA must include pupils assessed at all the standards within the TA frameworks, across the cohort. This does not include pupils working within the pre-key stage standards (PKS) or P scales.

To confirm that a pupil within the sample has met the specified standards within the TA frameworks, the LA external moderator must review the presented pupil's work and hold a professional discussion with the year 2 teacher.

The pupil's work must show that they consistently demonstrate attainment in line with the wording of the pupil can statements within the standard they have met, taking account of any qualifiers. This does not mean that the pupil must demonstrate the pupil can statements 100% of the time. Pupils are likely to have improved over the course of the year and may make occasional mistakes with something that the teacher knows they are actually secure in.

In all subjects, when making a decision that a pupil consistently demonstrates the pupil can statements within a standard, teachers are expected to exercise their professional judgement. They should be prepared to discuss this with the LA external moderator, with reference to the pupil's work.

In English writing, while teachers must assess their pupils against all aspects of the frameworks, they can exercise professional judgement to determine that a pupil has met a standard overall. Despite a particular weakness, which might relate to a part or whole of a statement or statements. Such judgements about a pupil's overall attainment will be evident in their classroom work, and the teacher should be able to use this to justify their decision during moderation.

The teacher and LA external moderator must be confident that the pupil meets all the pupil can statements in the preceding standard, but there is no requirement to produce specific evidence for this. Pupils' work that demonstrates they meet a standard is sufficient to show they are working above any preceding standards.

LAs should refer to the KS1 exemplification materials if guidance is required when undertaking an external moderation visit.

If the evidence from pupils' work is insufficient to support teachers' judgements, the LA external moderator will request to see other examples and, potentially, will expand the sample. Following this, if the lack of evidence to support TA judgements is systematic, the LA moderator must report this to STA as maladministration by contacting the national curriculum assessments helpline on 0300 303 3013.

## 8.4 Preparing for an external moderation visit

The best way for a school to prepare for an external moderation visit, is to have robust internal assessment processes. These should be based on teachers' understanding of the TA frameworks, and collaboration with other schools.

LAs must:

- confirm arrangements with schools regarding the process and location (if held at a venue other than the school)
- ensure visits take place within school working hours
- ensure that, where external moderation takes place at a venue other than the school, all statutory requirements for a school visit are in place
- give schools at least 2 school days' notice of an external moderation visit
- decide how many LA external moderators are appropriate for each visit, depending on the size of cohort, quality assurance, training processes and resources available
- clearly communicate with the school the number of LA external moderators that will be attending, who they are, and their role in the external moderation process (the school must be aware of this at least 2 school days in advance of the meeting)
- ensure that any additional LA arrangements are communicated as non-statutory, in the form of a written local agreement
- ensure that the school is aware of the appeals process

Schools must ensure that:

- judgements against the TA frameworks for the cohort are available for external moderation categorised by standard and subject, and should also subject them to internal moderation prior to an LA external moderation visit
- evidence of pupils' work is available for external moderation, in order to demonstrate attainment of the 'pupil can' statements at the standard the pupil has been judged to have met—this should be in the form of day-to-day work

## 8.5 During an external moderation visit

LA external moderators must:

- ensure that all individuals present at the external moderation visit are aware of each other's roles and responsibilities, especially when more than one LA external moderator is present
- ensure that a clear timetable is agreed before the visit, including when teachers are required and when they can be released
- select an initial representative sample of 10% of pupils from across the cohort or, in the case of a single class, a minimum of 3 pupils per subject (this applies to pupils working above PKS and P scales)
- select different pupils for each subject (English reading, English writing and mathematics), to allow the sample to cover as many different pupils as possible
- review evidence for each pupil in the sample against the pupil can statements from the TA frameworks within the standard they have met
- hold a professional discussion with year 2 teachers to understand how the TA judgements have been reached and to discuss any gaps in evidence against the TA frameworks
- provide the opportunity for year 2 teachers to articulate their understanding of the standards, as set out in the TA frameworks
- be satisfied that pupils' work is independent by using the criteria in this document (see sections 5 and 6)—if a pupil has received additional support, this should be clarified by the school
- request additional evidence and expand the sample if there is insufficient evidence or concern about the accuracy of a judgement—in certain cases, the sample may be expanded to include the whole cohort
- ensure they refer the school to the LA's appeals process if any judgements have been amended
- report the school to STA's maladministration team via the national curriculum assessments helpline on 0300 303 3013, if they are unable to validate judgements due to a systematic lack of evidence
- not dictate what schools' evidence should look like or how it is presented for an

external moderation visit—in particular, LAs should not expect portfolios or checklists of evidence

LAs should refer to the KS1 exemplification materials if guidance is required when reviewing evidence.

Schools must:

- ensure that the LA external moderators have a quiet area to conduct the external moderation visit
- meet requests from the LA external moderators for samples of pupils' day-to-day classwork or any other information reasonably required, including the pupils' KS1 test papers
- ensure that evidence demonstrates each of the pupil can statements within the standard at which pupils have been judged
- ensure that year 2 teachers are released for all, or part of, the visit for a professional discussion of the evidence presented
- encourage teachers to draw upon examples of pupils' work from across the curriculum to support their judgements, although work in the subject being assessed may produce the depth of evidence required
- identify independent work, and clarify the degree of support a pupil has received

## 8.6 The professional discussion

The professional discussion between the year 2 teachers and LA external moderator is essential and should be central to the process. This allows the teacher to talk through their judgements, using evidence to support their decision and to articulate their understanding of the standards.

It should provide a shared understanding of how judgements have been reached and the opportunity to discuss any gaps in evidence against the TA frameworks.

Evidence will consist of:

- examples of pupils' work
- KS1 tests
- teachers' knowledge of their pupils

When a teacher deems that a pupil meets a standard in English writing despite a particular weakness, the moderators should scrutinise whether there was good reason to reach this judgement. That simply means that, through a professional discussion, it is clear that the pupil's weakness is an exception to their overall attainment, and that the standard at which they are being judged has been convincingly met.

## **8.7 Re-moderation**

Re-moderation only applies where pupils have the potential to meet the next standard before the deadline for data submission. It is not a method of further moderation to avoid appeals, nor is it part of the appeals process. At the time of the external moderation visit, there may be pupils who have not yet demonstrated a small number of the pupil can statements for the next standard and have the potential to meet it. If the school and the LA external moderator agree that these pupils will be able to consistently demonstrate the relevant knowledge or skills after the external moderation visit, but before the deadline for TA data submission of Thursday 25 June 2020, then re-moderation can be undertaken. The LA's record of the visit should clearly set out the next steps for these identified pupils.

If all of the schools' TA judgements were accepted in full by the LA external moderator, any pupils that the school and the LA external moderators agree will be re-moderated can have evidence internally moderated by the school without the need for an LA review of evidence. This also applies to pupils outside of the representative sample, which must be agreed by the school and the LA, as described in section 8.9.

If the schools' TA judgements were not fully accepted by the LA external moderator, any pupils that the school and the LA external moderator agree will be re-moderated, must have evidence reviewed by the LA before final submission of the TA data. This also applies to pupils outside of the representative sample, which must be agreed by the school and the LA, as described in section 8.9.

Re-moderation dates need planning in advance by LAs—most moderators are teachers who may need to be involved in any re-moderation. In advance of the external moderation visit, schools need to be aware of these dates so that they can make plans if the teachers need to be out of school.

## **8.8 End of an external moderation visit**

LA external moderators must:

- provide formal feedback to the headteacher or a representative of the senior leadership team
- explain how the LA will carry out any agreed re-moderation of evidence

They must provide the school with the LA's completed record of the visit, which includes:

- the agreed, validated judgements for all moderated pupils
- any revised judgements if the LA external moderators deem that evidence for the standard a pupil was judged to have met was insufficient, including the implications for similar judgements made for pupils outside the sample
- any revised judgements if the LA external moderators considered the pupil to be working at a higher standard, including the implications for similar judgements made for pupils outside the sample
- any decisions that the school intends to appeal
- any concerns that require further action by the school or LA, such as a re-visit
- any details of next steps for those pupils the school and LA agreed have the potential to meet the next standard before the TA data submission deadline and will be re-moderated

The record of the visit must be signed by the headteacher (or representative) and the LA external moderator.

At the end of the moderation visit, schools must:

- ensure that the headteacher or representative is available to meet with the LA external moderators to receive formal feedback and to sign the written record of the visit
- ensure that any changes to TA judgements as a result of an external moderation visit are accurately reflected in their submitted TA data

## **8.9 Pupils outside the moderation sample**

When moderating, the focus is on pupils who are part of the moderation representative sample. The sample is indicative of the rest of the cohort's judgements. Since moderation is about ensuring the accuracy of the teacher's judgements and their understanding of

the standards, the judgements made for the pupils in the moderation sample will always have implications for similar judgements made for pupils outside that sample.

If the LA and school agree any pupils outside of the sample have the potential to meet the next standard before the deadline for data submission and all of the school's TA judgements were accepted in full by LA external moderators, the school can internally moderate evidence for these pupils.

If the LA and school agree any pupils outside of the sample have the potential to meet the next standard before the deadline for data submission and all of the school's TA judgements were not fully accepted by the LA external moderator, the LA must review the evidence for these pupils before the final submission of the TA data.

Where issues are identified in application of the standards, and the moderator makes changes to standards awarded to pupils in the sample, the moderator and teacher will need to have expanded the sample in order to have discussed, but not necessarily reviewed in detail, the evidence for any similar pupils in the cohort.

Any potential changes to judgements between the moderation visit and the TA data submission (including re-moderation as outlined in section 8.7), must be recorded on the LA record of visit. If this only affects a small number of pupils, each pupil's unique pupil number (UPN) can be recorded, but when there is a larger number, the moderator could simply record the number of pupils where a change might be made.

## 9. Appeals

There is a clear expectation that the process for undertaking the external moderation visit, including addressing any disagreement on the standards awarded, will be clearly defined before the visit is undertaken. Where consensus on the accuracy of assessments cannot be reached, each LA must have an appeals process for schools which, after escalation within the LA, includes a second external moderation visit or review by a different LA.

LAs must:

- make schools aware of the LA's appeals process
- ensure that LA external moderator refer to the LA's appeals process during the external moderation visit, if any judgements have been amended
- include details of an independent review by the LA and arrangements for a different LA to conduct either a second external moderation visit, or a review of evidence in their appeals process
- not charge schools for any appeals submitted, as these costs are covered by funding received by LAs for maintained schools – all costs should be covered in agreements made between LAs and academies or participating independent schools for moderation activities
- ensure that any appeal is conducted with due regard to confidentiality and by staff that have been STA approved to moderate

Schools must:

- provide evidence to the LA to support any appeal before it is processed—the evidence can only be based on that seen by the external moderator during the LA external moderation visit

## 10. Data submission

Schools must:

- submit accurate TA data to the LA by Thursday 25 June 2020
- if selected for external moderation, not submit their data until after the visit has taken place
- only re-submit data to the LA after Thursday 25 June 2020, when required to do so by STA or the LA—if authorisation is not provided, it will be investigated as maladministration and STA should be informed via the national curriculum assessments helpline on 0300 303 3013

LAs must:

- have a defined data validation process, using local intelligence to investigate any unexpected pattern of attainment for any school
- have a process which ensures that all pupil evidence provided for re-moderation is reviewed by the LA and that only the LA can confirm the final TA judgement for that pupil (this process is not to be used if the school is allowed to re-moderate without LA review)
- have a process to analyse submitted TA data to check that it matches external moderation decisions—this should be in partnership with any nominated non-geographical LA
- not shorten the moderation window by requesting TA data prior to midday on Thursday 25 June 2020
- escalate any concerns about the integrity of the assessments to STA’s maladministration team via the national curriculum assessments helpline on 0300 303 3013
- submit TA data by Friday 24 July 2020, if they are submitting on behalf of their schools

If the school is appealing against the LA’s decision, the escalation to STA must include details of the appeal.

# 11. Local authority management of the external moderation process

## 11.1 Local authority responsibilities

LAs must:

- be accountable to STA (on behalf of the Secretary of State for Education) for delivery of their statutory duties in relation to external moderation of KS1 TA and, if chosen for the 2019/20 academic year, comply with requirements for an STA external moderation visit
- have a named, accountable LA officer who is strategically responsible for planning, implementing and quality assuring external moderation of KS1 TA
- provide STA with the contact details for the accountable officer and external moderation manager and make sure STA is updated with any changes. If the roles are held by the same individual, details of a senior LA manager or director must be provided to STA
- complete a short survey by Friday 28 August 2020, detailing the names of the moderation manager and strategic lead
- have a full internal plan that details how the LA will deliver its statutory duties for external moderation of KS1 TA—the plan must address any concerns that arose from the 2019 external moderation process and if selected for external moderation, this must be submitted to STA no later than Friday 13 March 2020
- base their sample of schools for external moderation on their local intelligence

Although LAs should be mindful of schools being selected repeatedly, triggers for external moderation may include:

- new teaching staff
- new senior leadership team
- schools with a year 2 cohort for the first time
- Ofsted concern
- unusual patterns of attainment

- date and outcome of last external moderation visit
- concern relating to the 2018/19 assessment cycle, including maladministration

LAs must also:

- ensure academies and participating independent schools that have opted into their externally-moderated provision are included at least once every 4 years, or more frequently if required (any academy changing their previously chosen LA provider must give the new provider a copy of the outcomes of their most recent external moderation visit)
- maintain an accurate record of external moderation visits, including the reasons for each visit
- ensure their external moderators do not visit schools where they have a potential or perceived conflict of interest

## 11.2 Recruitment of local authority moderators

LAs must recruit an external moderation team with appropriate and recent experience of KS1. They must also train and quality assure LA external moderators so that external moderation is delivered consistently and accurately against the standards within the TA frameworks. Moderation visits must be conducted impartially and any conflict of interest must be managed.

All LA external moderators must:

- be qualified teachers, with recent and relevant experience of KS1 assessment and internal or external moderation
- successfully complete the STA standardisation process for moderation of KS1 writing

Be able to:

- systematically review evidence against the TA frameworks and adhere to STA guidance
- manage a professional discussion with teachers about the evidence presented and how a pupil's work meets the standard
- where appropriate, discuss and explain why a school's TA judgements cannot be validated
- provide accurate written and verbal feedback to the teacher and headteacher



Standards  
& Testing  
Agency

© Crown copyright 2019

This publication (not including logos) is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated. Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

To view this licence:

visit [www.nationalarchives.gov.uk/doc/open-government-licence/version/3](http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3)

email [psi@nationalarchives.gsi.gov.uk](mailto:psi@nationalarchives.gsi.gov.uk)

write to Information Policy Team, The National Archives, Kew, London, TW9 4DU

About this publication:

enquiries [www.education.gov.uk/contactus](http://www.education.gov.uk/contactus)

download [www.gov.uk/government/publications](http://www.gov.uk/government/publications)

Reference: STA/20/8487/e

978-1-78957-458-6



Follow us on Twitter:  
[@educationgovuk](https://twitter.com/educationgovuk)



Like us on Facebook:  
[facebook.com/educationgovuk](https://facebook.com/educationgovuk)