



Department  
for Education

# **School workforce census 2016**

**Instructions for local authorities on how  
to use COLLECT to submit their data**

**September 2016**

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## Introduction

The COLLECT (collections online for learning, education, children and teachers) portal is used by schools, academies, local authorities and the Department for Education (DfE) for processing data collection returns. Major benefits of the portal include real time data collection monitoring and progress reporting, the ability of a local authority to view exactly the same information as DfE when queries arise and being a website there are no installation issues.

This document is designed to guide users through the various aspects of COLLECT as related to the school workforce census data return from initial submission, data validation and final approval by DfE.

The department now collects data from a wide range of users; generic terminology must be used within COLLECT. A provider of data is known as a 'source', an 'agent' is someone who undertakes verification and checking of the data and a 'collector' is the final destination of the information.

# Secure access (SA) and the COLLECT portal

To access secure access existing users will need their username and password.

## Secure access

[Forgotten username or password?](#)

 I agree to the terms of use

## Welcome to Secure access

The Secure Access Portal allows registered users access to the Department for Education's systems. Access to systems are granted on an individual basis and therefore some systems may not be visible.

First time here?

[Visit the Secure Access Help page](#)

## Announcements

If you are a new user and require access to COLLECT, you will need to speak to your approver. Full secure access guidance is published on the [Secure Access Website](#).

Once you have logged in you will see the link for COLLECT, click on this link highlighted below.

## Welcome to Secure access

Allowing registered users access to the Department for Education's systems. Access to systems are granted on an individual basis and therefore some systems may not be visible.

Need help?

[Visit the Secure access help page](#)

## Your applications

**COLLECT**

Collections On-Line for Learning, Education, Children, and Teachers.

Then click on to continue to enter COLLECT

COLLECT Portal

Collect Welcome

Welcome to COLLECT (Collections On-Line for Learning, Education, Children, and Teachers). COLLECT is the DfE Centralised Data Collection and Management System for Education

### Important notice for users of Internet Explorer older than version 6.0.

The Department is performing necessary maintenance work on its IT servers on the 25th July. As a result of this work customers using browsers older than IE 6.0 will no longer be able to access Departmental systems and should upgrade their browser to a more recent version. We apologise for any inconvenience this may cause.

### COLLECT Exports

We are aware of a technical issue affecting some users attempting to export files from COLLECT when using Internet Explorer 11 software. This is being urgently investigated by our service partners. Customers experiencing problems can revert to an earlier version of Internet Explorer or use alternative web browser software. We apologise for any inconvenience caused.

### Scheduled Downtime

Please note: COLLECT will be unavailable from 17:00 to 17:30 on Tuesday 18th August for scheduled maintenance

PROCEED INTO COLLECT

[Code of Conduct](#)

If you are bounced back to your homepage at this point check that you are not trying to access the site from a link within an e-mail. Please copy and paste the address into the address bar then save it to your favourites.

Follow the steps below to add the web addresses to your trusted sites.

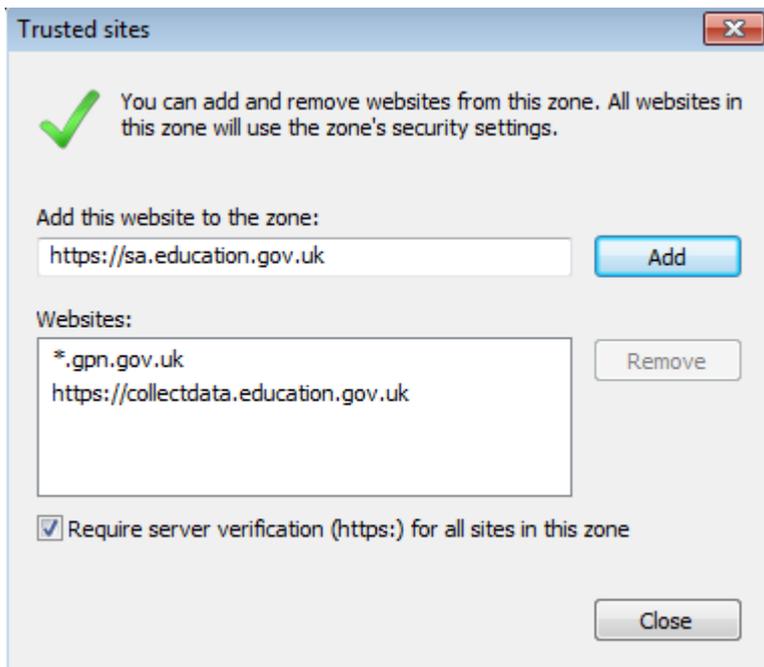
Go into the tools menu option at the top of the screen.

Select internet options from the drop down menu. Select security from the option buttons, Selected trusted sites, select sites, then select add and type the following into the text box:

`https://collectdata.education.gov.uk`

Then select ok and ok. Please check that the secure access site is also in the trusted sites.

The addresses should appear in the large box.



# LA (agent page) screen

The agent main screen will be displayed

| Data Collection                  | User Role     | Organisation                    | Status         | Due Date                   | Days Due   |
|----------------------------------|---------------|---------------------------------|----------------|----------------------------|------------|
| SchoolWorkforceCensus2015        | Administrator | Department for Education        | Testing/Live   | 04/12/2015 00:00:00        | -250       |
| SchoolWorkforceCensus2015        | Agent         | Department for Education        | Testing        | 04/12/2015 00:00:00        | -250       |
| SchoolWorkforceCensus2015        | Collector     | Department for Education        | Testing        | 04/12/2015 00:00:00        | -250       |
| SchoolWorkforceCensus2016        | Source        | Department for Education        | Testing/Live   | 02/12/2016 00:00:00        | 114        |
| SchoolWorkforceCensus2016        | Administrator | Department for Education        | Testing/Live   | 02/12/2016 00:00:00        | 114        |
| <b>SchoolWorkforceCensus2016</b> | <b>Agent</b>  | <b>Department for Education</b> | <b>Testing</b> | <b>02/12/2016 00:00:00</b> | <b>114</b> |
| SchoolWorkforceCensus2016        | Collector     | Department for Education        | Testing        | 02/12/2016 00:00:00        | 114        |

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[Select Data Collection](#)

Select the collection by clicking on the collection name to highlight it (if there is only one it will be automatically highlighted) and then click on the select data collection button to open it.

The agent main screen will be displayed

| MY SOURCES  |                          |           |               |              |                |       |        |         |           |
|---|--------------------------|-----------|---------------|--------------|----------------|-------|--------|---------|-----------|
| Filter By: Name Native ID Status Org Group Queue [Go] [Reset] |                          |           |               |              |                |       |        |         |           |
| <b>Performance summary</b>                                    |                          |           |               |              |                |       |        |         |           |
| Expected  | Outstanding              | Submitted | Approved      | Authorised   | Errors         |       |        |         |           |
| 11  | 6                        | 5         | 0             | 0            | E              | Q     | OK     |         |           |
|   |                          |           |               |              | 385            | 383   | 0      |         |           |
| <b>Sources</b>  |                          |           |               |              |                |       |        |         |           |
| Source ID   | Source Name              | Status    | SubmittedDate | ApprovedDate | AuthorisedDate | Queue | Errors | Queries | OK Errors |
| 001   | Department for Education | Submitted | 09/08/2016    |              |                |       | 5      | 7       | 0         |
| 0014000   | DfE Secondary Academy    | Submitted | 09/08/2016    |              |                |       | 19     | 26      | 0         |
| 0014009   | TDUSchool10              | Submitted | 09/08/2016    |              |                |       | 7      | 7       | 0         |
| 0014001   | TDUSchool2               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014002   | TDUSchool3               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014003   | TDUSchool4               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014004   | TDUSchool5               | Submitted | 08/08/2016    |              |                |       | 249    | 275     | 0         |
| 0014005   | TDUSchool6               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014006   | TDUSchool7               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014007   | TDUSchool8               | No_Data   |               |              |                |       | 0      | 0       | 0         |

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## Return status

This shows the current status of the return and a breakdown of the errors within it. All information is read only.

| Sources   |                          |           |               |              |                |       |        |         |           |
|-----------|--------------------------|-----------|---------------|--------------|----------------|-------|--------|---------|-----------|
| Source ID | Source Name              | Status    | SubmittedDate | ApprovedDate | AuthorisedDate | Queue | Errors | Queries | OK Errors |
| 001       | Department for Education | Submitted | 09/08/2016    |              |                |       | 5      | 7       | 0         |
| 0014000   | DfE Secondary Academy    | Submitted | 09/08/2016    |              |                |       | 19     | 26      | 0         |
| 0014009   | TDUSchool10              | Submitted | 09/08/2016    |              |                |       | 7      | 7       | 0         |
| 0014001   | TDUSchool2               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014002   | TDUSchool3               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014003   | TDUSchool4               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014004   | TDUSchool5               | Submitted | 08/08/2016    |              |                |       | 249    | 275     | 0         |
| 0014005   | TDUSchool6               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014006   | TDUSchool7               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014007   | TDUSchool8               | No_Data   |               |              |                |       | 0      | 0       | 0         |

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## Return management

This provides a set of functions that can be used to manage the return. Those with bold text and highlighted borders are available. The availability of the functions is dictated by the status of the return.



# Uploading a return

Click on the upload return from selected source button or to upload a zip file containing several returns click the upload multiple returns button.

| Source_ID | Source_Name              | Status    | SubmittedDate | ApprovedDate | AuthorisedDate | Queue | Errors | Queries | OK Errors |
|-----------|--------------------------|-----------|---------------|--------------|----------------|-------|--------|---------|-----------|
| 001       | Department for Education | Submitted | 09/08/2016    |              |                |       | 5      | 7       | 0         |
| 0014000   | DIE Secondary Academy    | Submitted | 09/08/2016    |              |                |       | 19     | 26      | 0         |
| 0014009   | TDUSchool10              | Submitted | 09/08/2016    |              |                |       | 7      | 7       | 0         |
| 0014001   | TDUSchool2               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014002   | TDUSchool3               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014003   | TDUSchool4               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014004   | TDUSchool5               | Submitted | 08/08/2016    |              |                |       | 249    | 275     | 0         |
| 0014005   | TDUSchool6               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014006   | TDUSchool7               | No_Data   |               |              |                |       | 0      | 0       | 0         |
| 0014007   | TDUSchool8               | No_Data   |               |              |                |       | 0      | 0       | 0         |

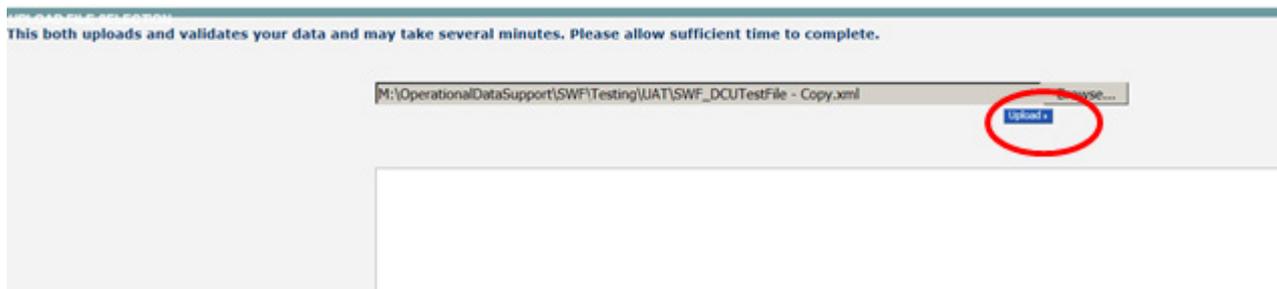
Page 1 of 2

Buttons: Open Return..., Approve..., Approve All..., Unapprove..., Reject..., Delete..., Export Selected..., Export Multiple..., Export All..., Upload Return for selected Source..., Upload Multiple Returns (zip file)..., Launch Reports..., Queue Management..., Change Queue..., Move to this queue ->, Agent Administration..., Run Matching, Run Reconciliation, Resolve Matching, Resolve Reconciliation.



Use the browse button to locate the XML file you wish to upload.

Highlight the file name and click on open to select it. Then click on the upload button to load the file.



A progress message will be displayed while the upload is taking place.



Once the return has been loaded, the following message will be displayed on screen.



This indicates that the return has successfully loaded and is now placed in the validation queue to be validated. Press the ok button to return to the agent main page.

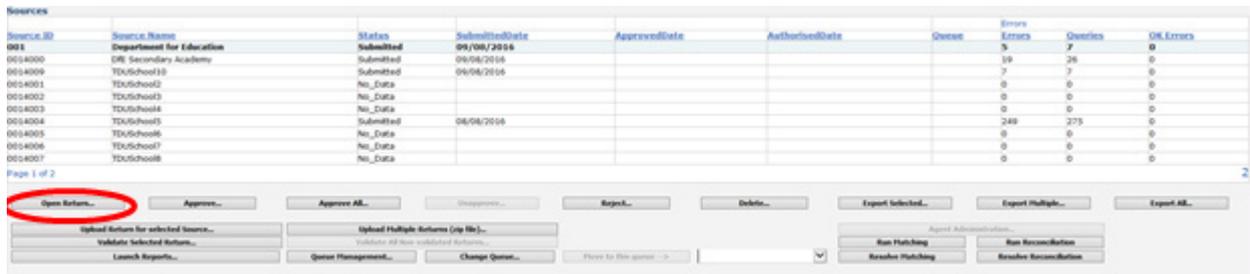
During periods of heavy demand, there may be a delay before the return is validated. Whilst the return has a status of `waiting_for_validation` then the return cannot be viewed or edited.

Once the return has been validated, the return status section on main page will display submitted and the total number of errors and queries found in the return will be displayed.

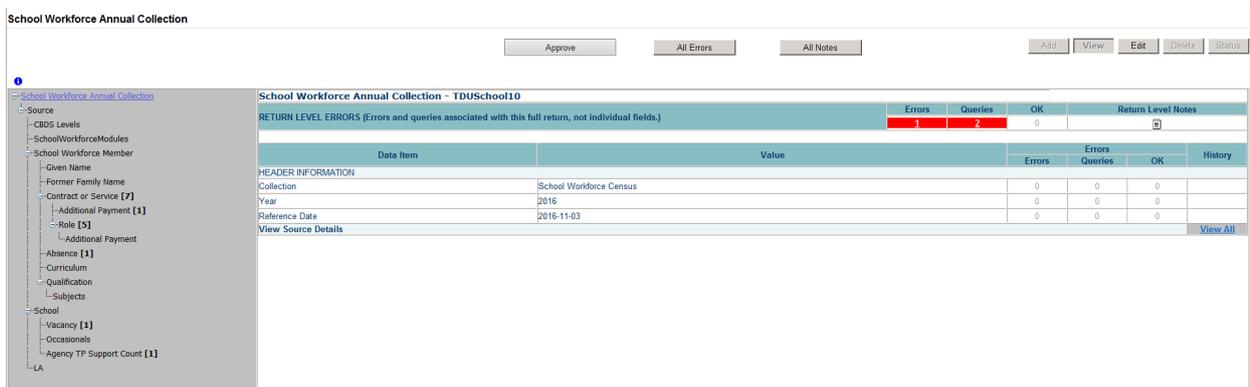
# Viewing the data return

## Opening the return

Open the return by highlighting the school you wish to open and click on the open return button.



The header information for the return will be displayed.

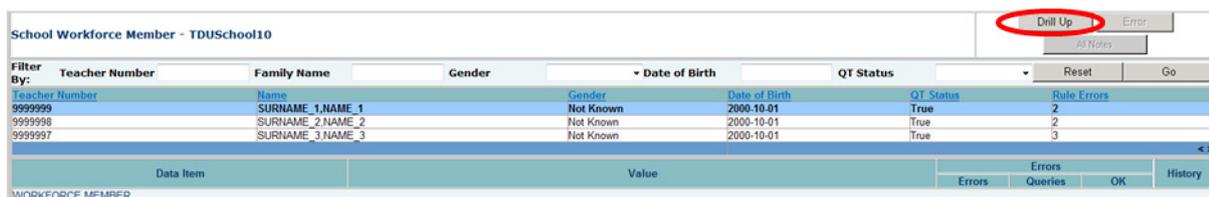


## Screen functionality

Before viewing the return it is useful to understand some of the basic controls and screen operations.

## Screen navigation

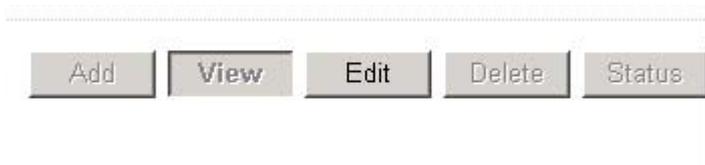
To return to the previous page, press the drill up button



Don't use the browser buttons! When in the data collection, unpredictable behaviour may be experienced if you use the back/forward buttons on your web browser's toolbar.

## Mode buttons

Those buttons determine which operation mode the on-screen data form is in, and which operations are available



Dark grey text on sunken button with light border = active mode

Black text on button and highlighted border = available mode

Light grey text on button with light border = unavailable mode

## Filter bars

Only available on screens that could have a large record set, for example workforce member. This allows criteria to be entered to identify a group of related records or a single record. For instance if the user types a name in the family name box and selects the 'go' button then only workforce members with that family name will be displayed in the record list. This enables the user to specific records rather than having to page through all the records.

|            |                |                      |             |                      |        |                      |               |                      |           |                      |       |    |
|------------|----------------|----------------------|-------------|----------------------|--------|----------------------|---------------|----------------------|-----------|----------------------|-------|----|
| Filter By: | Teacher Number | <input type="text"/> | Family Name | <input type="text"/> | Gender | <input type="text"/> | Date of Birth | <input type="text"/> | QT Status | <input type="text"/> | Reset | Go |
|------------|----------------|----------------------|-------------|----------------------|--------|----------------------|---------------|----------------------|-----------|----------------------|-------|----|

## Filter left hand menu

Please avoid using the left hand filter menu (grey panel on the left hand side of the page) to navigate through the return as it does not always display sections of the return in the correct format and functions such as add or edit are not always available.

School Workforce Annual Collection

- Source
  - CBDS Levels
  - SchoolWorkforceModules
  - School Workforce Member [14]
    - Given Name
    - Former Family Name
    - Contract or Service [21]
      - Additional Payment
      - Role
        - Additional Payment
    - Absence
    - Curriculum
    - Qualification
      - Subjects
  - School
    - Vacancy
    - Occasionals
    - Agency TP Support Count
  - LA

**School Workforce Member - TDUSchool10**

| Filter By: | Teacher Number | Family Name      | Gender |
|------------|----------------|------------------|--------|
|            | 9999999        | SURNAME_1,NAME_1 |        |
|            | 9999998        | SURNAME_2,NAME_2 |        |
|            | 9999997        | SURNAME_3,NAME_3 |        |

| Data Item                         |           |
|-----------------------------------|-----------|
| WORKFORCE MEMBER                  |           |
| <b>Staff Details</b>              |           |
| Teacher Number                    | 9999999   |
| Family Name                       | SURNAME_1 |
| <b>Given Name</b>                 |           |
| NAME_1                            |           |
| MIDNAME_1                         |           |
| <b>View Given Name(s)</b>         |           |
| <b>Former Family Name</b>         |           |
| FORMER_1                          |           |
| <b>View Former Family Name(S)</b> |           |
| NI Number                         | XX999999C |

# Viewing the return details

School Workforce Annual Collection

Approve All Errors All Notes Add View Edit Delete Status

School Workforce Annual Collection - TDUSchool10

| RETURN LEVEL ERRORS (Errors and queries associated with this full return, not individual fields.) |  | Errors | Queries | OK | Return Level Notes |
|---|--|--------|---------|----|--------------------|
|   |  | 1      | 2       | 0  |                    |

| Data Item           | Value                   | Errors |         |    | History |
|---------------------|-------------------------|--------|---------|----|---------|
|                     |                         | Errors | Queries | OK |         |
| HEADER INFORMATION  |                         |        |         |    |         |
| Collection          | School Workforce Census | 0      | 0       | 0  |         |
| Year                | 2016                    | 0      | 0       | 0  |         |
| Reference Date      | 2016-11-03              | 0      | 0       | 0  |         |
| View Source Details |                         |        |         |    |         |

View All

Access the source details by clicking on the view all button in the view source details row on the original screen displaying the header details for the return.

Now access the workforce member details by clicking on the view all button in the view school workforce members row.

School Workforce Annual Collection

Approve All Errors All Notes Add View Edit Delete Status

Source - TDUSchool10

Drill Up Error All Notes

| LA       | Estab | Source Level | Software Code | Rule Errors |
|----------|-------|--------------|---------------|-------------|
| SWF LA 1 | 4009  | School       | SWF Converter | 0           |

| Data Item                     | Value               | Errors |         |    | History |
|-------------------------------|---------------------|--------|---------|----|---------|
|                               |                     | Errors | Queries | OK |         |
| SOURCE                        |                     |        |         |    |         |
| Source Level                  | School              | 0      | 0       | 0  |         |
| LA                            | SWF LA 1            | 0      | 0       | 0  |         |
| Estab                         | 4009                | 0      | 0       | 0  |         |
| Software Code                 | SWF Converter       | 0      | 0       | 0  |         |
| Release                       | 1.0                 | 0      | 0       | 0  |         |
| Xversion                      | 1.5                 | 0      | 0       | 0  |         |
| Serial No                     | 1                   | 0      | 0       | 0  |         |
| DateTime                      | 2016-08-09 12:02:53 | 0      | 0       | 0  |         |
| View CBS Levels               |                     |        |         |    |         |
| View School Workforce Modules |                     |        |         |    |         |
| View School Workforce Members |                     |        |         |    |         |
| View School Details           |                     |        |         |    |         |
| View LA Details               |                     |        |         |    |         |

View All View All View All View All

This displays the records list section, with all members of staff visible

## Record list

Clicking on one of the blue column headers for instance date of birth will order all the records in date of birth. The record list can be sorted ascending or descending by clicking once or twice on the header of any of the columns.

| Teacher Number | Name             | Gender    | Date of Birth | QI Status | Rule Errors |
|----------------|------------------|-----------|---------------|-----------|-------------|
| 9999999        | SURNAME_1_NAME_1 | Not Known | 2000-10-01    | True      | 2           |
| 9999998        | SURNAME_2_NAME_2 | Not Known | 2000-10-01    | True      | 2           |
| 9999997        | SURNAME_3_NAME_3 | Not Known | 2000-10-01    | True      | 3           |

The lower part of the screen will show the record details of the record highlighted in the top half of the screen

| School Workforce Member - TDUSchool10                    |   |             |               |               |             |        | Drill Up  | Error |
|--|---|-------------|---------------|---------------|-------------|--------|-----------|-------|
|  |   |             |               |               |             |        | All Notes |       |
| Filter By:   | Teacher Number                                  | Family Name | Gender        | Date of Birth | QT Status   |        | Reset     | Go    |
| Teacher Number   | Name  | Gender      | Date of Birth | QT Status     | Rule Errors |        |           |       |
| 9999999  | SURNAME_1.NAME_1                                | Not Known   | 2000-10-01    | True          | 2           |        |           |       |
| 9999998  | SURNAME_2.NAME_2                                | Not Known   | 2000-10-01    | True          | 2           |        |           |       |
| 9999997  | SURNAME_3.NAME_3                                | Not Known   | 2000-10-01    | True          | 3           |        |           |       |
| Data Item  | Value   | Errors      |               |               | History     |        |           |       |
| WORKFORCE MEMBER   |   |             |               |               |             | Errors | Queries   | OK    |
| Staff Details  |   |             |               |               |             |        |           |       |
| Teacher Number   | 9999999   | 0           | 0             | 0             |             |        |           |       |
| Family Name  | SURNAME_1                                       | 0           | 0             | 0             |             |        |           |       |
| Given Name   |   |             |               |               |             |        |           |       |
| NAME_1   |   |             |               |               |             |        |           |       |
| MIDNAME_1  |   |             |               |               |             |        |           |       |
| View Given Name(s) <a href="#">View All</a>              |   |             |               |               |             |        |           |       |
| Former Family Name                                       |   |             |               |               |             |        |           |       |
| FORMER_1   |   |             |               |               |             |        |           |       |
| View Former Family Name(S) <a href="#">View All</a>      |   |             |               |               |             |        |           |       |
| NI Number  | XX999999C                                       | 0           | 0             | 0             |             |        |           |       |
| Gender   | Not Known                                       | 0           | 0             | 0             |             |        |           |       |
| Date of Birth  | 2000-10-01                                      | 1           | 1             | 0             |             |        |           |       |
| Ethnic Code  | WBRI - White - British                          | 0           | 0             | 0             |             |        |           |       |
| Disability   | no  | 0           | 0             | 0             |             |        |           |       |
| QT Status  | True  | 0           | 1             | 0             |             |        |           |       |
| HLTA Status  | True  | 1           | 0             | 0             |             |        |           |       |
| QTS Route  | Mutual Recognition from NI, Scotland or the EEA | 0           | 0             | 0             |             |        |           |       |
| View Contract/Agreement Details <a href="#">View All</a> |   |             |               |               |             |        |           |       |
| View Absence Details <a href="#">View All</a>            |   |             |               |               |             |        |           |       |
| View Curriculum Details <a href="#">View All</a>         |   |             |               |               |             |        |           |       |
| View Qualification Details <a href="#">View All</a>      |   |             |               |               |             |        |           |       |

You can sort the record set by given name by clicking on the name column in the record list section.

| School Workforce Member - TDUSchool10 |                  |             |               |               |             |        | Drill Up  | Error |
|---------------------------------------|------------------|-------------|---------------|---------------|-------------|--------|-----------|-------|
|                                       |                  |             |               |               |             |        | All Notes |       |
| Filter By:                            | Teacher Number   | Family Name | Gender        | Date of Birth | QT Status   |        | Reset     | Go    |
| Teacher Number                        | Name             | Gender      | Date of Birth | QT Status     | Rule Errors |        |           |       |
| 9999999                               | SURNAME_1.NAME_1 | Not Known   | 2000-10-01    | True          | 2           |        |           |       |
| 9999998                               | SURNAME_2.NAME_2 | Not Known   | 2000-10-01    | True          | 2           |        |           |       |
| 9999997                               | SURNAME_3.NAME_3 | Not Known   | 2000-10-01    | True          | 3           |        |           |       |
| Data Item                             | Value            | Errors      |               |               | History     |        |           |       |
|                                       |                  |             |               |               |             | Errors | Queries   | OK    |

You can also filter the record set by typing the surname in the family name box in the filter section' and then click on the go button. The record details for that staff member should be displayed on screen.

| School Workforce Member - TDUSchool10 |                  |             |               |               |             |        | Drill Up  | Error |
|---------------------------------------|------------------|-------------|---------------|---------------|-------------|--------|-----------|-------|
|                                       |                  |             |               |               |             |        | All Notes |       |
| Filter By:                            | Teacher Number   | Family Name | Gender        | Date of Birth | QT Status   |        | Reset     | Go    |
| Teacher Number                        | Name             | Gender      | Date of Birth | QT Status     | Rule Errors |        |           |       |
| 9999999                               | SURNAME_1.NAME_1 | Not Known   | 2000-10-01    | True          | 2           |        |           |       |
| 9999998                               | SURNAME_2.NAME_2 | Not Known   | 2000-10-01    | True          | 2           |        |           |       |
| 9999997                               | SURNAME_3.NAME_3 | Not Known   | 2000-10-01    | True          | 3           |        |           |       |
| Data Item                             | Value            | Errors      |               |               | History     |        |           |       |
|                                       |                  |             |               |               |             | Errors | Queries   | OK    |

## Editing within the data return

Where possible data should be amended within the schools management information system and a new return re-uploaded.

The default view when a screen is displayed is view mode. To edit the details click on the edit button. The details for the workforce member will now be available to edit.

Click on the QTS route cell in the value column: a drop down list of selectable values will be displayed.

Selecting 'annual college exit – graduate course' from the list. The selected value will be displayed and the details will be saved. If data is entered rather than selected from a list, navigating to another field or hitting the return/enter key will save the data.

Editing existing information will create a history record for the item that has been changed/added.

Changed items are identified by an icon displayed in the history column.

| View Given Name(s)              |                                       |   |   |   |   | View All  |
|---------------------------------|---------------------------------------|---|---|---|---|---|
| Former Family Name              |                                       |   |   |   |   |   |
| FORMER_1                        |                                       |   |   |   |   |   |
| View Former Family Name(S)      |                                       |   |   |   |   | View All  |
| U Number                        | XX999999C                             | 0 | 0 | 0 | 0 |   |
| Gender                          | Not Known                             | 0 | 0 | 0 | 0 |   |
| Date of Birth                   | 2000-10-01                            | 1 | 1 | 0 | 0 |   |
| Ethnic Code                     | WBRI - White - British                | 0 | 0 | 0 | 0 |   |
| Disability                      | no                                    | 0 | 0 | 0 | 0 |   |
| QT Status                       | True                                  | 0 | 1 | 0 | 0 |   |
| ALTA Status                     | True                                  | 1 | 0 | 0 | 0 |   |
| QTS Route                       | Annual College Exit - Graduate Course | 0 | 0 | 0 | 0 |  |
| View Contract/Agreement Details |                                       |   |   |   |   |   |
| View Absence Details            |                                       |   |   |   |   |   |
| View Curriculum Details         |                                       |   |   |   |   |   |
| View Qualification Details      |                                       |   |   |   |   |   |

Click on the history icon for the QTS route item that we have just amended. Details of all changes made to the item are displayed (1 row per change), including the name of the user who made the change

| Filter By: | Action  | User                                  | Start Date              | End Date | Go                       | Reset                      |
|------------|---|---------------------------------------|-------------------------|----------|--------------------------|----------------------------|
| Filter     | Old Value                                       | New Value                             | User                    | Role     | Organization             | Date                       |
| Update     | Mutual Recognition from NI, Scotland or the EEA | Annual College Exit - Graduate Course | Username displayed here | Source   | Department for Education | Date the change took place |

# Errors

When a return has been uploaded a number of validation checks are run against the data in that return and all errors and queries are highlighted in red against the relevant data item. There are different levels of errors, 'return level' and 'data item level'

## Total return errors

The breakdown of errors for all school returns for the local authority is shown in the performance summary section of the agent's main screen.

| Performance summary |             |           |          |            |     | Errors |    |  |
|---------------------|-------------|-----------|----------|------------|-----|--------|----|--|
| Expected            | Outstanding | Submitted | Approved | Authorised | E   | Q      | OK |  |
| 11                  | 8           | 3         | 0        | 0          | 154 | 72     | 0  |  |

## Return level errors

Return level errors relate to a validation rule that applies to the return as a whole rather than an individual data item within the return, for example the school return must contain details on occasional teachers and a return-level error is generated if this information is missing.

Approve All Errors All Notes Add View Edit Delete Status

| School Workforce Annual Collection - TDUSchool10  |                         |        |                    |    |          |
|---|-------------------------|--------|--------------------|----|----------|
| RETURN LEVEL ERRORS (Errors and queries associated with this full return, not individual fields.) |                         |        |                    |    |          |
| Errors  | Queries                 | OK     | Return Level Notes |    |          |
| 1   | 2                       | 0      |                    |    |          |
| Data Item   | Value                   | Errors | Queries            | OK | History  |
| HEADER INFORMATION  |                         |        |                    |    |          |
| Collection  | School Workforce Census | 0      | 0                  | 0  |          |
| Year  | 2016                    | 0      | 0                  | 0  |          |
| Reference Date  | 2016-11-03              | 0      | 0                  | 0  |          |
| View Source Details   |                         |        |                    |    | View All |

Return level errors are displayed and are accessible from the header information screen.

## Data Item level errors and queries

Data item errors are highlighted against the item to which they relate. All data items that are part of a failed validation rule will contain an error marker, not only the item containing the potentially invalid value. For example the rule that checks whether a person appears to be aged over 100 years compares the date of birth with the date of the census, so both items would be flagged if that validation failed, even though it is probably only the date of birth that is wrong.

You can view the error message by selecting the area the error is in for example if you wanted to view the absence error you would go to the workforce members screen, select the record, then click view all in the view absence details' row. Errors are displayed against the first day and last day data items in the errors section of the screen.

Click on the red box in the row for last day. An error report will be displayed.

| Absence - TDUSchool10 |  |            |            |  | Drill Up       |    | Error   |  |
|-----------------------|--|------------|------------|--|----------------|----|---------|--|
|                       |  |            |            |  | All Notes      |    |         |  |
| Name                  | NI Number  | First Day  | Last Day   | Absence Category                                       | Rule Errors    |    |         |  |
| P1,F1                 | XX99998A   | 2014-11-05 | 2014-11-05 | Other Paid Authorised Absence e.g. Compassionate Leave | 1              |    |         |  |
| Data Item             | Value  |            |            | Errors   | Errors Queries | OK | History |  |
| ABSENCE               |  |            |            |  | 0              | 0  |         |  |
| First Day             | 2014-11-05   |            |            |  | 0              | 0  |         |  |
| Last Day              | 2014-11-05   |            |            | 1  | 0              | 0  |         |  |
| Working Days Lost     | 1.0  |            |            |  | 0              | 0  |         |  |
| Absence Category      | Other Paid Authorised Absence e.g. Compassionate Leave |            |            | 0  | 0              | 0  |         |  |

The report shows that last day of absence cannot be before the first day of absence. To see all the data items that are possibly affected by this validation click on the details button next to the error message.

Blade Error Report - SchoolWorkforceCensus2016

TDUSchool10 LastDayOfAbsence Error report on 10/08/2016 at 11:26

| Priority | Error Message   | Count | Notes                   |
|----------|---|-------|-------------------------|
| 4336     | Last Day of absence must be in the current or preceding academic year | 1     | <a href="#">Details</a> |

Page 1 of 1

| Priority | Queries | Count | Notes |
|----------|---------|-------|-------|
|          |         | 0     |       |

Page 1 of 1

| Priority | OK | Count | Notes |
|----------|----|-------|-------|
|          |    | 0     |       |

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The information will be displayed as hyperlinks on the right.

Blade Error Report - SchoolWorkforceCensus2016

TDUSchool10 LastDayOfAbsence Error report on 10/08/2016 at 11:28

| Priority | Error Message   | Count | Notes                   | Field    | Value              |
|----------|---|-------|-------------------------|----------|--------------------|
| 4336     | Last Day of absence must be in the current or preceding academic year | 1     | <a href="#">Details</a> | Last Day | Nov 5 2014 12:00AM |

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| Priority | Queries | Count | Notes |
|----------|---------|-------|-------|
|          |         | 0     |       |

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| Priority | OK | Count | Notes |
|----------|----|-------|-------|
|          |    | 0     |       |

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## Correcting errors

Identify which of the fields contains the incorrect value and return to the screen that contains it by clicking on the field value in the details section. Change the mode of the form to edit and then click on the data item that needs to be changed

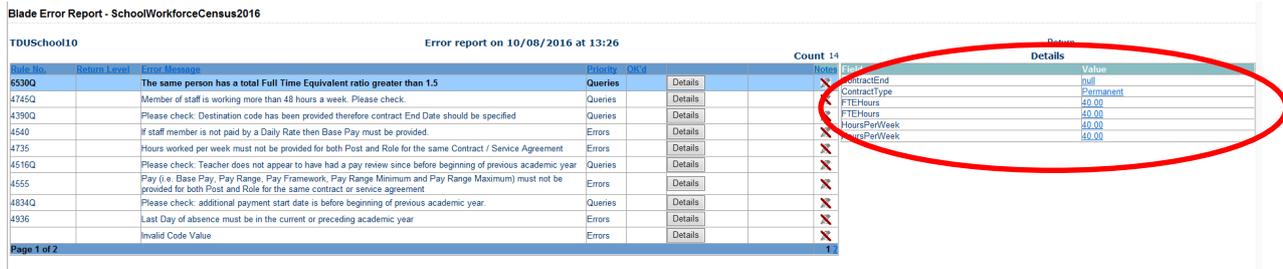
# Viewing errors and queries

To view all errors and queries on the return click on the all errors' button



This will show you a list of all queries and errors. You can see the error number, message and also click on details to see what data is not passing validation.

You can click on the underlined data values to the right of the screen to be taken to that field in the return



## Return level notes

In some instances you will be requested to provide explanatory information.

If a notepad entry is not returned the EDD helpdesk will have to contact you for further information.

Please note from November 2015 it has only been possible to complete return level notes. Return level notes are not overwritten if a resubmission is made.

To add a return level note click on the pen icon in the return level notes section.

| RETURN LEVEL ERRORS (Errors and queries associated with this full return, not individual fields.) |                         | Errors | Queries | OK | Return Level Notes |
|---|-------------------------|--------|---------|----|--------------------|
| Data Item   | Value                   | Errors | Queries | OK | History            |
| HEADER INFORMATION  |                         |        |         |    |                    |
| Collection  | School Workforce Census | 0      | 0       | 0  |                    |
| Year  | 2016                    | 0      | 0       | 0  |                    |
| Reference Date  | 2016-11-03              | 0      | 0       | 0  |                    |
| View Source Details   |                         |        |         |    | View All           |

Click add new note.

Note Page

Notes - SchoolWorkforceCensus2015

| User | Role | Organisation | Note ID | Date and Time |
|------|------|--------------|---------|---------------|
|------|------|--------------|---------|---------------|

Note Detail

Add New Note

Type your note and the error number in the box provided and click create.

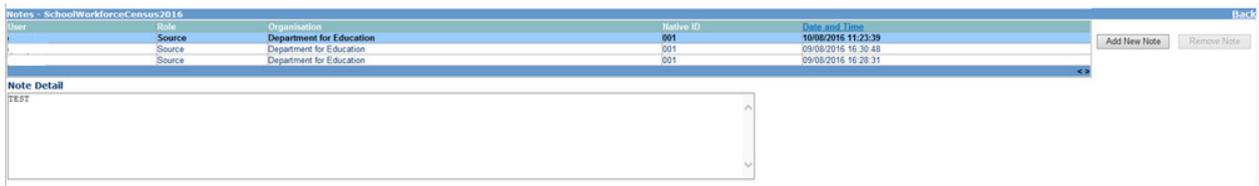
Note Page

Create New Note

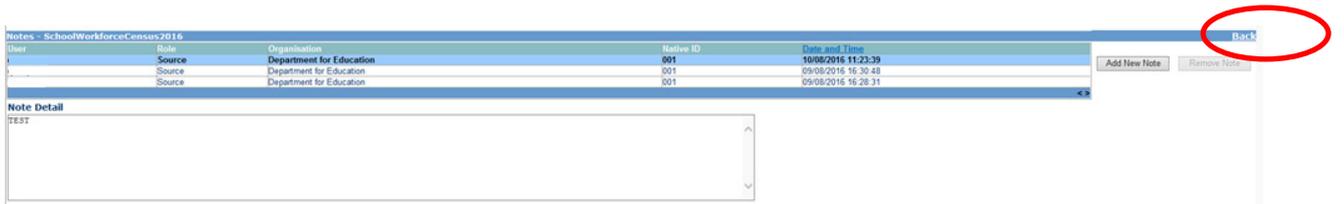
Type your note here

Create Cancel

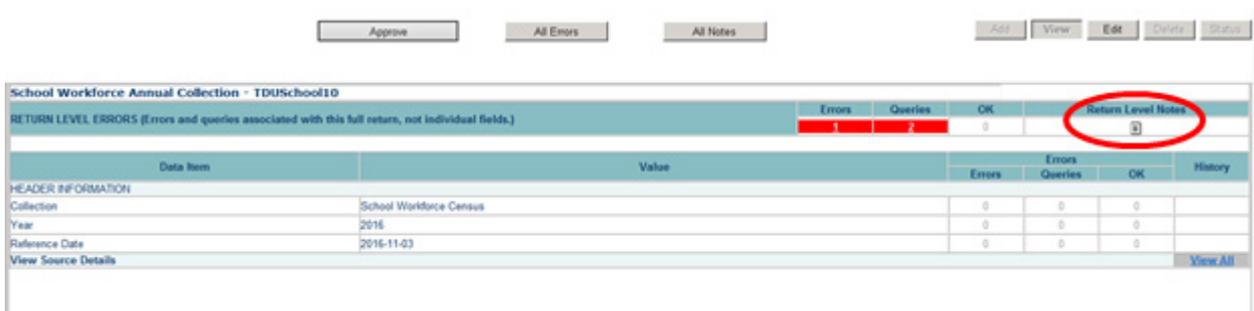
The note will be saved and a record row will be created showing who created the note and when.



Return to the previous screen by clicking on back.



The pen icon will have changed to a notepad icon, which shows that the item has one or more notes attached to it. You are able to record notes in both edit and view modes.



Please ensure there is a note for all queries/errors remaining on your return.

You can enter one note to cover numerous queries.

# Approving your return

If you do not need to run matching and reconciliation (M&R) for a school (meaning – only one file has been loaded into COLLECT) and you have added all notes and corrected any errors on your return please remember to click approve to send the information to the department. This will then show the date of approval in the corresponding box.

If you have completed all of your returns (M&R is completed for the required schools, notes have been added to all errors/queries) you can use the approve all function.

| Source ID | Source Name              | Status           | SubmittedDate | ApprovedDate | AuthorisedDate | Queue | Errors | Queries | OK Errors |
|-----------|--------------------------|------------------|---------------|--------------|----------------|-------|--------|---------|-----------|
| 001       | Department for Education | Submitted        | 09/08/2016    |              |                |       | 5      | 7       | 0         |
| 0014000   | DfE Secondary Academy    | Approved         | 09/08/2016    | 10/08/2016   |                |       | 19     | 26      | 0         |
| 0014009   | TDUSchool10              | Amended_by_agent | 09/08/2016    |              |                |       | 7      | 7       | 0         |
| 0014001   | TDUSchool2               | No_Data          |               |              |                |       | 0      | 0       | 0         |
| 0014002   | TDUSchool3               | No_Data          |               |              |                |       | 0      | 0       | 0         |
| 0014003   | TDUSchool4               | No_Data          |               |              |                |       | 0      | 0       | 0         |
| 0014004   | TDUSchool5               | Submitted        | 08/08/2016    |              |                |       | 249    | 275     | 0         |
| 0014005   | TDUSchool6               | No_Data          |               |              |                |       | 0      | 0       | 0         |
| 0014006   | TDUSchool7               | No_Data          |               |              |                |       | 0      | 0       | 0         |
| 0014007   | TDUSchool8               | No_Data          |               |              |                |       | 0      | 0       | 0         |

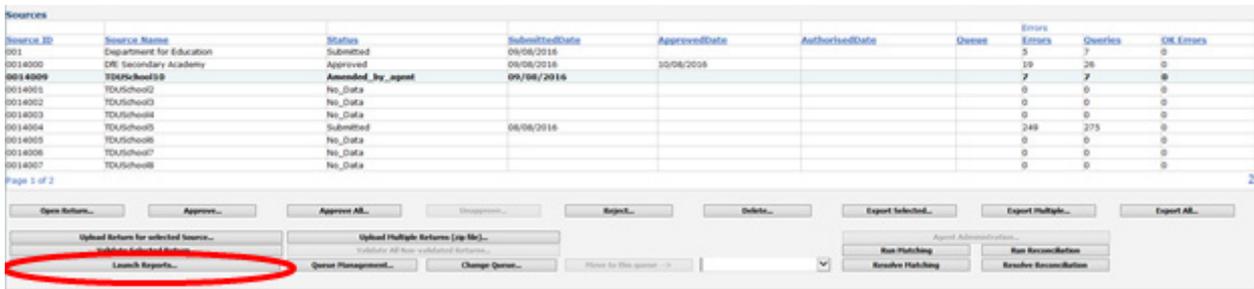
Page 1 of 2

Open Return... **Approve...** **Approve All...** Unapprove... Reject... Delete... Export Selected... Export Multiple... Export All...

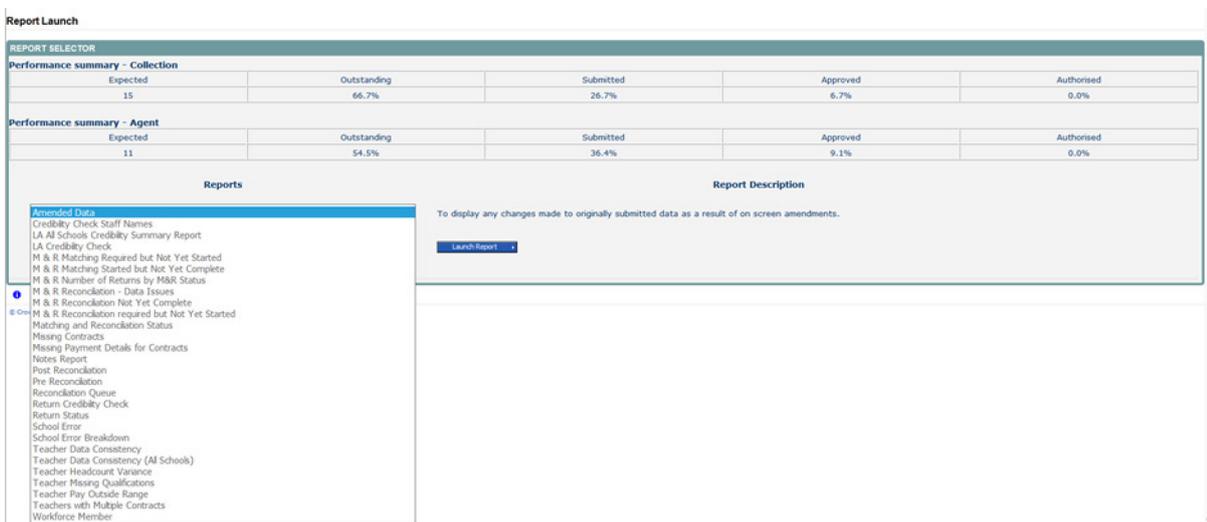
Upload Return for selected Sources... Upload Multiple Returns (zip file)... Agent Administration...  
Validate Selected Return... Validate All Non-validated Returns... Run Matching Run Reconciliation  
Launch Reports... Queue Management... Change Queue... Move to this queue --> [v] Resolve Matching Resolve Reconciliation

# Launching reports

A number of reports are available on COLLECT, return to the agent page by selecting back to my collect page at the top of the page and click on the launch reports button.



A drop down menu will be displayed and a report can be selected from that drop down list.



Once you have selected your report you will need to select the school you want to run it for and click Launch report. The report will be produced and along the top of the report you will see a toolbar with various functions.

## Exporting reports

You can export reports by clicking on the drop down menu which results in the display of a list box showing various formats in which you can export the report. Select one of the formats, click the export button and you will then be prompted to open or save the output file.



## Exporting a data return

A return can be exported in xml or csv format by using the export selected (exports the highlighted school), export all (exports all returns which have data) or export multiple (you are asked which schools you wish to export with a maximum 10 per export)

| Source ID | Source Name              | Status           | Submitted Date | Approved Date | Authorised Date | Queue | Errors | Queues | OK Errors |
|-----------|--------------------------|------------------|----------------|---------------|-----------------|-------|--------|--------|-----------|
| 001       | Department for Education | Submitted        | 04/08/2015     |               |                 | 5     | 7      | 0      |           |
| 0014000   | DE Secondary Academy     | Approved         | 09/08/2016     | 10/08/2016    |                 | 19    | 26     | 0      |           |
| 00143009  | TDSchool09               | Amended_by_agent | 09/08/2016     |               |                 | 7     | 7      | 0      |           |
| 0014001   | TDSchool02               | No_Data          |                |               |                 | 0     | 0      | 0      |           |
| 0014002   | TDSchool03               | No_Data          |                |               |                 | 0     | 0      | 0      |           |
| 0014003   | TDSchool04               | No_Data          |                |               |                 | 0     | 0      | 0      |           |
| 0014004   | TDSchool05               | Submitted        | 06/08/2016     |               |                 | 249   | 275    | 0      |           |
| 0014005   | TDSchool06               | No_Data          |                |               |                 | 0     | 0      | 0      |           |
| 0014006   | TDSchool07               | No_Data          |                |               |                 | 0     | 0      | 0      |           |
| 0014007   | TDSchool08               | No_Data          |                |               |                 | 0     | 0      | 0      |           |

The following screen will be displayed. Select the format for the export, CSV or XML then select the export button.

**CHOOSE EXPORT FORMAT**

**Export the current data for the selected Source**

Please select the format that you wish to export this data:

Export as XML

Export as CSV

Please Select the Status that you wish to export this data:  
**Either:**

All

**Or one or more of the following**

Loaded and validated

Amended by source

Submitted

Amended by agent

Approved

Amended by collector

Authorised

**Export**

Once this has run you will get an option to open or save the export.

Exporting as XML will generate a zip file containing the selected return data. Exporting as CSV generates a zip file containing CSV files that relate to how data is stored within COLLECT. Make your choice and click the export button and follow the web browser prompts on screen.

The reports are run against a copy of the data as at close of play the previous day. If any data has been edited, deleted, inserted or reloaded since the data was copied, the report will not match the live data.

If the export process fails, with a message stating that Internet Explorer has blocked download of a file, you might succeed if you try again. On the second attempt, hold down

the ctrl key continuously from before you click on export until after you see the resulting files displayed in Windows Explorer. If this is still not successful, you will have to adjust the security settings on your internet browser.

When complete the result of the export will be displayed and you will be offered the options of saving or opening the export file. Click on the open button.

The security settings on your pc may prevent the file download appearing. If this is the case then go into the tools menu option at the top of the screen.

Select internet options from the drop down menu.

Select security from the option buttons.

Select trusted sites.

Select sites.

The select add and type the following into the text box:

<https://collectdata.education.gov.uk>

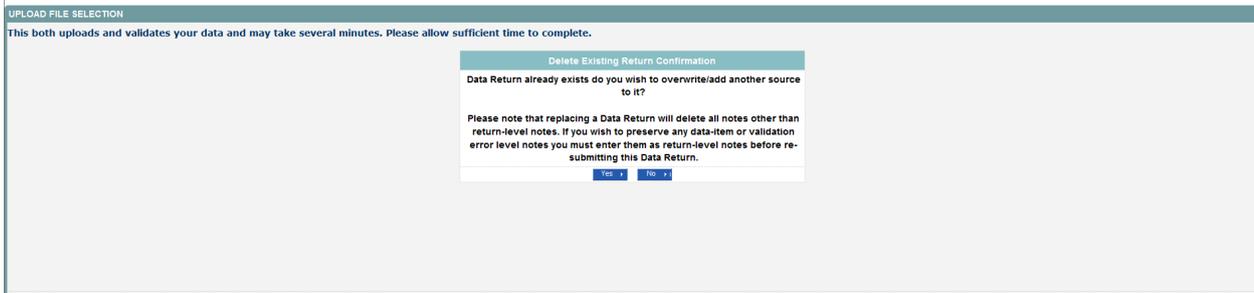
Then select ok and ok.

Alternatively, you could try changing you security settings by:

Going into the tools menu option at the top of the screen, select internet options, select security, click on the custom level button, then make sure that automatic prompting for file downloads is set to enabled (it's a third of the way down the list).

## Useful hints

Re-submissions – if a data return already exists in the system and you upload another file, it will overwrite the original return completely no matter where it is in the workflow (submitted or authorised). This will not overwrite any notes that have been entered in the return level notes. If you try to upload a file that is already in the system then you will be given the following message



We recommend that you take great care when selecting this option and make sure that all parties who may be working, or have worked on this return agree to the re-submission. When uploading a zip file containing several data items then please be aware that you will not be prompted with the above message if any of the settings contained in the zip file are already on the system. It will automatically overwrite the return without warning you.

When navigating around the COLLECT system it is important that you use the COLLECT drill up button or COLLECT back button which are toward the top right of your COLLECT screen. If the drill up or back buttons are not visible then you may be in one of the earlier screens and to navigate back from here you will need to click back to my COLLECT page located at the top of your COLLECT screen above your login name. You will be either given an error message or thrown out of the system if you use your web browser back button.

When amending errors, once you have completed your actions on a particular error you will need to drill back out of that record to the main screen before being able to select another error to investigate. If you try to select an error and have found the error through the all errors page before drilling out you will be given the error message: cannot choose another error to investigate

## Matching and reconciliation

You only need to complete matching and reconciliation if you have uploaded data from two separate sources for example staff information from the MIS and pay details from your HR system.

There are four stages to this process:

Run matching

Resolve matching

Run reconciliation

Resolve reconciliation

This process allows local authorities who have more than one return for their schools to merge the data from the multiple returns thereby creating one return only per school. Local authorities who only have one return per school do not need to run M&R.

The guidance below is provided due to issues that arose around M&R in previous collections.

1. After completing matching and reconciliation the return should be re-validated. Do this by highlighting the return and selecting the 'validate selected return' button from the main agent screen. This will remove all the errors associated with the original partial returns and re-validate the data in the master collect return.
2. Issues with data – Some returns had multiple records with very similar or the same data in them. For example curriculum records with the same year group and subject and multiple contract records which had the same role and post and overlapping start and end periods. The M&R process does not handle these as they would seem to be duplication in the original data from the MIS system. If the local authority experience this then they should investigate why these are occurring in the XML file before trying to complete the M&R process. The reason being that they might need to produce new XSLT files from their MIS to eliminate these duplicates and then run M&R against the new files. This was typically occurring on contract, curriculum and absence records.
3. Once the process of M&R has been started or is part way through (return has been matched but not yet reconciled) then the data in the original returns and the master collect returns should not be edited or records added or deleted as these will corrupt the M&R process. If it is necessary to add, edit or delete data then the user should go back amend the original return data and then re-run M&R on the amended return. If this is not done then sometimes after running reconciliation the

return will have a status of reconciliation\_failed. If this happens then re-run matching again, resolve any outstanding matches and then re-run reconciliation.

4. Some local authorities found it difficult to see which schools were at which stage of the M&R process. To help local authorities with this a number of new reports have been provided. These are only relevant for local authorities using M&R and we would not recommend that these are run by local authorities who do not use M&R. Please see details on M&R reports at the end of this section.
5. Matching functionality will only be available on schools or a central return with more than one return associated with it.
6. Reconciliation functionality will only be available when more than one return for that school has been uploaded and matching has been successfully completed on that return.
7. When matching, if one return has blanks, or 'not obtained' in a field for example QTS route, ethnic code, disability and the other return has these fields populated then the master collect return will be populated with the valid values rather than the nulls or 'not obtained' values.
8. After M&R has been successfully completed there should only be one visible source in COLLECT for that school. This should be collect master source. If there is still more than one source then M&R has not yet been fully completed.
9. If a return has already been reconciled, re-running the matching again will undo any reconciliation action previously taken.
10. Whenever contract data is supplied then the post and allowance data should also be supplied alongside the contract data in the same return. If some contract information comes in on one return and post and allowance information comes in on another return then this can result in two contract records being generated even after matching and reconciliation.

## Matching

Matching is the first part of the M&R process and is concerned with identifying and matching the data at staff member level. Staff members will only be matched using a predefined set of business rules ([Business & Technical Specification](#)). Using these rules the majority of the staff workforce members will be matched but a few will need to be matched manually if some of the key id fields vary so the system cannot be certain that two or more member records are the same person.

All returns for a school should have a status of submitted or amended by source or agent in order to run matching.

To run matching, go into the agent page and select the run matching button

| Source ID | Source Name              | Status           | SubmittedDate | ApprovedDate | AuthorisedDate | Domain | Errors | Queries | OK Errors |
|-----------|--------------------------|------------------|---------------|--------------|----------------|--------|--------|---------|-----------|
| 001       | Department for Education | Submitted        | 04/08/2016    |              |                |        | 5      | 7       | 0         |
| 0014000   | DE Secondary Academy     | Approved         | 08/08/2016    | 30/08/2016   |                |        | 19     | 26      | 0         |
| 0014009   | TDUSchool00              | Amended_by_agent | 09/08/2016    |              |                |        | 7      | 7       | 0         |
| 0014001   | TDUSchool02              | No_data          |               |              |                |        | 0      | 0       | 0         |
| 0014002   | TDUSchool03              | No_data          |               |              |                |        | 0      | 0       | 0         |
| 0014003   | TDUSchool04              | No_data          |               |              |                |        | 0      | 0       | 0         |
| 0014004   | TDUSchool05              | Submitted        | 08/08/2016    |              |                |        | 248    | 275     | 0         |
| 0014005   | TDUSchool06              | No_data          |               |              |                |        | 0      | 0       | 0         |
| 0014006   | TDUSchool07              | No_data          |               |              |                |        | 0      | 0       | 0         |
| 0014007   | TDUSchool08              | No_data          |               |              |                |        | 0      | 0       | 0         |

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Buttons: Open Returns, Approve, Approve All, Disapprove, Reject, Delete, Export Selected, Export Multiple, Export All, Upload Returns for selected Source, Upload Multiple Returns (zip file), Validate Selected Returns, Launch Reports, Queue Management, Change Queue, Filter by this query, Run Matching, Run Recon/Recon, Resolve Recon/Recon

A pick list of schools with multiple returns will be displayed. Highlight the school or schools that you want to run matching against and selected the add button.

SELECT SOURCES TO MATCH

AVAILABLE SOURCES FOR MATCHING

Available Sources: TDUSchool00

Selected Sources:

Buttons: Add, Add All, Remove, Remove All, Run Matching

This will move all the schools highlighted across to the selected sources box. Then select the run matching button.

SELECT SOURCES TO MATCH

AVAILABLE SOURCES FOR MATCHING

Available Sources:

Selected Sources: TDUSchool00

Buttons: Add, Add All, Remove, Remove All, Run Matching

By selecting this button you will have started the matching process for the return or returns selected. The user will be returned to the main agent screen and the matching process will be queued. The status of the return will allow you to see the stage the return is at in the process.

## Status of return during matching process

Awaiting\_matching then the return has been marked ready for matching but is still in a queue waiting for the matching process to start.

Matching\_in\_progress. This is when the matching is actually being completed on that return. While the return has this status then a user cannot view or edit that return.

Matching\_failed. This is when the matching process has failed to complete. In these cases then matching will need to be rerun.

Amended\_By\_agent then the matching has been completed and is now ready for the user to check whether a records need to be manually matched.

## Rules for matching

Please refer to [Business & Technical Specification](#) for more detail on the rules used for producing the matches. Matching will be performed at staff details level (identifying whether the individual staff members are the same individual or could be the same individual). There are two levels of matching, automatic and manual.

Automatic matches – no manual intervention is required, the record will be marked as a match and resolved

Potential matches – will need to be manually matched

No match identified – there are no matching records

## Resolve matching

Once the matching has been run and the amended\_by\_agent is shown as the status you will need to resolve any records not automatically matched. Click on the resolve matching button to run this

The screenshot displays a table with columns: Source ID, Source Name, Status, Submitted Date, Approved Date, Authorised Date, Errors, Errors, Queries, and OK Errors. The table lists several records, with the second record (Source ID 0014009) having a Status of 'Amended\_By\_agent' and a Submitted Date of '09/08/2016'. Below the table is a control panel with various buttons. The 'Resolve Matching' button is circled in red.

| Source ID | Source Name              | Status           | Submitted Date | Approved Date | Authorised Date | Errors | Errors | Queries | OK Errors |
|-----------|--------------------------|------------------|----------------|---------------|-----------------|--------|--------|---------|-----------|
| 001       | Department for Education | Submitted        | 05/08/2016     |               |                 | 5      | 7      | 0       | 0         |
| 0014000   | DE Secondary Academy     | Approved         | 05/08/2016     | 10/08/2016    |                 | 19     | 24     | 0       | 0         |
| 0014009   | TDSchool09               | Amended_By_agent | 09/08/2016     |               |                 | 7      | 7      | 0       | 0         |
| 0014001   | TDSchool0                | No_Data          |                |               |                 | 0      | 0      | 0       | 0         |
| 0014002   | TDSchool0                | No_Data          |                |               |                 | 0      | 0      | 0       | 0         |
| 0014003   | TDSchool0                | No_Data          |                |               |                 | 0      | 0      | 0       | 0         |
| 0014004   | TDSchool0                | Submitted        | 06/08/2016     |               |                 | 248    | 275    | 0       | 0         |
| 0014005   | TDSchool0                | No_Data          |                |               |                 | 0      | 0      | 0       | 0         |
| 0014006   | TDSchool0                | No_Data          |                |               |                 | 0      | 0      | 0       | 0         |
| 0014007   | TDSchool0                | No_Data          |                |               |                 | 0      | 0      | 0       | 0         |

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Buttons: Open Returns..., Approve..., Approve All..., Requeue..., Reject..., Delete..., Export Selected..., Export Multiple..., Export All..., Upload Returns for selected Source..., Upload Multiple Returns (up to 50)..., Validate Selected Returns..., Launch Reports..., Queue Management..., Change Queue..., Filter to this queue..., Run Matching, Run Reconciliation, Resolve Matching (circled in red), Resolve Reconciliation.

## Automatic matches

The example below shows where there are two records one from each return which can be automatically matched as they match on a number of 'key' fields. The given name and NI number are different but teacher number, family name and date of birth all match. So this will result in one individual going through to reconciliation rather than two. Please see example below.

TDUSchool10

Select match type: Automatic Matches

Automatic Matches No of Automatic Matches: 3

**AUTOMATICALLY MATCHED DATA ITEMS**

| First record in set                     | No of records in set |
|---|----------------------|
| 9999999: SURNAME_1, NAME_1 - 01/10/2000 | 2                    |
| 9999998: SURNAME_2, NAME_2 - 01/10/2000 | 2                    |
| 9999997: SURNAME_3, NAME_3 - 01/10/2000 | 2                    |

Page 1 of 1

**MATCHES FOR THIS DATA ITEM**

| Result    | Teacher Number | Family Name | Given Name(s)     | Former Family Name(s) | Date of Birth | Gender    | NI Number | LA No | Estab No | Software Code  | Source Level |
|-----------|----------------|-------------|-------------------|-----------------------|---------------|-----------|-----------|-------|----------|----------------|--------------|
| Match - 1 | 9999999        | SURNAME_1   | NAME_1, MIDNAME_1 | FORMER_1              | 01/10/2000    | Not Known | XX999999C | 001   | 4009     | SWF Convertor  | School       |
| Match - 1 | 9999999        | SURNAME_1   | NAME_1, MIDNAME_1 | FORMER_1              | 01/10/2000    | Not Known | XX999999C | 001   | 4009     | SWF Convertor2 | School       |

Flip All Match Results Update Matches

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The user does not have to take any action on these matches unless they do not want them to be a match.

TDUSchool10

Select match type: Automatic Matches

Automatic Matches No of Automatic Matches: 3

**AUTOMATICALLY MATCHED DATA ITEMS**

| First record in set                     | No of records in set |
|---|----------------------|
| 9999999: SURNAME_1, NAME_1 - 01/10/2000 | 2                    |
| 9999998: SURNAME_2, NAME_2 - 01/10/2000 | 2                    |
| 9999997: SURNAME_3, NAME_3 - 01/10/2000 | 2                    |

Page 1 of 1

**MATCHES FOR THIS DATA ITEM**

| Result    | Teacher Number | Family Name | Given Name(s)     | Former Family Name(s) | Date of Birth | Gender    | NI Number | LA No | Estab No | Software Code  | Source Level |
|-----------|----------------|-------------|-------------------|-----------------------|---------------|-----------|-----------|-------|----------|----------------|--------------|
| Match - 1 | 9999999        | SURNAME_1   | NAME_1, MIDNAME_1 | FORMER_1              | 01/10/2000    | Not Known | XX999999C | 001   | 4009     | SWF Convertor  | School       |
| Match - 1 | 9999999        | SURNAME_1   | NAME_1, MIDNAME_1 | FORMER_1              | 01/10/2000    | Not Known | XX999999C | 001   | 4009     | SWF Convertor2 | School       |

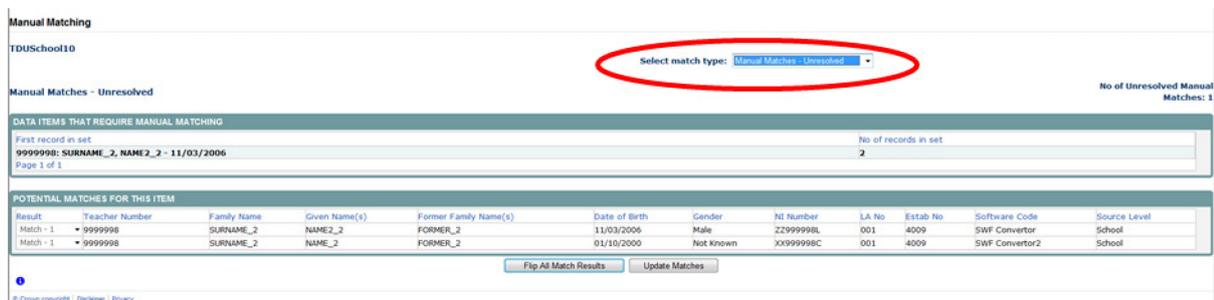
Flip All Match Results Update Matches

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If user decides that these are in fact not a match then they can change the result from match - 1' to no match by either using the flip all match results button or change each line by selecting from the result' column, then select the update matches. This will result in two workforce members going through to reconciliation rather than one.

## Manual matches

If there are records which match on a few of the key ID fields for example teacher number, family name, DOB, NI number but not enough of them then they will be identified in the manual matches – unresolved’ as COLLECT does not know whether to treat them as one person or not so the user has to resolve these.



The screenshot shows the 'Manual Matching' interface for TDUSchool10. A dropdown menu is set to 'Manual Matches - Unresolved'. Below this, there is a section for 'DATA ITEMS THAT REQUIRE MANUAL MATCHING' with one record: '9999998: SURNAME\_2, NAME\_2 - 11/03/2006'. A table titled 'POTENTIAL MATCHES FOR THIS ITEM' shows two matches. The first match is a perfect match on all fields. The second match is a partial match on some fields. Buttons for 'Flip All Match Results' and 'Update Matches' are visible at the bottom of the table.

| Result    | Teacher Number | Family Name | Given Name(s) | Former Family Name(s) | Date of Birth | Gender    | NI Number | LA No | Estab No | Software Code  | Source Level |
|-----------|----------------|-------------|---------------|-----------------------|---------------|-----------|-----------|-------|----------|----------------|--------------|
| Match - 1 | 9999998        | SURNAME_2   | NAME_2        | FORMER_2              | 11/03/2006    | Male      | ZZ999998L | 001   | 4009     | SWF Convertor  | School       |
| Match - 1 | 9999998        | SURNAME_2   | NAME_2        | FORMER_2              | 01/10/2000    | Not known | XX999998C | 001   | 4009     | SWF Convertor2 | School       |

If these are the same person then select update matches and that will treat them a one individual, if user selects flip all match results button and set them to no match then that will be treated as two none matching individuals.

## Reconciliation

The aim of reconciliation is to allow the system to decide how to process more than one set of data for a school for example should the records be merged and which records should be merged and which kept separate. Data reconciliation will be performed automatically using a set of predefined business rules ([Business & Technical Specification](#)): however there is also a requirement for manual reconciliation where data differences across records cannot be resolved automatically.

Unlike matching which is just done at workforce member level reconciliation is carried out at record level for example all the ‘curriculum’ records for an individual will be reconciled, absences records for an individual will be reconciled.

To run reconciliation, select the run reconciliation button from the agent screen. Schools will only be included in the picklist of schools to reconcile if they have more than one return and matching has been run and all manual matches have been resolved.

If return has a status of `matching_failed` then again matching will have to be rerun before reconciliation can be run.

| Source ID | Source Name              | Status             | SubmittedDate | ApprovedDate | AuthorizedDate | Dates | Errors | Queries | SQL Errors |
|-----------|--------------------------|--------------------|---------------|--------------|----------------|-------|--------|---------|------------|
| 001       | Department for Education | Submitted          | 09/08/2016    |              |                |       | 5      | 7       | 0          |
| 0014000   | DRS Secondary Academy    | Approved           | 09/08/2016    | 10/08/2016   |                |       | 19     | 26      | 0          |
| 0014009   | TDUSchool10              | Assessed_by_report | 09/08/2016    |              |                |       | 7      | 7       | 0          |
| 0014010   | TDUSchool2               | No_data            |               |              |                |       | 0      | 0       | 0          |
| 0014012   | TDUSchool3               | No_data            |               |              |                |       | 0      | 0       | 0          |
| 0014013   | TDUSchool4               | No_data            |               |              |                |       | 0      | 0       | 0          |
| 0014014   | TDUSchool5               | Submitted          | 08/08/2016    |              |                |       | 249    | 275     | 0          |
| 0014015   | TDUSchool6               | No_data            |               |              |                |       | 0      | 0       | 0          |
| 0014016   | TDUSchool7               | No_data            |               |              |                |       | 0      | 0       | 0          |
| 0014017   | TDUSchool8               | No_data            |               |              |                |       | 0      | 0       | 0          |

## Reconciliation (running)

Once all the manual matches on a return have been resolved then the user can go on and run reconciliation against that return.

One or a number of schools can be queued for reconciliation by moving them to the selected sources box and then select the run reconciliation.

SELECT SOURCES TO RECONCILE

AVAILABLE SOURCES FOR RECONCILIATION

Available Sources: TDUSchool10

Selected Sources:

Run Reconciliation

Highlight the school, click add and then select the run reconciliation'.

SELECT SOURCES TO RECONCILE

AVAILABLE SOURCES FOR RECONCILIATION

Available Sources:

Selected Sources: TDUSchool10

Run Reconciliation

This will start the reconciliation process which will now run in the background so a number of schools can be run overnight and will then be ready to work on the next day. Use the status of the return to identify whether reconciliation has been run successfully or not.

Awaiting\_reconciliation is when the return has been placed in the reconciliation queue but reconciliation has not yet been completed.

Reconciliation\_in\_progress. This is when the return has reached the top of the reconciliation queue and is currently being reconciled.

Reconciliation\_failed. This shows that there has been an error during the reconciliation process. This can be caused because the return has been editing between matching being completed and reconciliation being run and unresolved matches have been generated. These need to be resolved before reconciliation should be re-run.

Amended\_by\_agent' then the reconciliation has been completed and is now ready for the user to check whether all records have been automatically reconciled or whether some need to be manually reconciled

While the process of reconciliation is being carried out on that return then the user will not be able to added/edit/delete that return but the user can work on the other returns for that local authority.

## Resolve reconciliation

Once the reconciliation has been run and the amended\_by\_agent' is shown as the status you will need to resolve any records not automatically reconciled. Click on the resolve reconciliation button to run this.

The screenshot displays a table of returns with columns for Source ID, Source Name, Status, Submitted Date, Approved Date, Authorised Date, Errors, and Details. The 'Status' column for the selected row (0014009) shows 'Amended\_by\_agent'. Below the table is a control panel with various buttons. The 'Resolve Reconciliation' button is circled in red.

| Source ID | Source Name              | Status           | Submitted Date | Approved Date | Authorised Date | Errors | Details | OK Errors |
|-----------|--------------------------|------------------|----------------|---------------|-----------------|--------|---------|-----------|
| 0014000   | Department for Education | Submitted        | 09/08/2016     |               |                 | 5      | 7       | 0         |
| 0014000   | DfE Secondary Academy    | Approved         | 09/08/2016     | 10/08/2016    |                 | 19     | 26      | 0         |
| 0014009   | TDA/School 09            | Amended_by_agent | 09/08/2016     |               |                 | 7      | 7       | 0         |
| 0014001   | TDA/School 01            | No_data          |                |               |                 | 0      | 0       | 0         |
| 0014002   | TDA/School 02            | No_data          |                |               |                 | 0      | 0       | 0         |
| 0014003   | TDA/School 03            | No_data          |                |               |                 | 0      | 0       | 0         |
| 0014004   | TDA/School 04            | No_data          |                |               |                 | 0      | 0       | 0         |
| 0014004   | TDA/School 05            | Submitted        | 09/08/2016     |               |                 | 249    | 275     | 0         |
| 0014005   | TDA/School 06            | No_data          |                |               |                 | 0      | 0       | 0         |
| 0014006   | TDA/School 07            | No_data          |                |               |                 | 0      | 0       | 0         |
| 0014007   | TDA/School 08            | No_data          |                |               |                 | 0      | 0       | 0         |

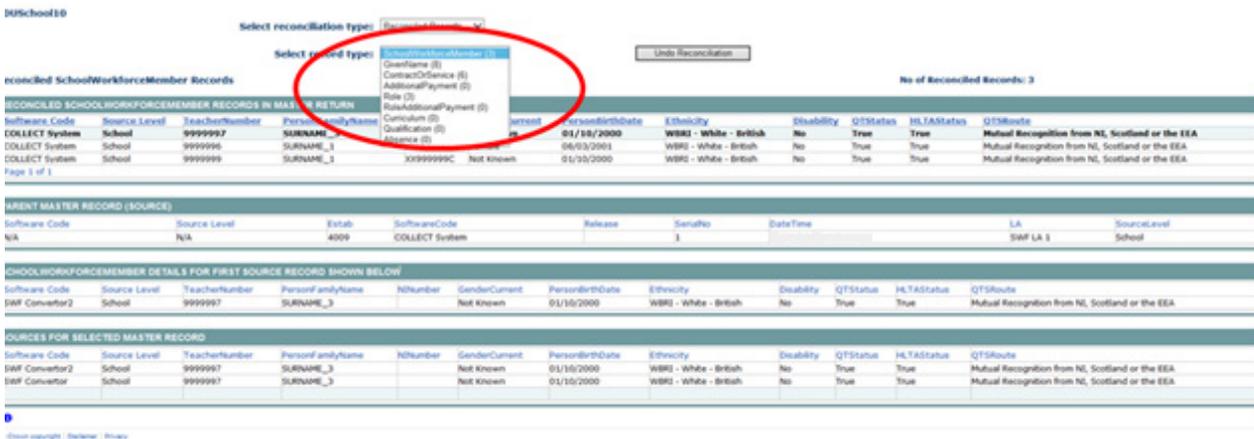
## Reconciliation business rules

To be able to combine multiple records into one record, the SWF COLLECT system uses defined business rules (please refer to [Business & Technical Specification](#)) to determine when these can be reconciled automatically and when they have to be reconciled manually.

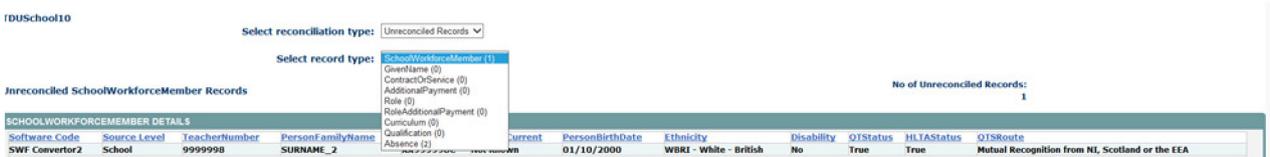
When the return status returns to 'amended\_by\_agent' then the user's needs to go in and check the results of the reconciliation. To go in and check the result of the reconciliation, select the resolve reconciliation button. The following screen will appear and you have the choice of checking the reconciled records' or the unreconciled records'.



There is no action required on the reconciled records as these are the ones that COLLECT has been able to automatically reconcile. The number in brackets is the number of records which were reconciled.



Unreconciled records – These are records that cannot be resolved using the predefined business rules. In these cases the user has to make decisions as to which data should be included in the master record.



The user should work down the list of record types, reconciling the schoolworkforcemembers first, then the givenname then the contractorservice and so on.



If we look at this example of a workforce member that needs manual reconciling: the bottom half of the screen show that there is a workforce member record, which has some of the same information and some different. The different fields are NINumber, Gendercurrent and Persondatebirth.

By selecting from the drop down options for those fields the user can select the values that will be included in the master collect record, and then select the update master button to save those selections

In the next example, this is where there are two given name entries for the workforce member. The middle part of the screen provides details of the workforce member, the bottom part of the screen show the two given name records.

The user can either save both entries to master collect by first selecting the copy to COLLECT master button to save one entry.

TDUSchool10

Select reconciliation type: Unreconciled Records

Select record type: GivenName (1)

No of Unreconciled Records: 1

Unreconciled GivenName Records

SCHOOLWORKFORCEMEMBER DETAILS

| Software Code  | Source Level | TeacherNumber | PersonFamilyName | NINumber  | GenderCurrent | PersonBirthDate | Ethnicity              | Disability | QTStatus | HLTASStatus | QTSRoute  |
|----------------|--------------|---------------|------------------|-----------|---------------|-----------------|------------------------|------------|----------|-------------|---|
| COLLECT System | School       | 9999998       | SURNAME_2        | Z2999998L | Male          | 11/03/2006      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |

PARENT MASTER RECORD (SCHOOLWORKFORCEMEMBER)

| Software Code  | Source Level | TeacherNumber | PersonFamilyName | NINumber  | GenderCurrent | PersonBirthDate | Ethnicity              | Disability | QTStatus | HLTASStatus | QTSRoute  |
|----------------|--------------|---------------|------------------|-----------|---------------|-----------------|------------------------|------------|----------|-------------|---|
| COLLECT System | School       | 9999998       | SURNAME_2        | Z2999998L | Male          | 11/03/2006      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |

POSSIBLE SOURCES FOR MASTER RECORD

| Software Code  | Source Level | PersonGivenName |
|----------------|--------------|-----------------|
| SWF Converter2 | School       | NAME_2          |
| SWF Converter  | School       | NAME_2          |

First Given Name - please add any additional given names in the correct order from above prior to updating this record

Update Master

Then select the update master to save the second entry. The result of this is that the workforce member will have two given name records in the master Collect return.

TDUSchool10

Select reconciliation type: Unreconciled Records

Select record type: GivenName (1)

No of Unreconciled Records: 1

Unreconciled GivenName Records

SCHOOLWORKFORCEMEMBER DETAILS

| Software Code  | Source Level | TeacherNumber | PersonFamilyName | NINumber  | GenderCurrent | PersonBirthDate | Ethnicity              | Disability | QTStatus | HLTASStatus | QTSRoute  |
|----------------|--------------|---------------|------------------|-----------|---------------|-----------------|------------------------|------------|----------|-------------|---|
| COLLECT System | School       | 9999998       | SURNAME_2        | Z2999998L | Male          | 11/03/2006      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |

PARENT MASTER RECORD (SCHOOLWORKFORCEMEMBER)

| Software Code  | Source Level | TeacherNumber | PersonFamilyName | NINumber  | GenderCurrent | PersonBirthDate | Ethnicity              | Disability | QTStatus | HLTASStatus | QTSRoute  |
|----------------|--------------|---------------|------------------|-----------|---------------|-----------------|------------------------|------------|----------|-------------|---|
| COLLECT System | School       | 9999998       | SURNAME_2        | Z2999998L | Male          | 11/03/2006      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |

POSSIBLE SOURCES FOR MASTER RECORD

| Software Code | Source Level | PersonGivenName |
|---------------|--------------|-----------------|
| SWF Converter | School       | NAME_2          |
|               |              | NAME_2          |

Update Master

If the users only want to have one given name entry included in the master Collect return then select the entry from the persongivenname drop down list and the select update master button.

TDUSchool10

Select reconciliation type: Unreconciled Records

Select record type: GivenName (1)

No of Unreconciled Records: 1

Unreconciled GivenName Records

SCHOOLWORKFORCEMEMBER DETAILS

| Software Code | Source Level | TeacherNumber | PersonFamilyName | NINumber  | GenderCurrent | PersonBirthDate | Ethnicity              | Disability | QTStatus | HLTASStatus | QTSRoute  |
|---------------|--------------|---------------|------------------|-----------|---------------|-----------------|------------------------|------------|----------|-------------|---|
| SWF Converter | School       | 9999998       | SURNAME_2        | Z2999998L | Male          | 11/03/2006      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |

PARENT MASTER RECORD (SCHOOLWORKFORCEMEMBER) HAS NOT BEEN CREATED

POSSIBLE SOURCES FOR MASTER RECORD

| Software Code  | Source Level | PersonGivenName |
|----------------|--------------|-----------------|
| SWF Converter2 | School       | NAME_2          |
| SWF Converter  | School       | NAME_2          |

First Given Name - please add any additional given names in the correct order from above prior to updating this record

Update Master

In this final example there are two additional payment records for a workforce member with exactly the same data in them from the same return. In this case there are no different values to pick from but the user must decide whether they should be treated as two separate additional payments' for the workforce member in which case they must use the copy to COLLECT master and update master buttons to take them both into master Collect return.

PARENT MASTER RECORD (CONTRACTORSERVICE) HAS NOT BEEN CREATED

POSSIBLE SOURCES FOR MASTER RECORD

|                        | Software Code | Source Level | PaymentType                            | PaymentAmount |
|------------------------|---------------|--------------|--|---------------|
| Copy to COLLECT Master | csv A         | School       | Inner London Weighting (Support Staff) | 1000.99       |
| Copy to COLLECT Master | csv A         | School       | Inner London Weighting (Support Staff) | 1000.99       |
|                        |               |              | Inner London Weighting                 | 1000.99       |

Update Master

If they are genuine duplicates and only one additional payment is required then just select the update master and only one of the additional payment will be copied across to the master Collect return

## Rolling back a manual reconciliation

If the user has incorrectly reconciled a record then they can undo the last reconciliation. To do this select reconciled records from the drop down list on the manual reconciliation screen.

TDUSchool10

Select reconciliation type: Reconciled Records

Select record type: SchoolWorkforceMember (4)

Undo Reconciliation

Reconciled SchoolWorkforceMember Records

No of Reconciled Records: 4

| RECONCILED SCHOOLWORKFORCEMEMBER RECORDS IN MASTER RETURN |              |               |                  |          |               |                 |                        |            |          |             |   |
|---|--------------|---------------|------------------|----------|---------------|-----------------|------------------------|------------|----------|-------------|---|
| Software Code   | Source Level | TeacherNumber | PersonFamilyName | NINumber | GenderCurrent | PersonBirthDate | Ethnicity              | Disability | Q1Status | HLIASstatus | Q1SInote  |
| COLLECT System  | School       | 9999998       | SURNAME_2        | ZZ99998L | Male          | 11/03/2006      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |
| COLLECT System  | School       | 9999999       | SURNAME_1        | XX99999C | Not Known     | 01/10/2000      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |
| COLLECT System  | School       | 9999996       | SURNAME_1        | ZZ99999P | Female        | 08/03/2001      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |
| COLLECT System  | School       | 9999997       | SURNAME_3        |          | Not Known     | 01/10/2000      | WBRI - White - British | No         | True     | True        | Mutual Recognition from NI, Scotland or the EEA |

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Select the appropriate record type from the select record type drop down list and highlight the select the relevant record from the list of records which have been reconciled then select the undo reconciliation button. The user can then work back un-reconciling more records if required.

When all the manual outstanding reconciliations have been resolved by the user then reconciliation has been completed and there should only be one return visible in the COLLECT system for the school, namely Collect system return. If there are still more than one return then reconciliation has not been completed.

Once you are happy with your data please remember to approve the data from your front screen.

## M & R specific reports

These reports will be run against the previous day's data rather than the current day's data.

1. M&R matching required but Not Yet Started report :- This enabled a local authority to list all the schools where M&R is required that is to say they have more than one return but no matching action has been initiated yet.
2. M&R Reconciliation required but not yet started report :- This enabled a local authority to list all the schools where matching has been completed but reconciliation has not yet been initiated.
3. M&R Matching started but not yet completed report :- This enabled a local authority to list all the schools where matching has been started but not completed.
4. M&R Reconciliation started but not yet completed report :- This enabled a local authority to list all the schools where reconciliation has been started but not completed i.e. there are still records which need manually reconciling.
5. M&R Remaining visible source records after completing M&R report :- This enables a local authority to list all the schools where reconciliation has been completed but some original source records are still invisible. If the M&R process has been completed successfully then there should be no original source records left so these need individual investigation by the local authority. Reasons why this could be occurring are provided earlier on in this guide at the top of the M&R section.
6. M&R Number of returns by M&R Status report:- This provides a local authority with a breakdown of their returns in relation to the Matching and Reconciliation process. The report provides figures for the following:
  - Total no data = number of schools where return status = no data
  - Total not requiring M&R = number of schools with only one return associated with it so no M&R is required
  - Total matching not yet started = number of schools with more than one return and matching has not been started
  - Total matching started but not complete = number of schools with more than one return where matching has been run but has not yet been completed
  - Total matching completed but reconciliation not yet started = number of schools with more than one return where matching has been completed but reconciliation has not been run (started)

- Total reconciliation started but not complete = number of schools with more than one return where reconciliation has been run but has not yet been completed
- Total reconciliation completed, single source = number of schools where reconciliation has been completed and they now have once single return.
- Total reconciliation completed, multiple sources = number of schools where reconciliation has been completed but they still have more than one return associated with them.

In the case of this last category then please investigate the schools and check M&R Important Information and if this does not explain the reason why there are multiple sources then please contact the helpdesk.

## Help

COLLECT access is administered directly by local authorities for their users. This includes registering for COLLECT, activating your account and giving you access to specific collections. Please get in touch with the approver in your local authority who will be able to make sure that you have the appropriate access.

If you are experiencing problems with COLLECT or have a data collection query, please submit a [service request](#) to the data collection helpdesk.

If you are having problems logging into secure access, please refer to the 'Help' section on secure access. If you are still unable to resolve your issue, please submit a [service request](#) to the SA service desk.



Department  
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