



Standards
& Testing
Agency

Teacher assessment moderation: key stage 2

School requirements

December 2015

Key stage 2 moderation: essential requirements for schools

School requirements for teacher assessment

The headteacher (or delegate) 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.

Schools must follow the requirements below to ensure that moderation results in accurate TA judgements.

Essential requirements

- Schools must use the interim TA frameworks and national exemplification materials to ensure that their TA judgements are accurate.
- Schools must have a clear internal moderation process, which scrutinises TA in advance of any external moderation activity. This may include:
 - senior management of the school scrutinising evidence provided for TA judgements against the interim TA frameworks and national exemplification
 - inter-school moderation where teachers have an opportunity to scrutinise the evidence for judgements against each of the 'pupil can' statements within the standard awarded from the interim TA framework, using the national exemplification materials to support their judgements, with teachers from other schools

Suitable evidence for moderation

The local authority (LA) external moderator will scrutinise evidence produced during day-to-day teaching to validate the school's judgements. This will avoid creating any additional workload for teachers. The evidence must show that the pupil demonstrates attainment of all of the 'pupil can' statements within the standard and all the statements in the preceding standard(s).

Key stage 2 writing – essential requirements

- The LA external moderator will expect to see a range of writing that includes both fiction and non-fiction. The evidence can come from pupils' exercise books and other examples of written work for a range of purposes and audiences. Written work drawn from other subjects should also be used alongside any other evidence that the school considers relevant.
- LA external moderators must be satisfied as to the independent status of the evidence. The school must ensure that the evidence clearly identifies the amount of support a pupil has received.

School responsibilities during the external moderation visit

Schools may receive a LA external moderation visit in the summer term after the national TA data submission date. The selected schools will receive formal notice of a visit after the national TA data submission date.

National TA data submission date

- Key stage 2 deadline: 27 May 2016

If your school is notified that it will receive a moderation visit, the following actions must be taken.

Essential requirements

- The headteacher (or delegate) must permit the LA external moderator to enter the premises of the school at all reasonable times.
- The LA external moderator should have a quiet area to conduct the external moderation visit.
- The school must meet requests from the LA external moderator for samples of pupils' classwork or any other information reasonably required.
- There is no expectation that the school staff will need to be released for the whole visit; however, the LA external moderator may wish to speak to school staff regarding any aspect of the evidence presented.
- The LA external moderator should be able to validate the school's TA judgements from evidence that is normally available from day-to-day teaching and learning. They must have access to the pupils' evidence of ongoing learning and assessment (in whichever format it is routinely kept).
- The LA external moderator must meet with the headteacher (or delegate) at the end of the moderation visit to offer formal feedback and a written visit note which is signed by the headteacher (or delegate) and the LA external moderator.

Data submission

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

Essential requirements

- The headteacher (or delegate) must submit TA judgements to either the LA or STA for KS2.
- The headteacher (or delegate) must ensure that all submitted TA data is accurate and submitted as per the national TA deadline so that national external moderation can take place. If a school cannot meet this deadline they must have discussed this with their LA and/or STA. Failure to do so could result in the matter being reported to the STA maladministration team.
- The headteacher (or delegate) must be fully aware of the statutory requirements regarding the process for submission of KS2 TA data and the legal requirement for accuracy of submitted pupil data.
- The school must not re-submit TA data after the deadline without authorisation from STA or the LA.

Appeals

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

Essential requirements

- The headteacher (or delegate) must be aware of the LA's appeals process before the LA moderation visit.
- The LA external moderator will refer to the appeals process during the moderation visit.
- The headteacher (or delegate) must have evidence to support any appeal before the appeal is processed (the evidence can only be based on that validated during the LA moderation visit).



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Local authority requirements

December 2015

Key stage 2 moderation: essential requirements for local authorities

These tables set out requirements for local authority (LA) moderation and identify essential requirements to help LAs plan and carry out their statutory moderation duties.

Moderation plan

LAs must plan an annual programme to ensure that their statutory duties in relation to the moderation of key stage 2 (KS2) teacher assessment (TA) are met.

Essential requirements

- The Standards and Testing Agency (STA) requires LAs to have an internal moderation plan for KS2 writing.
- LAs must provide details to STA, via an STA online survey, of the main contact details for the moderation team and, specifically, an accountable LA officer who has strategic responsibility for the planning and implementation of KS2 moderation.
- LAs must address, within 2016 planning, any relevant concerns which arose from STA's 2014 and 2015 external moderation process.
- LAs should communicate details of the moderation process to all relevant stakeholders including:
 - LA colleagues including the data team
 - headteachers
 - teachers
- LAs must have a specific moderation appeals procedure.

Recruitment and quality assurance of the LA external moderation team

To ensure LAs carry out consistent and accurate moderation of judgements against the standards within the interim TA frameworks, they must recruit a moderation team with appropriate and recent experience at key stage 2. LAs must also quality assure and train moderators so that external moderation is delivered consistently.

Essential requirements

- LAs must have an effective process for the recruitment of LA external moderators.
- All LA external moderators must be qualified teachers with recent and relevant experience of key stage specific assessment and moderation. They must be able to consistently demonstrate their ability to:
 - objectively review evidence against the standards within the interim TA frameworks and national exemplification materials
 - provide accurate written and verbal feedback.
- LAs must provide an effective moderator training programme, which refers to the interim TA frameworks, to ensure validity and reliability of the moderation process.
- As part of the LA external moderator's induction, LAs must make sure that newly appointed moderators have access to a mentor, and provide opportunities to shadow visits as early as possible in the moderation window.
- LAs must make sure that quality assurance of LA external moderator practice is carried out to ensure consistent and effective practice.

Moderation visits

LA external moderation visits for 2015 to 2016

Essential requirements

- LAs must moderate a minimum of 25% of schools within their area. STA will select a number of schools for moderation which must be included in the LA's moderation arrangements. Details of any schools selected by STA will be sent to LAs in the final week of the spring term.
 - LAs must also include schools for moderation based on their own local intelligence to ensure that they externally moderate 25% of their schools. Triggers for external moderation may include new teaching staff
 - new senior leadership team
 - Ofsted concern
 - historical data concern
 - date of last external moderation
 - other local concern
- Schools must not be notified that they will receive a moderation visit until after the key stage 2 data submission deadline has passed.

Preparing for moderation visits

LAs must ensure that all schools are aware of external moderation processes. Visits must be arranged and pupils selected in line with STA's requirements.

Essential requirements

- LAs must ensure that external moderators do not visit schools with which they have a potential or perceived conflict of interest. For example, LA external moderators who are serving teachers should not visit schools in their immediate vicinity. Similarly, LA external moderators should not visit schools where they have recently provided support or intervention activities, such as those designed to raise pupil attainment.
- LAs must maintain an accurate record of historical external moderation visits including the reasons for each visit.
- LAs must provide consistent and proactive communications to schools.
- LAs must be aware of arrangements for moderating academies and independent schools.
- LAs must notify schools of an external moderation visit only after the TA submission date:
 - Key stage 2 TA submission deadline: 27 May 2016

Selecting the sample of pupils for moderation

LAs must select the sample of pupils for moderation.

Essential requirements

- LAs must notify schools of the chosen pupils in the sample either on the day of the visit or, at the earliest, the day before.
- The exact number of pupils discussed during the external moderation visit will vary, depending on the school's size and circumstances. Final sample selection must rest with the LA external moderator.
- The LA external moderator must select a minimum sample of 15% across the cohort, or in the case of a single class, a minimum of 5 pupils. The sample must cover the full range of attainment within the cohort.

Suitable evidence for moderation

Essential requirements

- LA external moderators must be satisfied as to the independent status of the evidence. The school must ensure that the evidence clearly identifies the amount of support a pupil has received.
- The LA external moderator must review evidence produced during day-to-day teaching in year 6 to validate pupils' attainment and the accuracy of TA judgements. This will avoid creating any additional workload for the year 6 teacher.
- The school must provide evidence of writing that includes both fiction and non-fiction. The evidence can come from pupils' exercise books and other examples of written work for a range of purposes and audiences. Written work drawn from other subjects should also be used alongside any other evidence that the school considers relevant.

Validating teacher assessment judgements

To demonstrate that a pupil has met the standard within the interim TA frameworks, the LA external moderator must scrutinise the evidence presented and validate each judgement within the sample. The evidence must show that the pupil demonstrates attainment of all of the 'pupil can' statements within the standard they have been awarded and all the 'pupil can' statements in any preceding standard(s).

Essential requirements

- Visits must take place at an agreed time within the school day.
- There is no expectation that school staff will need to be released for the visit. However, the LA external moderator may wish to speak to school staff regarding any aspect of the evidence presented. The focus of the visit is primarily to scrutinise and validate the evidence presented.
- The LA external moderator must scrutinise the evidence for writing for each selected pupil against each of the 'pupil can' statements within the standard awarded from the interim TA framework, using the national exemplification materials to support their judgement. Moderators must be assured that the 'pupil can' statements in any preceding statements have also been met by the pupil.
- When validating handwriting against the standards within the interim TA framework for writing, reference must be made to the specific guidance within the interim TA framework document.
- If there is insufficient evidence or concern about the accuracy of a judgement, the LA external moderator must request additional evidence and/or expand the sample. In certain cases, the sample may be expanded to include the whole cohort.
- Where the LA external moderator judges that there is insufficient evidence for the standard awarded, they must detail, within the visit note, the revised judgement and the reason for it.
- If the moderator is unable to validate judgements due to a systematic lack of evidence, they must refer the school to the STA maladministration team.
- Where moderation takes place outside of the school visit model, all of the above applies.

Agreed sign off of the external moderation visit

The LA external moderator must provide written confirmation of the moderation visit to the school. This will confirm whether the school's TA judgements are considered to be consistent with the standards within the interim TA frameworks and national exemplification materials.

Essential requirements

- The LA external moderator must provide the school with a completed LA record of the visit, which includes:
 - the pre-validated TA data set
 - the agreed validated judgements
 - any validated decisions that the school intends to appeal
 - any concerns that require further action by the school or LA
- The LA external moderator must ensure that the record of the visit is signed by the headteacher (or delegate) and LA external moderator.
- Where moderation takes place outside of the school visit model, all of the above applies.

Data submission

LAs are required to have a process to analyse submitted TA data to check that it matches external moderation decisions and that all schools have submitted accurate TA data by the national TA submission date.

Essential requirements

- All schools must submit accurate TA data by the national TA submission date.
- A school must only re-submit data post TA submission date when required to do so by STA or the LA.
- Where a school is required to re-submit data post-external moderation by the LA, the LA must verify this re-submission for accuracy. If any concerns arise the LA must investigate and consider referring the issue to the STA maladministration team.
- LAs must have a defined data validation process utilising local intelligence to investigate any unexpected pattern of attainment for any school.
- Close links should be maintained between the moderation team and the data team within the LA. This will aid the data validation process.

Appeals

LAs are required to have an appeals process and share it with their schools.

Essential requirements

- 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 during 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).



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