

Education Improvement Service  
Moderation Handbook  
February 2017



# Moderation handbook 2016-17

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## Introduction

**The Standards & Testing Agency (STA)** is an executive agency within the Department for Education. It is responsible for the development and delivery of all statutory assessments from early years to the end of key stage 2. STA documents explain statutory requirements and guidance for assessment and reporting arrangements, including external moderation.

For full details please refer to <https://www.gov.uk/government/organisations/standards-and-testing-agency>

### 2017 ARA and moderation guidance documents:

#### 2017 EYFS ARA

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/574605/2017\\_EYFS\\_ARA\\_v2.2.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/574605/2017_EYFS_ARA_v2.2.pdf)

#### 2017 EYFS Handbook

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/564249/2017\\_EYFS\\_P\\_handbook\\_v1.1.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/564249/2017_EYFS_P_handbook_v1.1.pdf)

#### 2017 EYFS Moderation essential requirements and effective practice

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/575098/Mod\\_reqnts\\_effective\\_practice\\_for\\_LAs\\_v1.3.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/575098/Mod_reqnts_effective_practice_for_LAs_v1.3.pdf)

#### 2017 Key stage 1 ARA

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/561720/2017\\_KS1\\_ARA\\_v1.0.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/561720/2017_KS1_ARA_v1.0.pdf)

#### 2017 Key stage 1 Teacher assessment external moderation

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/564794/KS1\\_TA\\_moderation\\_2017\\_-\\_final.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/564794/KS1_TA_moderation_2017_-_final.pdf)

#### 2017 Key stage 2 Teacher assessment external moderation

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/564258/KS2\\_writing\\_TA\\_moderation\\_2017\\_-\\_final.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/564258/KS2_writing_TA_moderation_2017_-_final.pdf)

#### 2017 Key stage 2 ARA

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/561723/2017\\_KS2\\_ARA\\_v1.0.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/561723/2017_KS2_ARA_v1.0.pdf)

You are advised to use the online versions to ensure that you have the most up to date information

**See appendix 2 STA documents for related guidance and information:**

## The moderation process

Moderation is an integral part of assessment ensuring that standards of assessment in EYFSP, reading, writing and mathematics at KS1, and writing at KS2, are consistent among teachers, schools and LAs and that they are maintained from year to year. External moderation visits are only one part of the assessment process. It is important for schools to engage fully with each stage of the process to ensure that their teacher assessment is accurate and in line with national standards.

Moderation as a whole includes:

Component	Description
Ongoing assessment (formative)	Teachers make day-to-day professional judgements on children's progress and attainment to inform next steps in learning.
Standardisation	A professional development activity where teachers secure their understanding of national standards. Where there are differences, teachers must review their judgements and align them with national standards.
Teacher assessment	Following standardisation, teachers make informed judgements about children's summative attainment against national standards. Teachers must base their teacher assessment judgement on a broad range of evidence across the curriculum for each pupil.
School/cluster moderation	<p>With colleagues, teachers use national standards and exemplification materials to review a selection of the judgements and supporting evidence to check their accuracy and consistency. Disagreement must be resolved to ensure that all judgements are in line with national standards and may require revisiting all previous teacher assessment judgements.</p> <p>The interim TA frameworks only cover key aspects of assessment within Y2 and Y6. These will be used for external moderation purposes. For other year groups, teachers will need to refer to national curriculum programmes of study.</p>
External LA moderation	<p>Visits by LA external moderators to review teachers' judgements across the range of attainment to ensure that teacher assessments are accurate and in line with national standards.</p> <p><i>If judgements are not validated by the external moderator, the moderator will explain what needs to be done to ensure the judgements are valid. Any changes to data will need to be resubmitted. The school must not resubmit TA data after the deadline without the authorisation from STA or the LA.</i></p>

## EYFS moderation

It is a statutory requirement that 25% of settings, assessing against the Early Years Foundation Stage Profile, receive a moderation visit. Moderation training is available to all settings with F2 (reception) children through the EYFS moderation meetings held in the summer term. Moderation meetings this year will take place on the afternoons of the summer term networks.

12 <sup>th</sup> June 2017	1.00pm - 3.30pm	Edwinstowe House
13 <sup>th</sup> June 2017	1.00pm - 3.30pm	Edwinstowe House
14 <sup>th</sup> June 2017	1.00pm - 3.30pm	Edwinstowe House
15 <sup>th</sup> June 2017	1.00pm - 3.30pm	Basford Hall

As the meetings are no longer a statutory requirement, a charge of £75 will be made for attendance at these events. If delegates are attending the morning network, lunch will be provided. To book a place please contact [rebecca.mower@nottscc.gov.uk](mailto:rebecca.mower@nottscc.gov.uk)

### Selecting schools for a moderation visit

Each year the LA selects at least 25% of settings with F2 (reception) pupils for an external moderation visit, thus all schools will receive a visit at least once during each four year cycle. Schools may receive more than one visit in every four years due to the following considerations: where assessment is felt to be at particular risk of inaccuracy or there are other relevant circumstances, for example, a practitioner new to EYFS an NQT EYFS practitioner, leadership changes, Ofsted category or LA concern or where EYFS and KS1 assessments are inconsistent.

### Preparing for the moderation visit

Schools selected for an LA external moderation visit will be notified on the 24<sup>th</sup> March by email and first class post. Visits will take place in May and June 2017.

Schools selected for an LA external moderation visit are required to attend a briefing session on the following dates in order to meet the moderator and make arrangements for their moderation visit.

<b>Ashfield Bassetlaw Mansfield Newark</b>	Edwinstowe House	24/04/2017	4.15pm – 5.15pm
<b>Broxtowe Gedling Rushcliffe</b>	Richard Herrod Centre	25/04/2017	

All practitioners involved in the moderation process should attend the meeting bringing with them a list of possible dates in May and June for the school visit when:

- all EYFS practitioners are available in school to meet with moderators for professional discussion of assessment of the ELGs and individual children's characteristics of learning
- the headteacher (and/or any other relevant school staff) will be available to meet moderators to offer formal verbal feedback at the end of the day.

### Preparation for the on-site visit:

Practitioners need to make interim judgements against all ELGs, complete a commentary about the Characteristics of Learning and provide the moderator with a list of the children's assessments

in all 17 ELGs. The list should not include children's full names, just initials and date of birth. The moderator will select the children for whom the judgements will be moderated from this list.

The LA external moderator will need to validate the judgements of all practitioners who have assessed children against the EYFSP.

The key to the moderation process is the professional discussion with the practitioners about their knowledge of the selected children. Therefore, please note that the moderator must meet with practitioners of the sample children who will be selected from all F2 (reception) classes. Arrangements must be made to release each practitioner during the visit. Ideally all practitioners involved will be released so they can be present throughout the visit. The school will need to provide its own supply cover as the changes to funding mean that the LA cannot cover these costs.

Practitioners should be able to justify their practitioner assessment judgements from evidence that is normally available from day-to-day teaching and learning. If LA external moderators have questions concerning the evidence to support a practitioner's judgement, they will discuss them with the practitioner. Moderators will provide verbal feedback to the practitioners.

Schools must ensure there is an opportunity for the LA external moderators to meet the headteacher (and any other relevant school staff) to offer formal verbal and written feedback at the end of the visit

**Please consider offering other school staff (including any year 1 representatives) the opportunity to observe the moderation visit as valuable professional development.**

### **The moderation visit**

The purpose of the visit is to ensure that the school's summative TA judgements are accurate and consistent with the national standards, and that TA judgments by all F2 (reception) class practitioners are accurate and consistent with the national standards.

Visits will usually take half a day.

The moderation sample will be selected on the day.

- In a single form entry school moderators will moderate 17 ELGs from one practitioner. The moderator will expect to see some 'expected', some 'emerging' and some 'exceeding' outcomes from across five children.
- In a multi-form entry school the moderator will ensure that all 17 ELGs are moderated across the sample from the school with at least one judgement at each of the three outcomes from each practitioner.

The professional discussion will start by looking at the child's characteristics of learning and will lead into the ELGs. Reference will be made to the exemplification materials.

Where there is insufficient evidence or concerns about the accuracy of the practitioners' judgements, moderators may request additional evidence.

In addition, during professional discussion with the practitioners, moderators will

- evaluate whole school assessment processes
- consider outcomes of internal moderation
- establish how schools undertake internal and cross-school/cluster moderation processes
- ensure practitioners are familiar with STA guidance materials – where appropriate moderators will reference these.

## Suitable evidence for moderation

There is no requirement to have formally recorded evidence or documentation. However, the following would be supportive;

- practitioner's knowledge of the children
- children's assessment including records tracking against development matters
- **completed** Foundation Stage Profiles for the children
- photographs or video of children's practical and recorded work and learning experiences
- evaluation comments on practitioner's planning
- any assessment made from practitioner's observations, (both focused and child initiated observations) ie on 'post-its', anecdotal significant moments or completed observation formats.

**Please note** that throughout this process, there is **no expectation** that the practitioner(s) needs to generate any further assessment documentation for this meeting.

## Completion of moderation visit

At the end of the visit, verbal and written feedback will be provided for the practitioner showing points for development and areas of concern.

The moderators will inform the headteacher or representative of the outcome of the external moderation visit, both verbally and in a written visit record including:

- whole school processes; where schools have an effective whole school approach to assessment, this will be recognised and reflected in feedback to the school.
- where the assessment is not in line with national standards, the moderators will inform the school of the action to be taken.

The completed LA visit record, detailing the practitioner and moderator judgements, which must be signed by the headteacher (or representative) and moderator will be returned to the LA moderation manager and a copy will be left in school.

## Data submission

Schools must submit practitioner assessment judgements as set out in the 2017 EYFS ARA, available at

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/574605/2017\\_EYFS\\_ARA\\_v2.2.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/574605/2017_EYFS_ARA_v2.2.pdf) by Friday 23rd June 2017

## KS1

**Please note that this moderation handbook does not replicate the statutory guidance for all schools outlined in the STA document 2017 teacher assessment external moderation: key stage 1 schools and local authorities. This section needs to be read alongside this document**

### Selecting schools for a moderation visit

Each year the LA selects at least 25% of its schools with key stage 1 pupils for an external moderation visit so all schools will receive a visit **at least** once during each four year cycle. Schools may receive more than one visit in every four years due to the following considerations: where assessment is felt to be at particular risk of inaccuracy or there are other relevant circumstances, for example, a teacher new to year 2, an NQT Y2 teacher, leadership changes, Ofsted category or LA concern or where KS1 and KS2 assessments are inconsistent.

The headteacher (or representative) is responsible for ensuring the accuracy of the teacher assessment (TA) judgements in their school. The best way for a school to prepare for a moderation visit is to have robust internal assessment processes, based on teachers' strong understanding of the interim TA frameworks and the national exemplification materials.

### National TA data submission date

Key stage 1 deadline: 29<sup>th</sup> June 2017

### Notification of visits

- Schools selected for an LA external moderation visit will be notified on 19<sup>th</sup> May 2017.
- Briefing meetings will be held

<b>Ashfield Bassetlaw Mansfield Newark</b>	Edwinstowe House	22/05/2017	4.15pm – 5.15pm
<b>Broxtowe Gedling Rushcliffe</b>	Richard Herrod Centre	24/05/2017	

- Moderators will make arrangements for visits at the briefing meetings
- Visits will take place between the 5<sup>th</sup> and the 29<sup>th</sup> June 2017 (see local agreement appendix 1).

Schools selected for an LA external moderation visit are asked to ensure that:

- All year 2 teachers attend the relevant briefing for their district.
- On the day of the visit all year 2 teachers are available in school to meet with moderators. Whilst there is no expectation that the school staff will need to be released for the whole visit the LA external moderator may wish to speak to school staff regarding any aspect of the evidence presented.
- The moderator receives a list of pupil teacher assessment judgements (working towards, working at, and working at greater depth) by class for reading, writing and mathematics in

advance of their visit, the list should not include children's full names, just initials and date of birth. **This is not a statutory requirement**, if a school chooses not to provide this information in advance the children for moderation will be selected on the day of the visit.

## During the external moderation visit

The purpose of the visit is to ensure that the school's summative TA judgements by all Y2 teachers are accurate and consistent with the national standards.

- Visits will usually take half a day.
- Moderators will select a **minimum sample of 10% across the cohort** or in the case of a single class, a minimum of three children for each of reading, writing and mathematics. Different pupils must be selected for each subject, reading, writing and mathematics. The sample will cover the full range of attainment in all classes (working towards, at the expected standard, at greater depth) - see table below

Size of cohort	Reading	Writing	Mathematics	Total Sample
30	3 pupils	3 pupils	3 pupils	9 pupils
60	6 pupils	6 pupils	6 pupils	18 pupils
90	9 pupils	9 pupils	9 pupils	27 pupils

- If the school has provided a list of judgements in advance of the visit the moderator will inform the school of sample children the day before the visit. If not the children will be selected on the day.
- Moderators will review evidence for each pupil in the sample against the 'pupil can' statements from the interim TA framework within the standard awarded (including any preceding standards).
- The LA external moderator(s) will review the presented pupil's work and hold a professional discussion with the year 2 teacher(s). This professional discussion is a key part of the moderation process, enabling teachers to articulate and present evidence for their judgements.
- Reference must be made to the interim teacher assessment frameworks
- Reference may also be made to the national exemplifications materials available at: <https://www.gov.uk/government/publications/interim-frameworks-for-teacher-assessment-at-the-end-of-key-stage-1>
- Moderators must be satisfied that pupils' writing is independent by using the criteria within the STA document.
- Where there is insufficient evidence or concerns about the accuracy of the teachers' judgements, moderators may request additional evidence.
- In addition, moderators will:
  - ~ evaluate whole school assessment processes
  - ~ consider outcomes of internal moderation
  - ~ establish how schools undertake internal and cross-school/cluster moderation processes and check that they are referencing the interim test frameworks and exemplification materials.

## Suitable evidence for moderation

- The LA will not dictate what schools' evidence should look like or how it is presented for an external moderation visit. We do not expect portfolios or checklists of evidence.
- Moderators will look for evidence against the statements from the interim teacher assessment frameworks. They will record that they have seen evidence against all the statements from the interim frameworks on the moderation form (Form A). To achieve the

standard evidence must show that the pupil demonstrates attainment of all of the 'pupil can' statements and all the statements in the preceding standard(s) (although there is no need to provide 'additional' evidence for these).

- Moderators will expect to see examples of children's independent work as well as work supported through direct modelling, use of prompts or guided group work.
- Evidence will clearly identify the degree of support a pupil has received.
- We encourage teachers to draw upon examples of pupils' work from across the curriculum to make their judgements.

### **Completion of visit**

- The moderators will inform the headteacher or representative of the outcome of the external moderation visit, both verbally and in a written visit record including:
  - whole school processes; where schools have an effective whole school approach to assessment, this will be recognised and reflected in feedback to the school
  - where the assessment is not in line with national standards, the moderators will inform the school of the action to be taken
- The completed LA visit record (Forms A and B), detailing the teacher and moderator judgements, which must be signed by the headteacher (or representative) and moderator, will be returned to the LA moderation manager and a copy left in school.
- If the school and the LA external moderators agree some pupils have the potential to meet the proposed standard before the data submission deadline, this will be indicated on the moderation visit form.

Note that:

- 1) if school TA judgements were accepted in full by the LA, the additional evidence must have been internally re-moderated by the school and submitted by the TA submission date, or
  - 2) if school TA judgements were not accepted in full by the LA, the additional evidence must be submitted to the LA for review prior to the TA submission date
- In scenario (2), any additional evidence should be sent directly to the moderator for them to agree the final judgement. The outcome will be confirmed on Form C. This process will not be used if the school is allowed to re-moderate without LA review, as in scenario (1).
  - Moderators will ensure schools are aware of the LA appeals procedures. Please note that the moderation manager must be notified of the school's intention to appeal on the day of the visit.

### **Data submission**

All headteachers (or representative) must comply with the Standards and Testing Agency's (STA) and LA's requirements. Headteachers are responsible for the submission of accurate TA data.

Schools must submit teacher assessment judgements as set out in the 2017 key stage 1 ARA, available at

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/561720/2017\\_KS1\\_ARA\\_v1.0.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/561720/2017_KS1_ARA_v1.0.pdf) by **29th June 2017**

### **Appeals**

The LA is required to have an appeals process and share it with schools.

- The Appeals procedure is outlined in Appendix 2
- The KS1 Appeals panel will meet on 6th July 2017 1.00-4.00

## **KS2 Please note that this moderation handbook does not replicate the statutory guidance for all schools outlined in the STA document 2017 teacher assessment external moderation: key stage 2 writing for schools and local authorities. This section needs to be read alongside this document**

### **Selecting schools for moderation visit**

Each year the LA selects at least 25% of its schools with key stage 2 pupils for an external moderation visit, so all schools will receive a visit **at least** once during each four year cycle. Schools may receive more than one visit in every four years: where assessment is felt to be at particular risk of inaccuracy or there are other relevant circumstances, for example: a teacher new to year 6, an NQT Y6 teacher, a new leadership team, unusual patterns of attainment, outcomes of the last external moderation visit, Ofsted or LA concern or concern relating to the 2015/16 assessment cycle, including maladministration

### **National TA data submission date**

Key stage 2 deadline: 29<sup>th</sup> June 2017

### **School requirements for teacher assessment**

Selected schools will receive an LA external moderation visit in the summer term before the national TA data submission date.

- Schools selected for an LA external moderation visit will be notified on 19<sup>th</sup> May 2017 by email and letter.
- Contact will be made by the allocated moderator(s) between 23<sup>rd</sup> - 26<sup>th</sup> May in order to agree the date of the visit which will be undertaken between 5<sup>th</sup> - 29<sup>th</sup> June (see local agreement appendix 1). The outline of the visit, including the number of moderators, timetable and appeals procedures will be confirmed in a follow up email from the moderator.

Schools selected for an LA external moderation visit are asked to ensure that:

- All year 6 teachers attend one of the LA moderation briefing sessions from 4.00pm - 5.00pm on 23<sup>rd</sup> May at Edwinstowe House or 25<sup>th</sup> May at The Richard Herrod Centre
- All the year 6 teachers are released for all, or part of, the visit for a professional discussion of the evidence presented.
- The moderator receives a list of pupil teacher assessment judgements (working towards, working at, and working at greater depth) by class in advance of their visit, the list should not include children's full names, just initials and date of birth. **This is not a statutory requirement**, if a school chooses not to provide this information in advance the children for moderation will be selected on the day of the visit.

### **School responsibilities during the external moderation visit**

The purpose of the visit is to ensure that the school's summative TA judgements for writing by all Y6 teachers are accurate and consistent with the Interim Teacher Assessment Frameworks (ITAFs).

- Visits will usually take half a day.

- From the year 6 pupil list provided by the school moderators will select a minimum sample of 15% across the cohort or in the case of a single class, a minimum of five children for writing. The sample will cover the full range of attainment (working towards, at the expected standard, at greater depth) - see table 1 below
- If pupil data is sent by the school the moderator will inform the school of sample children the day before the visit. If not, the sample will be chosen on the day.
- Moderators will review evidence for each pupil in the sample against the 'pupil can' statements from the interim TA framework within the standard awarded (including any preceding standards).
- The LA external moderator(s) will review the presented pupil's work and hold a professional discussion with the year 6 teacher(s). This professional discussion is a key part of the moderation process, enabling teachers to articulate and present evidence for their judgements.
- Moderators must be satisfied that pupils' writing is independent by using the criteria within the STA document.
- LA external moderators may refer to the exemplification materials during the visit. Schools may choose to use the KS2 exemplification material to support teachers making TA judgements or to validate judgements across the school available at: <https://www.gov.uk/government/organisations/standards-and-testing-agency> If teachers are confident in their judgements, there is no requirement to refer to the exemplification materials.
- Where there is insufficient evidence or concerns about the accuracy of the teachers' judgements, moderators may request additional evidence or expand the sample
- In addition, moderators will:
  - ~ evaluate whole school assessment processes
  - ~ consider outcomes of internal moderation
  - ~ establish how schools undertake internal and cross-school/cluster moderation processes.

Size of cohort	Sample size
30	5 pupils
60	9 pupils
90	14 pupils
120	18 pupils

### Suitable evidence for moderation

- The LA will not dictate what schools' evidence should look like or how it is presented for an external moderation visit. We do not expect portfolios or checklists of evidence.
- Moderators will look for evidence against the statements from the interim teacher assessment frameworks. They will record that they have seen evidence against all the statements from the interim frameworks on the moderation form (Form A) To achieve the standard evidence must show that the pupil demonstrates attainment of all of the 'pupil can' statements and all the statements in the preceding standard(s) (although there is no need to provide 'additional' evidence for these).
- Moderators will expect to see examples of children's independent work as well as work supported through direct modelling, use of prompts or guided group work.
- Evidence will clearly identify the degree of support a pupil has received.

- We encourage teachers to draw upon examples of pupils' work from across the curriculum to make their judgements whilst recognising that English and literacy work may produce the depth of evidence required.

### **Completion of visit:**

- The moderators will inform the headteacher or representative of the outcome of the external moderation visit, both verbally and in a written visit record including:
  - whole school processes; where schools have an effective whole school approach to assessment, this will be recognised and reflected in feedback to the school
  - where the assessment is not in line with national standards, the moderators will inform the school of the action to be taken
- The completed LA visit record (Forms A and B), detailing the teacher and moderator judgements, which must be signed by the headteacher (or representative) and moderator, will be returned to the LA moderation manager and a copy left in school.
- If the school and the LA external moderators agree some pupils have the potential to meet the proposed standard before the data submission deadline, this will be indicated on the moderation visit form. Note that:
  - 1) if school TA judgements were accepted in full by the LA, the additional evidence must have been internally re-moderated by the school and submitted by the TA submission date, or
  - 2) if school TA judgements were not accepted in full by the LA, the additional evidence must be submitted to the LA for review prior to the TA submission date.
- In scenario (2), any additional evidence should be sent directly to the moderator for them to agree the final judgement. The outcome will be confirmed on Form C. This process will not be used if the school is allowed to re-moderate without LA review, as in scenario (1).
- Moderators will ensure schools are aware of the LA appeals procedures. Please note that the moderation manager must be notified of the school's intention to appeal on the day of the visit.

### **Data submission**

- Schools must submit teacher assessment judgements as set out in the 2017 key stage 2 ARA, available at <https://www.gov.uk/government/publications/key-stage-2-assessment-and-reporting-arrangements-ara> by **29th June 2017**
- The LA makes checks on data submission for moderated and non-moderated schools

### **Appeals**

The LA is required to have an appeals process and share it with schools:

*In Nottinghamshire:*

- The Appeals procedure is outlined in Appendix 2
- The KS2 Appeals panel will meet on 6th July 2017

## Nottinghamshire's Local Agreement for Moderation

### Request for pupil data

In the past we have requested that schools send the moderator a list of judgements for all children (initials only and DoB) in the cohort. STA guidance states that LAs must not ask schools to provide TA judgements in advance of an external moderation visit.

Though the statutory requirements state that we cannot ask schools for judgements in advance we feel that in doing so the moderation process runs more smoothly by enabling the moderator to inform the school of the sample children the day before the visit.

The moderator will ask you to provide judgements. If you choose not to provide the information in advance of the visit, the sample will be chosen on the day of visit.

**This arrangement is communicated as non-statutory.**

## Nottinghamshire Procedures for Moderation

### Briefings

For EYFS, KS1 and KS2 we hold moderation briefings for schools who have been selected for moderation. Though it is a non-statutory requirement to attend the briefings we feel that they are useful in preparing staff for the moderation visit.

### Procedure for re-moderating work

STA moderation guidance states

*If the school and the LA external moderators agree some pupils have the potential to meet the next standard before the data submission deadline, the LA record of visit should also include the next steps:*

- *if school TA judgements were accepted in full by the LA, the additional evidence must have been internally re-moderated by the school and submitted by the TA submission date, or*
- *if school TA judgements were not accepted in full by the LA, the additional evidence must be submitted to the LA for review prior to the TA submission date*

In Nottinghamshire, if moderators agree to consider further evidence this will be indicated on the moderation form. Any additional evidence should be sent direct to the moderator for them to agree the final judgement.

### Number of moderators

STA guidance states that in the majority of cases only one moderator should visit a school. In some circumstances it may be necessary for more than one moderator to be part of the process either for QA purposes, size of cohort or shadowing for CPD purposes, should this be the case, the school will be notified before the visit.

### Notice of visit

The date of the moderation visit is usually agreed between the moderator and the school in the week commencing the 22<sup>nd</sup> May. The moderation window is the 5<sup>th</sup> – 29<sup>th</sup> June. The LA will endeavour to complete all visits by the 23<sup>rd</sup> June to give schools the opportunity to provide additional evidence if required.

# Nottinghamshire LA - Statutory Responsibility for Moderation 2017

## Appeals and potential maladministration

(See EYFS Profile Handbook and STA Guidance for KS1/KS2 Moderation of Teacher Assessment)

### Appeals

- LAs are required to have an appeals process and share it with their schools.
- Schools must be aware of the LA's appeals process before the LA moderation visit.
- LA external moderators must refer to the LA's appeals process at the beginning of the moderation visit.
- Schools must have evidence to support any appeal claim before the appeal is processed (the evidence can only be based on that validated during the LA moderation visit).

### Appeals procedure in Nottinghamshire 2017

Every attempt will be made on the day of the visit to reach a positive outcome.

#### Stage 1

- Moderators will work closely with teachers through discussion and scrutiny of evidence to reach a consensus on the accuracy of assessments.
- The school will be given the opportunity to provide additional evidence and /or expand the sample

If a consensus on the accuracy of assessments cannot be reached, the moderator:

- Will inform the headteacher of their judgement relating to the teacher assessment(s) in question.
- Will discuss with the head teacher why the judgements are inaccurate.
- Will aim to reach agreement with the headteacher through further discussion.
- Will record the outcome on the moderation note of visit.
- Will request that the school changes some or all of its teacher assessment judgements. These will be clearly indicated on the moderation note of visit.

#### Stage 2

If following this process, agreement cannot be reached the school has a right to appeal.

The following formal appeals procedure should be followed:

- The moderation manager must be notified of the school's intention to appeal on the day of the visit
- An appeal must be made in writing by the head teacher outlining in detail the reasons for the appeal.
- Evidence for the 'pupil can statement(s)' in question must be submitted.
- In line with STA guidance, schools must have evidence to support any appeal before the appeal is processed. The appeal can only be based on evidence shown to the LA external moderator during the LA moderation visit.
- EYFS appeals must be addressed to Liz Kitts ([liz.kitts@nottsc.gov.uk](mailto:liz.kitts@nottsc.gov.uk)) and received no later than Friday 23<sup>rd</sup> June, 5.00pm. Appeals will be acknowledged on receipt. The EYFS moderation appeals panel will meet in person on Friday 27<sup>th</sup> July 2017 to consider the appeal.
- KS1 appeals must be addressed to Liz Kitts ([liz.kitts@nottsc.gov.uk](mailto:liz.kitts@nottsc.gov.uk)) and received no later than Thursday 29<sup>th</sup> June, 5.00pm. Appeals will be acknowledged on receipt. The KS1 moderation appeals panel will meet in person on Thursday 6<sup>th</sup> July 2017 to consider the appeal.
- KS2 appeals must be addressed to Mark Aske ([mark.aske@nottsc.gov.uk](mailto:mark.aske@nottsc.gov.uk)) and received no later than Thursday 29<sup>th</sup> June 2017. Appeals will be acknowledged on receipt. The KS2 moderation appeals panel will meet in person on Thursday 6<sup>th</sup> July 2017 to consider the appeal.

## **The Appeals Panel**

- The moderation appeals panel will consist of local authority external moderators who have not been involved in the initial moderation and a moderation manager from another LA (that is a member of the Association for Achievement and Improvement through Assessment - AAIA)
- The chair of the moderation appeals panel will ensure that the panel is quorate and impartial.
- The appeal will be checked to ascertain which 'pupil can statement(s)' have been judged not to have been met and the basis on which the judgement was made.
- The moderation appeals panel will offer the school an opportunity to present their case in person. The school will be invited to send two representatives, one of whom must be the teacher, to present and discuss the evidence to the appeals panel and to clearly state why they have reached their judgements.
- The panel will listen and review the evidence.
- The panel will make a final decision before giving their feedback to the school.
- Notification of the decision made will be sent to the school in writing within 3 working days of the meeting of the appeals panel.

## **Actions available to the panel**

- **Reject the appeal** – where the panel feels that the appeal is unjustified and the original decision remains; or
- **Accept the appeal** and confirm that the teacher judgements are accurate.

## **Maladministration**

In the event that a school does not accept the decision of the panel, the case would be referred to the Standards and Testing Agency (STA) maladministration team.

If a school chooses not to go to appeal, and refuses to amend submitted data in line with the outcome of a moderation visit, the school would be referred to the STA maladministration team.

Reviewed January 2017

## Key Documents

### General

National curriculum assessments: practice materials

<https://www.gov.uk/government/collections/national-curriculum-assessments-practice-materials>

Primary assessments: information and resources for 2017

<https://www.gov.uk/government/publications/primary-assessments-information-and-resources-for-2017>

### EYFS

2017 EYFS ARA

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/574605/2017\\_EYFS\\_ARA\\_v2.2.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/574605/2017_EYFS_ARA_v2.2.pdf)

2017 EYFS Handbook

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/564249/2017\\_EYFS\\_P\\_handbook\\_v1.1.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/564249/2017_EYFS_P_handbook_v1.1.pdf)

2017 EYFS Moderation essential requirements and effective practice

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/575098/Mod\\_reqnts\\_effective\\_practice\\_for\\_LAs\\_v1.3.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/575098/Mod_reqnts_effective_practice_for_LAs_v1.3.pdf)

### Year 1 Phonics

The 2017 Phonics Screening Check Administrators Guide the check administration guidance will be revised for the 2017 check period in March

<https://www.gov.uk/government/collections/phonics-screening-check-administration>

### KS1

2017 Key stage 1 ARA

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/561720/2017\\_KS1\\_ARA\\_v1.0.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/561720/2017_KS1_ARA_v1.0.pdf)

2017 Key stage 1 teacher assessment external moderation

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/564794/KS1\\_TA\\_moderation\\_2017\\_-\\_final.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/564794/KS1_TA_moderation_2017_-_final.pdf)

2017 Key stage 1 assessments planner

<https://www.gov.uk/government/publications/key-stage-1-assessments-2017-planner>

2017 Key stage 1 tests: how to use access arrangements

<https://www.gov.uk/guidance/key-stage-1-tests-how-to-use-access-arrangements>

2017 interim frameworks for teacher assessment at the end of key stage 1

<https://www.gov.uk/government/publications/2017-interim-frameworks-for-teacher-assessment-at-the-end-of-key-stage-1>

2017 pre-key stage 1: pupils working below the test standard

<https://www.gov.uk/government/publications/2017-pre-key-stage-1-pupils-working-below-the-test-standard>

2016 teacher assessment exemplification: KS1 English writing

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks1-english-writing>

2016 teacher assessment exemplification: KS1 mathematics

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks1-mathematics>

2016 teacher assessment exemplification: KS1 English reading

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks1-english-reading>

2016 teacher assessment exemplification: KS1 science

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks1-science>

Key stage 1: codes for reporting teacher assessment in 2016

<https://www.gov.uk/guidance/key-stage-1-codes-for-reporting-teacher-assessment-in-2016>

## **KS2**

Key stage 2 planner

<https://www.gov.uk/government/publications/key-stage-2-assessments-2017-planner>

2017 Key stage 2 ARA

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/561723/2017\\_KS2\\_ARA\\_v1.0.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/561723/2017_KS2_ARA_v1.0.pdf)

Key stage 2 tests: how to use access arrangements

<https://www.gov.uk/guidance/key-stage-2-tests-how-to-use-access-arrangements>

2017 Key stage 2 teacher assessment external moderation

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/564258/KS2\\_writing\\_TA\\_moderation\\_2017\\_-\\_final.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/564258/KS2_writing_TA_moderation_2017_-_final.pdf)

2017 interim frameworks for teacher assessment at the end of key stage 2

<https://www.gov.uk/government/publications/2017-interim-frameworks-for-teacher-assessment-at-the-end-of-key-stage-2>

2017 pre-key stage 2: pupils working below the test standard

<https://www.gov.uk/government/publications/2017-pre-key-stage-2-pupils-working-below-the-test-standard>

2016 teacher assessment exemplification: KS2 English writing

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks2-english-writing>

2016 teacher assessment exemplification: KS2 mathematics

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks2-mathematics>

2016 teacher assessment exemplification: KS2 English reading

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks2-english-reading>

2016 teacher assessment exemplification: KS2 science

<https://www.gov.uk/government/publications/2016-teacher-assessment-exemplification-ks2-science>

Key stage 2: submitting teacher assessment data

<https://www.gov.uk/government/publications/key-stage-2-submitting-teacher-assessment-data>

## Assessment Summary Chart

Key stage 1	Test	Teacher assessment
Working at standard of tests, and can access tests, including with modification/ access arrangements (eg visually impaired pupils with readers)	<p>Pupils will sit tests in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English grammar, punctuation and spelling</li> <li>mathematics</li> </ul> <p>Outcomes will be reported as a scaled score to inform teacher assessment</p>	<p>Pupils will be teacher assessed using the interim frameworks for teacher assessment in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English writing</li> <li>mathematics</li> <li>science</li> </ul> <p>Outcomes will be reported as: BLW, WTS, EXS, GDS for English reading, English writing and mathematics HNM, EXS for science</p>
Working at standard of tests, but cannot access tests due to SEND, even with modification/access arrangements	Pupils would not sit the test	<p>Pupils will be teacher assessed using the interim frameworks for teacher assessment in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English writing</li> <li>mathematics</li> <li>science</li> </ul> <p>Outcomes will be reported as: BLW, PKF, WTS, EXS, GDS for English reading, English writing and mathematics HNM, EXS for science</p>
Working below standard of tests, but above the P scales, including SEND and non-SEND pupils	Pupils would not sit the test	<p>Pupils will be teacher assessed using the interim pre-key stage standards for KS1 in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English writing</li> <li>mathematics</li> </ul> <p>Outcomes will be reported as: BLW, PKF For science, pupils will be reported against the interim framework for teacher assessment and outcomes will be reported as HNM</p>
Working at standard of P scales, with SEND	Pupils would not sit the test	<p>Teacher assessed using P scales in:</p> <ul style="list-style-type: none"> <li>English – reading, writing speaking and listening</li> <li>mathematics – number, using and applying mathematics and shape, space and measures</li> </ul> <p>Outcomes will be reported as: English reportable score: P1i, P1ii, P2i, P2ii, P3i, P3ii Reading, writing, speaking, listening reportable score: P4, P5, P6, P7, P8 Mathematics reportable score: P1i, P1ii, P2i, P2ii, P3i, P3ii Number, using and applying mathematics, shape, space and measures reportable score: P4, P5, P6, P7, P8</p>
Pupils whose performance on the national curriculum cannot be established (eg recently arrived from a different education system, or lengthy period of absence)	Pupils would not sit the test	Reported as A – not enough information available to determine teacher assessment

**TA outcomes key: BLW – below the standard of the pre-key stage; PKF – pre-key stage foundation; HNM – has not met the expected standard; WTS – working towards the expected standard; EXS – expected standard and GDS – greater depth in the expected standard.**

<b>Key stage 2</b>	<b>Test</b>	<b>Teacher assessment</b>
Working at standard of tests, and can access tests, including with modification/ access arrangements (eg visually impaired pupils with readers)	<p>Pupils will sit tests in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English grammar, punctuation and spelling</li> <li>mathematics</li> </ul> <p>Outcomes will be reported as a scaled score to inform teacher assessment</p>	<p>Pupils will be teacher assessed using the interim frameworks for teacher assessment in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English writing</li> <li>mathematics</li> <li>science</li> </ul> <p>Outcomes will be reported as: BLW, PKF, PKE, PKG, WTS, EXS, GDS for English writing BLW, PKF, PKE, PKG, HNM, EXS for English reading and mathematics HNM, EXS for science</p>
Working at standard of tests, but cannot access tests due to SEND, even with modification/access arrangements	<p>Pupils would not sit the test</p> <p>Entered as a T on attendance register and reported as T</p>	<p>Pupils will be teacher assessed using the interim frameworks for teacher assessment in:</p> <ul style="list-style-type: none"> <li>English reading English writing</li> <li>mathematics science</li> </ul> <p>Outcomes will be reported as: BLW, PKF, PKE, PKG, WTS, EXS, GDS for English writing BLW, PKF, PKE, PKG, HNM, EXS for English reading and mathematics HNM, EXS for science</p>
Working below standard of tests, but above the P scales, including SEND and non-SEND pupils	<p>Pupils would not sit the test</p> <p>Entered as a B on attendance register and reported as B</p>	<p>Pupils will be teacher assessed using the interim pre-key stage standards for KS2 in:</p> <ul style="list-style-type: none"> <li>English reading</li> <li>English writing</li> <li>mathematics</li> </ul> <p>Outcomes will be reported as: BLW, PKF, PKE, PKG</p> <p>For science, pupils will be reported against the interim framework for teacher assessment and outcomes will be reported as HNM</p>
Working at standard of P scales, with SEND	<p>Pupils would not sit the test</p> <p>Entered as a B on attendance register and reported as B</p>	<p>Teacher assessed using P scales in:</p> <ul style="list-style-type: none"> <li>English – reading, writing speaking and listening</li> <li>mathematics – number, using and applying mathematics and shape, space and measures</li> </ul> <p>Outcomes will be reported as: English reportable score: P1i, P1ii, P2i, P2ii, P3i, P3ii Reading, writing, speaking, listening reportable score: P4, P5, P6, P7, P8 Mathematics reportable score: P1i, P1ii, P2i, P2ii, P3i, P3ii Number, using and applying mathematics, shape, space and measures reportable score: P4, P5, P6, P7, P8</p>
Pupils whose performance on the national curriculum cannot be established (eg recently arrived from a different education system,	Pupils would not sit the test	Reported as A – not enough information available to determine teacher assessment

or lengthy period of absence)		
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**TA outcomes key:** BLW – below the standard of the pre-key stage; PKF – pre-key stage foundation; PKE – pre-key stage early development ; PKG – pre-key stage growing development; HNM – has not met the expected standard; WTS – working towards the expected standard; EXS – expected standard and GDS – greater depth in the expected standard.

## Key Dates

### General

Date	Time	Event	Venue
9/03/2017	9.00-12.00 1.00-4.00	Assessment Updates	Edwinstowe House

### EYFS

Date	Time	Event	Venue	
25/03/2017		Schools notified if they are to receive an EYFS moderation visit		EYFS
24/04/2017	4.15-5.15	EYFSP Moderation Briefings	Ashfield Bassetlaw Mansfield Newark	Edwinstowe House EYFS
25/04/2017	4.15-5.15	EYFSP Moderation Briefings	Broxtowe Gedling Rushcliffe	Richard Herrod Centre EYFS EYFS
12/05/2017	1.00-3.30	EYFSP Moderation Meeting	Edwinstowe House	EYFS
13/05/2017	1.00-3.30	EYFSP Moderation Meeting	Edwinstowe House	EYFS
14/06/2017	1.00-3.30	EYFSP Moderation Meeting	Edwinstowe House	EYFS
15/06/2017	1.00-3.30	EYFSP Moderation Meeting	Basford Hall Conference Centre	EYFS
03/05/2016 20/06/2016		Moderation Window		EYFS

## KS1

Date	Time	Event	Venue	
02/03/2017	9.00-12.00	KS1 Statutory Assessment Briefing	Edwinstowe House	KS1
06/03/2017	9.00-12.00	KS1 Statutory Assessment Briefing	Edwinstowe House	KS1
07/03/2017	9.00-12.00	KS1 Statutory Assessment Briefing	Edwinstowe House	KS1
16/03/2017	9.00-12.00	KS1 Statutory Assessment Briefing	Edwinstowe House	KS1
24/04/2017	9.00-3.30	Supporting teacher assessment in Year 2	Edwinstowe House	KS1
26/04/2017	9.00-3.30	Supporting teacher assessment in Year 2	Edwinstowe House	KS1
28/04/2017	9.00-3.30	Supporting teacher assessment in Year 2	Edwinstowe House	KS1
19/05/2017	Schools notified if they are to receive a visit			KS1
22/05/2017	4.15-5.15	Moderation Briefing	Ashfield Bassetlaw Mansfield Newark	Edwinstowe House  KS1
24/05/2017	4.15-5.15	Moderation Briefing	Broxtowe Gedling Rushcliffe	Richard Herrod Centre  KS1
05/06/2017 - 29/06/2017	Moderation Window			KS1
29/06/2017	KS1 Data Submission			KS1

**KS2**

<b>Date</b>	<b>Time</b>	<b>Event</b>	<b>Venue</b>	
02/03/2017	1.00- 4.00	KS2 Statutory Assessment Briefing	Edwinstowe House	KS2
06/03/2017	1.00- 4.00	KS2 Statutory Assessment Briefing	Edwinstowe House	KS2
07/03/2017	1.00- 4.00	KS2 Statutory Assessment Briefing	Edwinstowe House	KS2
14/03/2017	9.00-12.00	Supporting teacher assessment in Year 6	Edwinstowe House	KS2
14/03/2017	1.00-4.00	Supporting teacher assessment in Year 6	Edwinstowe House	KS2
16/03/2017	9.00-12.00	Supporting teacher assessment in Year 6	Edwinstowe House	KS2
16/03/2017	1.00-4.00	KS2 Statutory Assessment Briefing	Edwinstowe House	
19/05/2017	Schools notified if they are to receive a visit			KS2
23/05/2017	4.00-5.30	Moderation Briefing	Edwinstowe House	KS2
25/05/2017	4.00-5.30	Moderation Briefing	The Richard Herrod Centre	KS2
05/06/2017- 29/06/2017	Moderation Window			KS2
29/06/2017	KS2 Data Submission			KS2