

# Solihull Local Authority Education Improvement Service

## **Moderation Handbook**

### Early Years Foundation Stage Profile Assessment & Key Stages 1 and 2 Teacher Assessment 2019

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# **Early Years Foundation Stage - Profile Assessment**

## Introduction

Early Years Foundation Stage Profile moderation processes are detailed in:

### **2019 Assessment and Reporting Arrangements (ARA)**

<https://www.gov.uk/government/publications/2019-early-years-foundation-stage-assessment-and-reporting-arrangements-ara>

### **Early Years Foundation Stage Profile 2019 handbook**

<https://www.gov.uk/government/publications/early-years-foundation-stage-profile-handbook>

### **Early Years Foundation Stage Profile Exemplification materials**

<https://www.gov.uk/government/publications/eyfs-profile-exemplification-materials>

### **Quality assurance**

Solihull Local Authority (LA) provides Early Years Foundation Stage Profile (EYFSP) statutory and Early Years Foundation Stage (EYFS) non-statutory moderation opportunities.

### **Non-statutory moderation**

Moderation and 'agreement trialling' opportunities are provided by the LA for all 17 aspects of learning during the academic year 2018 and 2019. These are available to all teachers and practitioners working with children in the EYFS. The events focus on professional discussion and consideration of the nature of the evidence that schools and settings find best evidence their judgements.

The LA provides additional moderation opportunities for teachers and practitioners with responsibility for the submission to the LA of EYFSP data for reception age children. As well as the moderation and agreement-trialling, these events also provide opportunities to discuss and clarify information from the Standards and Testing Agency (STA) regarding statutory EYFSP assessment requirements.

These events will reference non-statutory guidance statements and statutory materials provided by STA, including Early Learning Goal (ELG) exemplification materials and exceeding statements.

### **Statutory moderation**

The statutory moderation process must adhere to the STA guidance referred to via the website links above and the written local agreement, included at the end of this document.

The EYFSP moderation team in Solihull includes advisers from the LA Early Years and Education Improvement Service and teachers with responsibility for leading the EYFS in their school. Statutory moderators take part in internal and external moderation during the year. LA moderators are introduced to reception teachers during moderation events and a full list of Solihull Early Years and Education Improvement advisers can be found at [www.solgrid.org.uk/eyc](http://www.solgrid.org.uk/eyc).

The moderation team undertake statutory school moderation visits during the summer term. All schools are visited within a 4 year period. Additional 'triggers' which may result in a moderation visit are outlined in the 2019 Handbook and include, a new head teacher, NQT in reception class, new reception teachers, data anomalies, and schools which are receiving additional LA support because of Ofsted or risk assessment categorisation.

The school receives a letter in the spring term to indicate whether they have been identified for moderation or not. The allocated moderator will contact school to introduce themselves and arrange a suitable visit date.

For moderation purposes, these providers will need to complete interim judgements against all ELGs at the beginning of May for children in the final year of the EYFS. To make the visit most effective it is useful to have in advance, a list of each reception class and each child's 'interim judgements' in the 17 aspects of learning.

The sharing of data in advance of the visit is not an STA requirement and but is part of the Solihull local agreement with schools.

At least five EYFS profiles will be selected from the list of children across the classes to ensure teachers' judgements and all performance bands (emerging, expected, exceeding ELG) are discussed and sound judgements have been made.

Schools are encouraged to contact moderators if they have additional questions/concerns ahead of the moderation visit. Experience has shown that practitioners are less anxious about the moderation visit if their questions are answered and they understand the purpose and activities of the half-day.

To ensure the accuracy of moderation the LA moderators often visit in pairs. This is likely if the setting has a large cohort, the LA moderator is being quality assured, or if the visit forms part of moderation induction and training. Schools will be notified of the moderator[s] allocated to the school in advance of the visit. We expect to talk to all reception teachers; other practitioners summarising EYFSP judgements can also be present. Teachers will need to gather 'evidence' for each child selected, at the beginning of the meeting. Further evidence can be gathered during the discussion if the school feels it would be useful to share. The moderation visit is largely a professional discussion. Reference is also made to the collection of recorded evidence in books or learning journals if aspects or levels need further clarification.

The visit includes a short walk around the reception learning environment to look at the available opportunities to demonstrate attainment, a discussion to outline the school's assessment procedures and discussion of the sample children.

The moderation manager and team ensure that judgements are standardised, that the school's and setting's EYFS team take part in moderation activity, and that schools and settings have good quality assurance processes to check accuracy of submission. Feedback and discussion with the head teacher, or a senior leader, will summarise strengths and aspects for further consideration. It is expected that the moderation visit is arranged for a day where all reception teachers are available for the majority of the visit and the head teacher or senior lead is available for the summary discussion and feedback.

## **Appeals process**

The statutory EYFSP moderation process is robust and rigorous. Moderators must also ensure it is a supportive process so that teachers/practitioners are reassured and confident that their assessments are accurate, valid and consistent with national standards.

Teachers and practitioners, head teachers, setting leaders and the LA are responsible for ensuring the quality, accuracy and reliability of data arising from EYFSP assessment. The major role of the LA is to advise the head teacher /manager in order that there should be consistency of practice and standards. It is anticipated that in most cases during the moderation visit the moderators and the teachers/practitioners will agree the assessments based on the evidence presented by the teachers/practitioners, and this will form the feedback to the head teacher /manager.

There may be times when the moderators judge that the assessment is not in line with the EYFSP exemplification standards and so they are unable to validate the accuracy of the teacher's/practitioner's assessment. When this is the case it will be recognised that the head teacher's/manager's involvement is central and that the LA moderators, head teacher /manager and teacher/practitioner will work closely together to resolve the issues. The teacher/practitioner may need to, reconsider their assessments as advised by the moderator.

The head teacher /manager and moderators should, from the beginning of a visit, share a common understanding of the way in which the school wishes to address the situation should the moderators not be able to validate the teacher's/practitioner's judgement.

A suggested approach is outlined below. The moderator should be made aware by the school if they wish to have a different approach.

- Where the moderators are unable to validate the accuracy of the teacher's/practitioner's assessment, the moderators will discuss the matter with the head teacher /manager, agreeing actions.
- If agreement cannot be reached, the moderators will refer to the LA Moderator Manager, Lisa Morris, Senior Education Improvement Advisor, with specific responsibility for the conduct of the EYFSP moderation process.
- If agreement cannot be reached following discussions between the Moderator Manager and the head teacher /manager, an independent review of the evidence presented will be carried out by a moderator from another LA.
- All agreed actions must be taken from the standpoint of achieving accurate assessment that benefits the child.

### **Contact details:**

Moderation Manager - Lisa Morris

Email: [lmorris@solihull.gov.uk](mailto:lmorris@solihull.gov.uk)

Office contact 0121 704 6150

## **Solihull Local Agreement – Early Years Foundation Stage Profile (2018)**

This agreement outlines the local arrangements in Solihull Local Authority [LA] which are not specified in the EYFSP Handbook 2019 or the Assessment and Reporting Arrangements [ARA] 2019.

- **Interim summative judgements** will need to be made in May for all 17 Early Learning Goals [ELGs]; recording codes for emerging, expected or exceeding ELGs. Solihull requests that these judgements are made available ahead of the moderation visit. This aids practitioners in their preparation of evidence and a timely start to the moderation discussion.
- In Solihull, **LA moderators and school based teacher moderators** visit schools in the summer term, as part of the moderation cycle. Teacher moderators represent the five geographical collaboratives. To ensure the accuracy of moderation the LA moderators often visit in pairs. This is likely if the setting has a large cohort, the LA moderator is being quality assured, or if the visit forms part of moderation induction and training. Schools will be notified of the moderator[s] allocated to the school in advance of the visit.
- The usual cycle for schools is once every four years unless they have been identified for reasons stated within the Standards and Testing Agency [STA] guidance. **Early years Ofsted registered** settings will have moderation support visits each time they submit EYFSP data.
- **Inter-school moderation-** Settings should work together to build a shared understanding of the ELGs. Solihull schools have the opportunity to discuss their assessments of children's attainment with colleagues at LA EYFSP moderation training and agreement trailing. One free place per school is provided at each moderation event. It is recommended that a reception teacher from each school attends this event.

Agreed at Solihull Schools' Strategic Accountability Board meeting date:  
December 2018



# **Key Stages 1 and 2 Teacher Assessment and Moderation**

## Introduction to Key Stages 1 and 2 Statutory Moderation

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 further details of the standards and testing agency**

<https://www.gov.uk/government/organisations/standards-and-testing-agency>

*This handbook should be read alongside, and not instead of, STA guidance documents.*

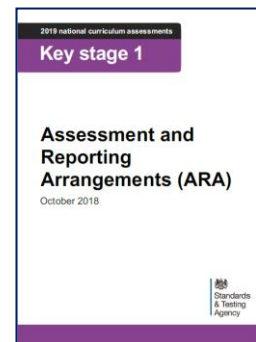
### 2019 ARA and moderation guidance documents:

#### 2019 Key stage 1 ARA

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/754076/Key\\_stage\\_1\\_assessment\\_and\\_reporting\\_arrangements.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/754076/Key_stage_1_assessment_and_reporting_arrangements.pdf)

#### 2019 Key stage 1 Teacher assessment guidance

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/758810/KS1\\_TA\\_Guidance\\_2018-19.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/758810/KS1_TA_Guidance_2018-19.pdf)

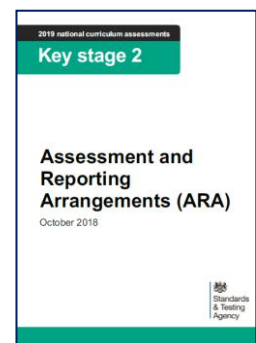


#### 2019 Key stage 2 ARA

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/754071/Key\\_stage\\_2\\_assessment\\_and\\_reporting\\_arrangements.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/754071/Key_stage_2_assessment_and_reporting_arrangements.pdf)

#### 2019 Key stage 2 Teacher assessment guidance

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/758373/KS2\\_TA\\_Guidance\\_2018-19.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/758373/KS2_TA_Guidance_2018-19.pdf)



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

## The Moderation Process

Moderation is an integral part of assessment ensuring that standards of assessment in 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 Stage	Description
<b>Formative assessment</b>	Teachers make day-to-day professional judgements on children's progress and attainment to inform next steps in learning.
<b>Standardisation</b>	A professional development activity where teachers secure their understanding of national standards.
<b>Teacher Assessment</b>	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.
<b>School moderation</b>	With colleagues in school, teachers use national standards and exemplification materials to review a selection of the judgements and supporting evidence to check their accuracy and consistency.
<b>School cluster/ collaborative moderation and / or LA moderation events</b>	With colleagues from other schools 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. The 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.
<b>External statutory moderation</b>	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. <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>

## Key Stage 1

Please note that this moderation handbook does not replace the statutory guidance for all schools outlined in the STA document 2018/19 teacher assessment guidance. This section needs to be read alongside this teacher assessment guidance.

Additional requirements outside of STA expectations are set out in the Local Agreement (Appendix 1)

### 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. At least 25% of academies with key stage 1 pupils are also selected.

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 or STA concern or where KS1 and KS2 assessments are inconsistent;
- to ensure no obvious pattern for visits is set.

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 TA frameworks and the national exemplification materials.

### Notification of visits

- Schools selected for an LA external moderation visit will be notified on, or after, **17<sup>th</sup> May 2019**.
- LAs undertake external moderation of KS1 reading, writing and mathematics teacher assessment **4 – 27<sup>th</sup> June 2019**.

## **Briefing meetings will be held:**

### **STA Writing Standardisation Training for Y2 Teachers**

1<sup>st</sup> February 2019 9:00am – 12:00pm at Sans Souci Training Centre

**How to administer KS1 tests** (year 2 teachers and other relevant staff including senior leadership team) :

1<sup>st</sup> February 2019 1:30pm – 4:00pm at Sans Souci Training Centre

**Meet the moderator:** For those schools selected for moderation, this is an opportunity to find out more about the process and to meet the moderators who will be visiting your school.

**KS1:** 21<sup>st</sup> May 2019 3:45 – 5:00pm, Kingshurst Evangelical Church, Cooks Lane

### **Prior to the visit**

Schools must ensure that:

- judgements against the TA frameworks are available for external moderation, and should also subject them to internal moderation prior to an LA external moderation visit;
- evidence of pupils' work and of KS1 test papers is available for external moderation in order to demonstrate attainment of the 'pupil can' statements at the standard the pupil has been judged to have met; this should be in the form of day-to-day work and KS1 test outcomes ;
- teachers attend a 'Meet the Moderator' briefing (see local agreement, Appendix 1).

### **During the 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).
- 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 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 teacher assessment frameworks.
- Reference may also be made to the national exemplification materials available.

- 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 moderation processes and check that they are referencing the teacher assessment frameworks and are aware of the exemplification materials.

During the visit schools must:

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

It is also helpful if pupil UPNs are available for moderators on the day of the visit.

### **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 teacher assessment frameworks. They will record that they have seen evidence against all the statements from the teacher assessment framework on the moderation form.
- To achieve the standard, evidence must show that the pupil demonstrates attainment of all of the 'pupil can' statements (unless there is a particular weakness in writing) 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 (Appendix 3) including:
  - Feedback on the strengths of processes and systems.
  - Accuracy of assessments.
  - Identified next steps to further improve assessment and moderation in school.
- Where the assessment is not in line with national standards, the moderators will:
  - inform the school of the action to be taken.
  - request further evidence to be reviewed during the visit.
- The completed LA visit record, 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 **and the LA moderation manager must be informed of these changes**, 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 moderation manager for them to agree the final judgement.
- 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 2019 key stage 1 ARA,

## 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 24<sup>th</sup> June 2019**



## Key Stage 2

Please note that this moderation handbook does not replace the statutory guidance for all schools outlined in the STA document 2018/19 teacher assessment guidance: key stage 2. This section needs to be read alongside the teacher assessment guidance.

**Additional requirements outside of STA expectations are set out in the Local Agreement (Appendix 1)**

### Selecting schools for a 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. At least 25% of academies with key stage 2 pupils are also selected.

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 6, an NQT Y6 teacher, leadership changes;
- Ofsted category or LA or STA concern or where KS2 assessments are inconsistent or there are concerns of maladministration;
- to ensure no obvious pattern for visits is set.

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 TA frameworks and the national exemplification materials.

### Notification of visits

- Schools selected for an LA external moderation visit will be notified on **17<sup>th</sup> May 2019**
- LAs undertake external moderation of key stage 2 writing **4 – 27<sup>th</sup> June 2019**.

### Briefing meetings will be held:

**How to administer KS2 tests** (year 6 teachers and other relevant staff including senior leadership team):

25<sup>th</sup> January 2019, 1:30 – 4:00pm , Sans Souci Training Centre

### STA Writing standardisation training for Y6 teachers

15<sup>th</sup> February 2019 1:30 – 4:00 at Sans Souci Training Centre

**Meet the moderator:** For those schools selected for moderation, this is an opportunity to find out more about the process and to meet the moderators who will be visiting your school.

**KS2:** 23rd May 2019 3:45pm – 5:00pm, Dorridge Methodist Hall



## **Prior to the visit**

Schools must ensure that:

- judgements against the TA frameworks are available for external moderation, and should also subject them to internal moderation prior to an LA external moderation visit;
- evidence of pupils' work is available for external moderation in order to demonstrate attainment of the 'pupil can' statements at the standard the pupil has been judged to have met; this should be in the form of day-to-day work;
- teachers attend a 'Meet the Moderator' briefing (see local agreement Appendix 1).

## **During the 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 Teacher Assessment Frameworks (TAFs).

- Visits will usually take half a day.
- 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)
- 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 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. 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 moderation processes and the impact of these processes.

During the visit schools must:

- ensure that the LA external moderator(s) have a quiet area to conduct the external moderation visit.
- meet requests from the LA external moderator(s) 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 6 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 alone may produce the depth of evidence required.
- identify independent work, and clarify the degree of support a pupil has received.

It is also helpful if pupil UPNs are available for moderators on the day of the visit.

### **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 teacher assessment frameworks.
- They will record that they have seen evidence against all the statements from the frameworks on the moderation form. To achieve the standard evidence must show that the pupil demonstrates attainment of all of the 'pupil can' statements (unless there is a particular weakness in writing) 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 (Appendix 3) including:
  - Feedback on the strengths of processes and systems
  - Accuracy of assessments
  - Identified next steps to further improve assessment and moderation in school.
- Where the assessment is not in line with national standards, the moderators will
  - inform the school of the action to be taken
  - request further evidence to be reviewed during the visit
- The completed LA visit record, 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 and the LA must be informed of these changes**, or
  2. if school TA judgements were not accepted in full by the LA, the additional evidence must be submitted to the LA moderation manager 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.
- 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 2019 key stage 2 ARA.

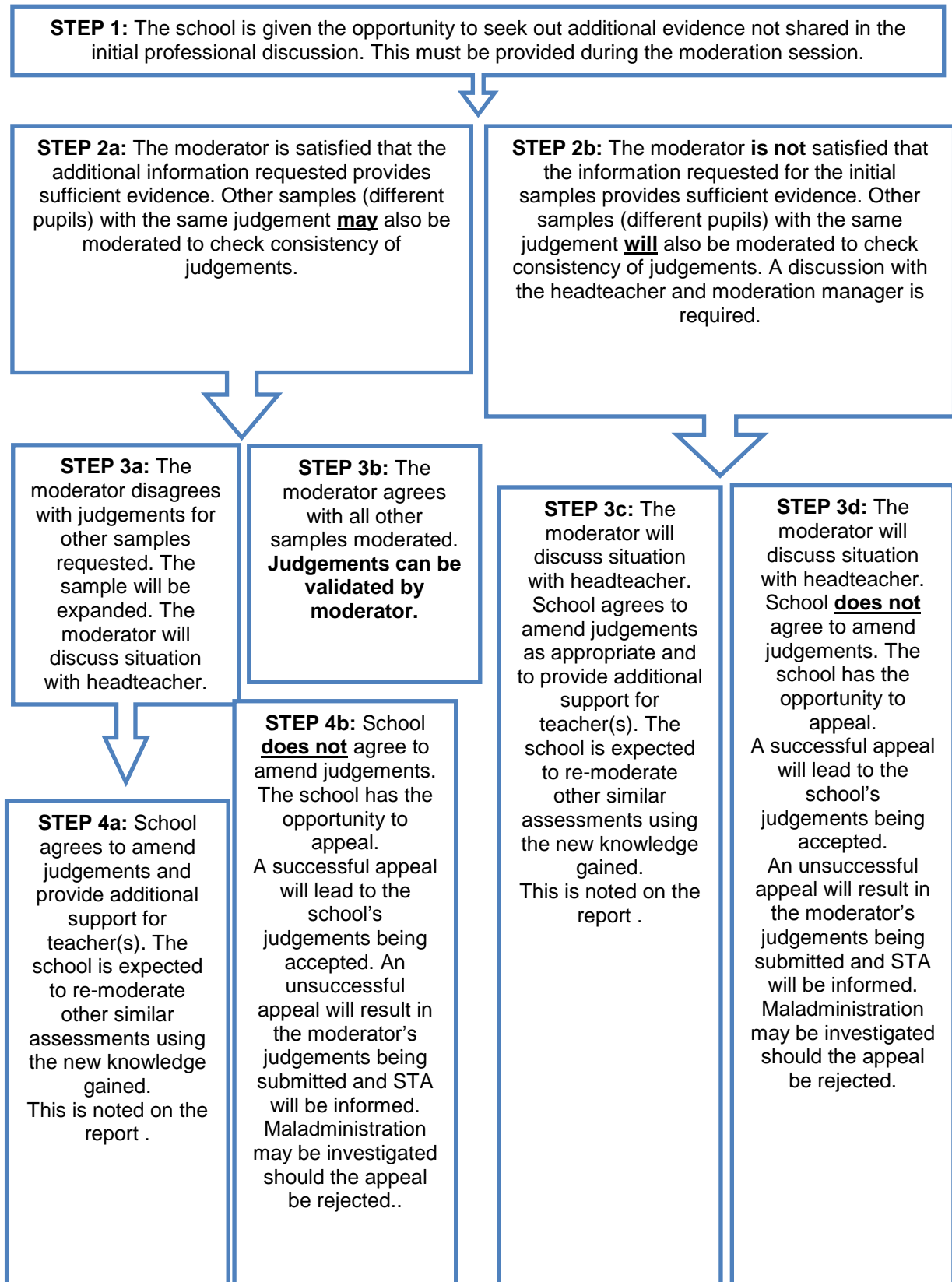
### **Appeals**

- The LA is required to have an appeals process and share it with schools.
- The Appeals procedure is outlined in Appendix 2.

**The KS2 Appeals panel will meet on 24<sup>th</sup> June 2019**

## Insufficient evidence

In some cases, the moderator(s) may feel that there is not enough evidence available to agree with a teacher's judgement. In these situations, the following route will be taken:



## Re-moderation

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. If the school and the LA external moderator(s) 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 submission, the LA can agree to accept additional evidence for the pupils in order to validate the proposed standard. The LA's record of the visit should also include the next steps.

If all of the schools' TA judgements were accepted in full by LA external moderator(s), any pupils that the school and the LA external moderator(s) agree demonstrate the potential to meet the next standard (before the data submission deadline), can have evidence internally moderated by the school without the need for a LA review of evidence.

If the schools' TA judgements were not fully accepted by the LA external moderator(s), any pupils that the school and the LA external moderator(s) agree demonstrate the potential to meet the next standard (before the data submission deadline), must have evidence reviewed by the LA moderation manager before final submission of the TA data.

**Re-moderation will take place on 25<sup>th</sup> June 2019 at the Council House.**

## Maladministration of Teacher Assessment

### Definition

'Maladministration' refers to any act that:

- affects the integrity, security or confidentiality of the national curriculum assessments.
- could lead to results and/or outcomes that don't reflect pupils' unaided work or actual abilities.

Maladministration can include schools:

- inflating or deflating teacher assessment judgements of pupils' work to influence school assessment.
- submitting different data to that agreed as a result of local authority (LA) moderation (specific subjects only).
- submitting evidence as independent work which has been heavily supported by an adult (scaffolding evidence) that is used to justify teacher assessment standards.
- over-aiding in tests that are used as evidence to justify teacher assessment standards.

## Quality Assurance Process

The local authority runs moderation over the course of the academic year in English, mathematics and science for all years and phases in key stages 1 and 2. Each aims to model many components of the statutory moderation process – with particular emphasis on the professional discussion and consideration of the nature of the evidence that schools find best evidence their judgements. These sessions will also reference the materials provided by STA to be used in preparation for and during statutory moderation, including exemplification materials and national standards.

All Solihull LA statutory moderators will have passed the Lead Moderator Programme that has been jointly written by the Local Authority and Wolverhampton University and is at Masters level. In addition, statutory moderators will also have passed the standardisation exercise set by the STA, having been appropriately trained. Each moderator will be able to share a letter of approval to moderate signed by the CEO of STA. There is a strong expectation that statutory moderators take part in internal and external moderation across the year.

All lead moderators are monitored by the moderation manager or another member of the Local Authority's core moderation team. The lead moderators provide feedback to the moderation manager about the additional moderators they work with. This monitoring is designed to ensure that the standard of moderation across the local authority is consistently high; professional conduct, professional dialogue, effectiveness of final feedback, strengths and areas for development are identified and acted upon.

Feedback is gathered about the process through a de-brief session with moderators at the end of the summer term and through questionnaires sent to schools selected for moderation. This feedback informs the next cycle of moderation and future training for moderators.

## Protecting Information

All paperwork completed during the moderation visit should be sent to the moderation manager electronically. Paperwork should contain confirmation of feedback from the headteacher, class teacher and moderators. This could be through:

- scanning paperwork with signatures and emailed.
- emailing electronic versions of paperwork from the headteacher's email address with a statement from the headteacher stating that they accept the feedback offered.

A copy of the signed paperwork should remain with the headteacher.

**Records will be stored in a confidential, password protected area for 5 years.**



## **Appendix 1 - Solihull LA Local Agreement**

### **Request for pupil data**

STA does not require LAs to ask schools for pupil data in advance of an external moderation visit.

In the past we have requested that schools provide the moderator with a list of judgements for all children in the cohort during the Meet the Moderator briefing, or prior to the visit.

This allows the moderator to select pupils prior to the visit based on current judgements and enable a broad and varied sample.

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.**

### **Meet the Moderator briefing**

For KS1 and KS2 we hold 'Meet the Moderator' 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.

### **Number of moderators**

STA guidance states that in the majority of cases only one moderator should visit a school.

In Solihull, visits may be conducted by two or more moderators depending upon the size of the school. This enables less experienced moderators to be mentored by more experienced moderators. It also allows more quality time to be spent exploring evidence provided by teachers and for the visit to be completed in half a day. Schools will be informed of the number of moderators prior to the visit.

### **Notice of visit**

The date of the moderation visit is usually set by the Local Authority but can be negotiated with the moderators during the Meet the Moderator visit.

STA have set the moderation window between **4th and 27th June 2019**.

### **Data Submission**

Schools will be asked to submit assessments for KS1 in line with the assessment and reporting arrangements booklet.

For KS2, the LA operate a data checking and submission service for all maintained schools and schools are asked to submit teacher assessment data **one week earlier** than the STA guidance. This is beneficial to the school, the LA and STA as it ensures 100% accurate data on submission and meets the STA deadline.

The LA makes it clear to schools that they do not have to use this service, and are free to upload their data directly to STA if they wish to have the additional time, and provides notes of guidance how to complete this.

**The Local Agreement was agreed by the Solihull Schools Improvement Working Group (as part of the Solihull Strategic accountability Board) on 11<sup>th</sup> January 2019.**



## Appendix 2 - Appeals and potential maladministration

(See also 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). 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.
- On the day of the visit, 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.
  - Discuss with the head teacher why the judgements are inaccurate.
  - Aim to reach agreement with the headteacher through further discussion.
  - Record the outcome on the moderation note of visit.
  - 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:

- All of the pupils' work, where the assessment judgement is in dispute, must be initialled by the teachers and moderators as only this work will be reviewed during subsequent moderations.
- **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 detail the reasons for the appeal.
- Signed 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.
- Appeals must be addressed to **Donna Wright (dowright@solihull.gov.uk)** and evidence received no later than **Friday 21<sup>st</sup> June, 5.00pm**. Appeals will be acknowledged on receipt.

### **The Appeals Panel**

The moderation appeals panel will consist of local authority external moderators from Solihull, Birmingham and Walsall local authorities. who have not been involved in the initial moderation.

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.

Should the appeal be rejected, the case is referred to STA as information.

The appeals panel's verdict is final.

### **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.

## **Appendix 3 - Moderation Forms and Records**

### **Solihull Key stage 1 moderation sample collection form**

This form will be used during the Meet the Moderation session to gather information about the sample of pupils to be selected. Moderators will use their own coding so that assessments are not obvious to anyone else looking at the sheet. Moderators will contact schools within one working day of the sample of pupils to be moderated.

### **Solihull Key Stage 1 moderation summary of judgements**

This form will be completed by moderators and records the teacher's teacher assessments for reading, writing and mathematics prior to the discussion and then moderators' judgements following the discussion. It is important for the transference of this data to the data team, that the pupils' UPNs are recorded.

### **Solihull Key stage 1 moderation visit form**

Moderators will complete this form highlighting strengths and next steps for practice.

### **Solihull Key stage 2 Year 6 writing moderation sample collection form**

This form will be used during the Meet the Moderation session to gather information about the sample of pupils to be selected. Moderators will use their own coding so that assessments are not obvious to anyone else looking at the sheet. Moderators will contact schools within one working day of the sample of pupils to be moderated.

### **Solihull Key stage 2 Year 6 writing moderation data collection form**

This form will be completed by moderators and records the teacher's teacher assessments for writing prior to the discussion and then moderators' judgements following the discussion. It is important for the transference of this data to the data team, that the pupils' UPNs are recorded.

### **Solihull Key stage 2 moderation visit form**

Moderators will complete this form highlighting strengths and next steps for practice.

### **Information for appeals**

Moderators will complete this form with the information required in the event of an appeal.

### Solihull key stage 1 moderation sample collection form

School:

Date:

Total number of individual children in sample:

Number in reading:

Number in writing:

Number in mathematics:

**Sample and pre-moderation judgements**

**Reading:**

Class/ teaching group	Child

**Writing:**

Class/ teaching group	Child

**Mathematics:**

Class/ teaching group	Child

- Highlight/code pupils so that you are aware of those who are WTS, EXS, GD

### Solihull key stage 1 moderation – summary of judgements

School:	DfE No:
Headteacher:	Date:
Total number of individual children in sample:	
Number in reading:	Number in writing:
	Number in mathematics:

#### Summary of judgements

**Reading:**

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod (school or LA?)	School to appeal judgement

**Writing:**

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod. (school or LA?)	School to appeal judgement

**Mathematics:**

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod. (school or LA?)	School to appeal judgement

**Signed:**

Headteacher: .....

Teacher(s): .....

Moderator(s): .....

### Solihull key stage 1 moderation visit

School:	DfE No:
Headteacher:	Date:
KS1 Class teacher(s)	
Number of Year 2 classes/children	Number in sample
Feedback arrangements As code of practice / particular requirements	
<b>Summary of visit</b>	
<b>Range of evidence shared:</b>	
<b>Areas of discussion:</b>	
<b>Strengths:</b>	
<b>Areas for development:</b>	
Are there any areas for development that may need checking next year? Yes / No	
Please outline them:	
School systems and processes validated      Yes / No (circle appropriate judgement)	
<b>Signed:</b>	Feedback accepted      Yes / No
Headteacher: .....	If 'no' state reason
Teacher(s) .....	
Moderator(s) .....	

## Solihull key stage 2 year 6 writing moderation sample collection form

School:	Date:
Total number of pupils in cohort (Year 6):	Number of classes:
Number of pupils in sample (15% or minimum of 5 pupils):	
<b>Sample and pre-moderation visit judgements</b>	

**Writing:**

	Pupil	Pre-moderation visit judgement
<b>Class 1</b>		
1		
2		
3		
4		
5		
<b>Class 2</b>		
6		
7		
8		
9		
10		
<b>Class 3</b>		
11		
12		
13		
14		
15		
<b>Class 4</b>		
16		
17		
18		
19		
20		

\*Highlight/code pupils so that you are aware of those who are WTS, EXS, GD

## Solihull key stage 2 Year 6 writing moderation– summary of judgements

School: \_\_\_\_\_ DfE No: \_\_\_\_\_

Headteacher: \_\_\_\_\_ Date: \_\_\_\_\_

Total no. of pupils in cohort (Year 6): \_\_\_\_\_ Number of teaching groups: \_\_\_\_\_

Number of pupils in sample (15% or minimum of 5 pupils): \_\_\_\_\_

### Summary of judgements

Teaching group: \_\_\_\_\_

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod. (school or LA?)	School to appeal judgement

Teaching group: \_\_\_\_\_

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod. (school or LA?)	School to appeal judgement

Teaching group: \_\_\_\_\_

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod. (school or LA?)	School to appeal judgement

Teaching group: \_\_\_\_\_

Child's UPN	Child's name	Teacher assessment	Moderators' assessment	Poss. of Remod. (school or LA?)	School to appeal judgement

**Signed:**  
 Headteacher: .....  
 Teacher(s): .....  
 Moderator(s): .....



### Solihull key stage 2 moderation visit

School:	DfE No:
Headteacher:	Date:
KS2 Class teacher(s)	
Number of Year 6 classes/children	Number in sample
Feedback arrangements: As code of practice / particular requirements	
Summary of visit	
<b>Range of evidence shared:</b>	
<b>Areas of discussion:</b>	
<b>Strengths:</b>	
<b>Areas for development:</b>	
Are there any areas for development that may need checking next year? Yes / No	
Please outline them:	
School systems and processes validated      Yes / No (circle appropriate judgement)	
<b>Signed:</b>	Feedback accepted      Yes / No
Headteacher: .....	If 'no' state reason
Teacher(s) .....	
Moderator(s) .....	

## Information for Appeals

<b>School</b>			
<b>Moderators</b>		<b>Date of moderation</b>	
<b>Headteacher</b>		<b>Class teacher</b>	

<b>Initials of pupil</b>	
--------------------------	--

<b>Statements not agreed</b>	<b>Reason why (including evidence shared towards statement)</b>

Signed:..... (Headteacher)

Signed:..... (Class teacher)

Signed:..... (Moderator)

Signed:..... (Moderator)