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## Guidance

# Key stage 1 teacher assessment guidance

Updated 2 November 2021

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## 1. Summary

This guidance has been produced to help schools and local authorities (LAs) understand the statutory requirements for teacher assessment (TA) in 2021/22, under [The Education \(National Curriculum\) \(Key Stage 1 Assessment Arrangements\) \(England\) Order 2004](#). It also provides non-statutory guidance to support assessment processes that are both rigorous and proportionate.

### 1.1 Review date

- 8. [External moderation](#)
- 9. [Appeals](#)
- 10. [Data submission](#)
- 11. [Local authority management of the external moderation process](#)

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This guidance is for the 2021/22 academic year.

## 1.2 Who is this publication 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 expands on section 9 of the [KS1 assessment and reporting arrangements](#). It supports schools in making statutory TA judgements for pupils at the end of key stage 1 (KS1), and schools and LAs in undertaking statutory moderation of these judgements.

# 2. Changes for 2021/22

## 2.1 Key stage 1 assessments

All existing statutory KS1 assessments will return in 2021/22, following their usual timetable.

This includes the:

- end of KS1 assessments (including the engagement model)
- phonics screening check
- statutory trialling

If any changes are needed due to unprecedented circumstances beyond STA's control, schools will be informed at the appropriate time.

## 2.2 Science teacher assessment

In 2022, schools will need to make and submit TA judgements for pupils working at the standard of the national curriculum assessments in science.

## 2.3 Pupils working below the standard of national curriculum assessments and not engaged in subject-specific study

Schools must use [the engagement model](#) to assess pupils working below the standard of national curriculum assessments and not engaged in subject-specific study at KS1.

The engagement model is a new TA tool that replaces P scales 1- 4. It is statutory from September 2021.

## 2.4 STA monitoring of LA moderation

In previous years, STA visited a sample of LAs during the TA moderation period, to monitor their moderation procedures. STA will no longer do this. STA will provide online moderator training and LA moderators will be expected to successfully complete a standardisation exercise in order to gain approval to moderate annually.

## 2.5 D Code

The 'D' code originally used to record where a pupil was 'disapplied' has been withdrawn.

# 3. Important dates for 2021/22

Date	Activity
Monday 1 November 2021	Online TA moderator training on English writing added to the Primary Assessment Gateway.
Monday 29 November to Friday 3 December 2021	Completion period for KS1 2021/22 standardisation exercise 1 for moderation managers/lead moderators.

Friday 19 November 2021	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 KS1 TA. Academies not using their geographical LA must also have confirmed their chosen LA on the Primary Assessment Gateway.
Friday 10 December 2021	Commentaries for exercise 1 available on the Primary Assessment Gateway.
Friday 10 December 2021	Deadline for participating independent schools to report to STA on the Primary Assessment Gateway that they have a written agreement in place with an LA that will monitor their KS1 tests and complete external moderation of their KS1 TA.
Monday 24 January to Friday 28 January 2022	Completion period for standardisation exercise 2 for pool moderators (and any moderation managers/lead moderators who did not successfully complete exercise 1).
Friday 4 February 2022	Commentaries for exercise 2 available on the Primary Assessment Gateway.
Monday 28 February to Friday 4 March 2022	Completion period for standardisation exercise 3 for pool moderators who did not successfully complete exercise 2.
Friday 11 March 2022	Commentaries for standardisation exercise 3 available on the Primary Assessment Gateway.
Friday 13 May 2022	LAs begin informing schools if they will receive an external moderation visit for TA.
Monday 6 June to Tuesday 28 June 2022	LAs undertake external moderation of KS1 TA.
Tuesday 28 June 2022	Deadline for schools to submit KS1 TA data to LAs.
Friday 22 July 2022	Deadline for LAs to submit phonics screening check and KS1 TA data to DfE using COLLECT.
Friday 26 August 2022	Deadline for LAs to confirm details of their moderation manager and strategic leads for 2022/23 to STA.

These dates may be subject to change.

## 4. The purposes of assessment

## 4.1 Different forms of assessment

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
- statutory summative assessment – to understand pupil performance in relation to national expectations and comparisons

A school's assessment policy forms the basis of a teacher's judgements about what pupils know and can do. This will provide the evidence needed for teachers to make statutory judgements against the TA frameworks. These judgements are designed only to report an outcome to the Department for Education (DfE) at the end of the key stage.

Statutory TA helps teachers and parents understand what a pupil can do, in relation to national expectations. It enables the government to hold schools to account for the education they provide. However, pupils will have a wider range of knowledge and skills than those covered by statutory assessment. This may be evident through other forms of assessment that take place at school, which 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](#).

## 4.2 Data and teacher workload

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

# 5. Making teacher assessment judgements

## 5.1 What teachers must assess

Teachers must make their TA judgements using the:

- [TA frameworks](#) in English reading, English writing, mathematics and science – for pupils who have completed the KS1 programmes of study and are working at the standard of national curriculum assessments
- [Pre-key stage standards](#) in English reading, English writing and mathematics – for pupils who are working below the standard of national curriculum assessments and are engaged in subject-specific study, or who have not completed the relevant programme of study
- [Engagement model](#) if a pupil is working below the standard of national curriculum assessments and is not yet engaged in subject-specific study

See section 9 of the [KS1 assessment and reporting arrangements](#) for further details.

## 5.2 ‘Pupil can’ statements

‘Pupil can’ statements are performance indicators. They 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 for each framework 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:

- ‘Most’ indicates that the statement is generally met with only occasional errors
- ‘Many’ indicates that the statement is met frequently but not yet consistently
- ‘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 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 if they choose (see section 5.4).

## 5.3 Evidence

While the teacher’s knowledge of pupils can inform judgements, they must be based on sound and demonstrable evidence. This ensures that judgements are

as objective as possible, and consistent between classes and schools.

Evidence should come from day-to-day work in the classroom and can be drawn from a variety of sources. The type of evidence may vary for different schools, classes and pupils. A pupil's workbook will often have all the evidence a teacher needs, but evidence might come from 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, providing it meets the requirements of the frameworks.

Teachers should avoid excessive evidence gathering. The frameworks make it 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
- 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 though they are not required to have specific evidence for that judgement
- 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
- 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 but, where possible, should draw on assessment judgements that were made by year 1 teachers in determining

whether the pupil has grasped that science content.

Tests can be a useful indicator of a pupil's overall attainment. Depending on the subject and statement, this evidence might not be sufficient on its own:

- 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
- 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)

## 5.4 Exemplification

[Exemplification materials](#) may assist teachers when they are using the statutory frameworks to make judgements. Teachers can use the materials to help make 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 like the examples in these documents.

## 5.5 Moderation

Moderation allows teachers to benchmark judgements, while ensuring consistent standards and reliable outcomes. In the context of 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 undertaken throughout the academic year and normally with colleagues across key stages. This supports the quality assurance of TA judgements and provides a valuable opportunity for professional development.

LAs conduct statutory external moderation of English writing outcomes. They are



required to externally moderate at least 25% of schools every year. These schools have a sample of their English reading, English writing and mathematics outcomes moderated by LAs. This is to validate judgements and ensure they are consistent with national standards (see section 8).

## **6. Assessing English writing**

### **6.1 A more flexible approach**

The approach to English writing TA is different from other subjects. This difference reflects the nature of the subject and that a degree of subjectivity 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 '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. If a pupil is judged to have a particular weakness, a teacher's professional judgement about whether the pupil has met the standard overall takes precedence over the need for the pupil to meet all 'pupil can' statements. This does not mean that a teacher's professional judgement takes precedence over that of a moderator. Teachers must be able to justify their decisions with evidence 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 a dictionary or thesaurus, 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 because 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 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 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](#) to exemplify 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 every example of the common exception words. Teachers should assess the words that pupils do use, referring to the 'pupil can' statement's (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 from 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. The teacher can then verify that the pupil is 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](#) includes 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 a visual impairment because they cannot read back their handwriting. Teachers should ensure that all pupils can demonstrate attainment with reasonable adjustments in place, but the standard 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.

## 8. External moderation

LAs should plan their moderation arrangements in 2022, but in accordance with government advice and Public Health England guidance. If the moderator does not meet with the teacher in person, they must satisfy themselves that the teacher's judgements are accurate and consistent with national standards. This means the moderator must be able to:

- check pupils' work
- hold a professional discussion with the year 2 teacher
- expand the sample, if needed

LAs not using a face-to-face model should be careful not to impose additional burdens on schools and must comply with GDPR when pupils' work is shared.

### 8.1 Overview

As detailed in section 9.6 of the [KS1 assessment and reporting arrangements](#) LAs are required, on behalf of the Secretary of State for Education, to validate a sample of KS1 TA judgements in English writing. External moderation is used to confirm that KS1 English writing TA judgements are accurate and consistent with national standards. This ensures that schools are assessing accurately, and the system is fair to all pupils.

External moderation is a collaborative process between the LA's 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.

## **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. Schools that do not want to enter into a local agreement can instead ask the LA to revert to the statutory moderation arrangements. All schools with a local agreement should have a written copy of this agreement from the LA.

LAs should not charge maintained schools an additional fee if they submit appeals, 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 participating independent schools, these costs should be agreed as part of the initial agreement between the school and LA.

## **8.3 Preparing for an external moderation visit**

Moderation visits will take place between Monday 6 June and Tuesday 28 June. They should not involve any teachers working outside normal school hours.

### **Local authorities**

LAs must tell schools on, or after, Friday 13 May 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. In most cases, STA would

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

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 the standard awarded.

LAs must:

- confirm arrangements with schools including the process, date and location (if held at a venue other than the school)
- ensure that, if external moderation takes place at a venue other than the school or is not conducted face to face, all statutory requirements for a school visit are in place
- conduct any school visits in accordance with government advice and Public Health England guidance
- 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**

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, where possible.

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, 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

## **8.4 During an external moderation visit**

The LA moderator will review work from a representative sample of pupils from the cohort. The sample chosen by the LA must include a selection of pupils assessed at all standards within the TA frameworks. This does not include pupils working within the pre-key stage standards, or pupils assessed using the engagement model.

## **Local authorities**

LA 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 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 pre key stage standards)
- 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
- not dictate what schools' evidence should look like or how it is presented – in particular, LAs should not expect portfolios or checklists of evidence
- 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 (see section 8.5)
- 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 sections 5 and 6 – if a pupil has received additional support, this should be clarified by the school
- ensure they refer the school to the LA's appeals process if any judgements have been amended

LAs may refer to the KS1 exemplification materials if further guidance is required when reviewing evidence. If the evidence from pupils' work is not sufficient to support the teachers' judgements, the LA 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.

## **Schools**

Schools must:

- ensure that LA moderators have a quiet area to conduct the external moderation visit
- meet requests from LA moderators for samples of pupils' day-to-day classwork or any other information reasonably required
- 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

## **8.5 The professional discussion**

To confirm that a pupil within the sample has met the specified standards within the TA frameworks, the LA moderator must review the pupil's work and hold a professional discussion with the year 2 teacher. This professional discussion is essential and should be central to the process. It allows the teacher to talk through their judgements, using evidence to support their decisions 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.

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' statement all 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 secure in.

While teachers must assess their pupils against all aspects of the English writing frameworks, they can exercise professional judgement to determine that a pupil has met a standard overall. When a teacher deems that a pupil meets a standard in English writing despite a particular weakness, the moderator 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.

## **8.6 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 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 Tuesday 28 June, then re-moderation can be undertaken. The LA's record of the visit should clearly set out the next steps for these pupils.

If a school's TA judgements are accepted in full by the LA moderator, any pupils who the school and the moderator 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 (see section 8.8).

If the school's TA judgements are not fully accepted by the LA moderator, any pupils who the school and the moderator agree will be re-moderated must have evidence reviewed by the LA before submission of the TA data. This also applies to pupils outside of the representative sample (see section 8.8).

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

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

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

- formal feedback to the headteacher or a representative of the senior leadership team
- the agreed, validated judgements for all moderated pupils
- any revised judgements if the LA moderator deemed 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 moderator 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
- details of next steps for any 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 moderator. At the end of the moderation visit, schools must:

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

## 8.8 Pupils outside the moderation sample

When moderating, the focus is on pupils who are part of the representative sample. The sample is indicative of the rest of the cohort's judgements. Moderation is about ensuring the accuracy of the teacher's judgements and their understanding of the standards. Therefore, judgements made for pupils in the moderation sample will always have implications for similar judgements made for pupils outside that sample.

Where issues are identified in application of the standards, the moderator will make changes to standards awarded to pupils in the sample. The moderator and teacher will need to have expanded the sample 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 8.6), 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

The process for undertaking the external moderation visit, including addressing any disagreement about the standards awarded, should be clearly defined before the visit is undertaken. Where consensus on the accuracy of assessments cannot be reached, each LA must have appeal arrangements 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 their appeal arrangements
- ensure that LA moderators refer to the appeals process during the external moderation visit, if any judgements have been amended
- not charge schools for any appeals submitted (see section 8.2)
- ensure that any appeal is conducted with due regard to confidentiality and by staff who have been approved by STA 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 LA moderator during the external moderation visit

# 10. Data submission

Schools must:

- submit accurate TA data to the LA by Tuesday 28 June
- not submit their data until after the external moderation visit has taken place (if selected)
- only re-submit data to the LA after Tuesday 28 June, 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 patterns of attainment
- 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 Tuesday 28 June
- escalate any concerns about the integrity of the assessments to STA via the national curriculum assessments helpline on 0300 303 3013
- submit KS1 TA data to DfE by Friday 22 July

## 10.1 Teacher Assessment Codes

The 'D' code, originally used to record where a pupil was 'disapplied' from the national curriculum assessments, has been withdrawn for KS1 TA from 2021/22. The code has been superseded by other codes covering the specific reasons for non-participation in the assessments.

For KS1 TA, a valid code is required in all subjects. The table below shows the different codes that can be used to submit TA, including a description of each code.

Key Stage 1	Available Codes
English reading	GDS, EXS, WTS, PK4, PK3, PK2, PK1, EM, A
Mathematics	GDS, EXS, WTS, PK4, PK3, PK2, PK1, EM, A

English writing GDS, EXS, WTS, PK4, PK3, PK2, PK1, EM, A

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Science EXS, HNM, A

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<b>Code</b>	<b>Description</b>
GDS	Working at greater depth
EXS	Working at the expected standard
WTS	Working towards the expected standard
HNM	Has not met the expected standard
PK4	Pre-key stage standard 4
PK3	Pre-key stage standard 3
PK2	Pre-key stage standard 2
PK1	Pre-key stage standard 1
EM	Working below the level of the national curriculum and not yet engaged in subject-specific study
A	Absent for long periods, recently arrived, or not enough information to provide a TA judgement

## 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
- 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 of 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)
- 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 previously identified areas for development (either through a lessons learnt process or from an external moderation visit)

- 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 before any local disruption caused by coronavirus
- date and outcome of last external moderation visit

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 (excluding 2020 and 2021), or more frequently if required – any school changing LA providers 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 train and quality assure 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 conflicts of interest must be managed.

All LA 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 English writing

They must also 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

- discuss and explain why a school's TA judgements cannot be validated, where appropriate & provide accurate written and verbal feedback to the teacher and headteacher

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