Key stage 1 return

Guide to the collection of results of assessments at the end of KS1

May 2014

Contents

1   Introduction

1.1   Purpose of this document

This document is provided so that staff in local authorities (LAs) can:

- understand the rationale behind and purpose of the key stage 1 (KS1) data collection (Section 1)

- populate their systems with the required data for pupils and schools (Section 2)

- complete the KS1 return for 2014 (Section 3).

It relates only to the collection of data for pupils who were born between 1 September 2006 and 31 August 2007.

This document is published on the gov.uk website and LAs/agents may choose to use it directly with their schools or amend it to suit their local needs. Software suppliers and developers of in-house systems may also find it a useful reference document.

The deadline for submission of KS1 assessments to the DfE by LAs is 31 July 2014.

1.2   Who is in the scope for the KS1 data collection?

All English providers of KS1 education in the state-funded and private sectors are within the scope of the KS1 data collection.

LAs are required to collect and report to the Department for Education (DfE), the results for all pupils at the end of KS1 in their state-funded schools. Results for pupils in independent schools are voluntary.

1.3   Rationale behind the KS1 data collection

The Education Act 2002 places a duty on LAs and schools to promote the spiritual, moral, cultural, mental and physical development of pupils at the school and to prepare pupils for the opportunities, responsibilities and experiences of later life. Fulfilling this duty requires a broad and inclusive strategy, part of which focuses on ensuring that the provision of education and care is of the highest quality.

The KS1 data collection provides information at both national and LA level on achievement outcomes at the end of KS1.

1.4   Statutory basis of the KS1 collection

The individual level data collection from state-funded schools and academies is a statutory requirement of schools and LAs through regulations made under Article 9 of

The Education (National Curriculum) (Key Stage 1 Assessment Arrangements) (England) Order 2004 as amended.

By putting the collection of KS1 data on a statutory basis:

- schools do not need to obtain consent for the provision of information from parents of individual pupils. They must, however, meet their obligations to data subjects under the Data Protection Act 1998 – see 1.5 below;

- schools and LAs are protected from any legal challenge that they are breaching a duty of confidence; and

- it helps to ensure that returns are completed by schools.

1.5   Data protection & security

Data kept on pupils (in any medium, including within a MIS) is personal data. The data must be managed in accordance with the requirements of the Data Protection Act 1998. All staff that have access to personal data should be aware of their responsibilities under the act. LAs should advise schools about their responsibility to hold data in line with the act.

1.6   Data quality

In order to properly ascertain the level that pupils at the end of KS1 are working at, it is important that the data collected by schools and LAs, for onward transmission to the department, is both accurate and complete. In Section 2, there is a complete list of data items that need to be submitted, together with an explanation of each of them.

Supporting information on KS1 assessment is provided on the gov.uk website.

LAs can download a copy of the KS1 Assessment and Reporting Arrangements handbook from this website and also find guidance for carrying out assessments and moderation.

2 Data required

Name of School

Local Authority number

Estab number of the school: this is a 4-digit number.

Academic Year: This year will be '2013/14'.

<u>CTF Pupil Data</u>

Academic Year

Pupil's Surname

Pupil's Forename

Pupil's Gender

Pupil's Date of Birth

UPN (Unique Pupil Number): This is a 13 character identifier.

KS1 Teacher Assessments:

Schools must report the following for all pupils at the end of KS1:

- a teacher assessment level in reading, writing, and speaking and listening;

- a separate teacher assessment level for each science attainment target; and

- an overall teacher assessment level in mathematics and science.

The overall level for science will be generated by the school's management information system. Schools are not required to report an overall teacher assessment level for English.

For pupils with a special educational need (SEN) who are working towards level 1, a P scale must be reported. Pupils working towards level 1 who do not have SEN should be reported as 'NOTSEN'.

Schools are not required to report task and test results to their LA. However, where the school has recorded this data it can choose whether to include these results in any data provided to the local authority. LAs should not report task and test results to the department.

The following teacher assessment codes should be used:

Description	Teacher assessment code
For assessing reading, writing and mathematics. If the school believes the pupil is working above level 4, the school should submit level 4.	1, 2C, 2B, 2A, 3, 4
For assessing speaking and listening, and each science attainment target. If the school believes the pupil is working above level 4, the school should submit level 4.	1, 2, 3, 4
A secure level cannot be recorded because of long periods of absence or insufficient information (e.g. due to late arrival).	A
Disapplied – used where a pupil has been disapplied from the national curriculum, including statutory assessment requirements or, in the case of writing, where an assessment cannot be made because the pupil is not physically able to write.	D (U – science subject level only)
Working towards level 1.	W

P scales:

The use of P scales is statutory for pupils with SEN who are working below level 1 of the national curriculum. Schools will need to use P scales to record and report the achievements of those pupils in the core subjects of English, mathematics and science. P scales are not to be used to assess pupils who do not have SEN (e.g. those with English as an additional language (EAL) unless they have additional special educational needs).

P scales should be reported for pupils working towards national curriculum level 1 (i.e. level W) who have been identified as having special educational needs.

If a pupil is at P1i–P3ii level in English, then reading, writing, speaking or listening levels would not normally be appropriate. If a pupil is at an English level higher than P3ii, then the relevant separate levels P4–P8 in reading, writing, speaking or listening are appropriate and an English level is not expected. The position is similar in respect of mathematics. For science, a single level from P1i–P8 is appropriate.

There may be exceptional circumstances where a pupil is judged to be at P1i–P3ii in English and/or mathematics but at P4–P8 in a particular element of the subject. The

school management information system will allow these levels to be recorded and will transfer all levels as entered.

If a pupil is working below level but does not have SEN, (e.g. because they have English as an additional language) they should be recorded as 'NOTSEN'. 'NOTSEN' is not a P scale, but a code to explain why a pupil working towards level 1 does not have P scales reported.

P scale subject	Reportable levels
English	P1i, P1ii, P2i, P2ii, P3i, P3ii, NOTSEN
Reading, Writing, Speaking, Listening	P4, P5, P6, P7, P8, NOTSEN
Mathematics	P1i, P1ii, P2i, P2ii, P3i, P3ii, NOTSEN
Number, using and applying mathematics, shape, space and measures	P4, P5, P6, P7, P8, NOTSEN
Science	P1i, P1ii, P2i, P2ii, P3i, P3ii, P4, P5, P6, P7, P8, NOTSEN

3 Collection guide

This guide is provided to outline the main requirements and submission arrangements for the KS1 2014 data collection. The department will make the live KS1 2014 COLLECT system available on **Monday 16 June 2014**.

As in previous years, the department will not be providing a COLLECT school blade. There will be a single blade that LAs can use to submit KS1 data.

The department will continue to collect **full** individual pupil level data. COLLECT will be the means by which data is collected from LAs (see 3.1 below).

3.1 LA data reporting format

Please note that the department continues to have no requirement for data in aggregate forms (eg LA aggregate data); rather a single XML file for each school, containing all eligible pupils, will be created by LAs' central processing system software. The separate school XML files will need to be zipped (we would suggest using an identifiable filename eg LA name. Please note that the .zip suffix is required) and imported into COLLECT where the respective school files will be extracted.

Successfully loaded data is subjected to validation. For more details of the specific validation rules that will be applied, please see the KS1 technical specification available on the key stage 1 data collection page of the gov.uk website.

After validation is complete you will be able to view your data return, observe the validation outcomes and decide if there is any further action on your part in response to the validations. For example, you may need to query something with a school and return to COLLECT to make a change to the data. Ultimately you will need to "approve" the data so that the department can consider it to be finalised.

3.2 Data collection timetable

As in previous years, the department is committed to providing national and LA level analysis of performance as quickly as possible. We therefore ask that LAs make their KS1 submissions by **Thursday 31 July 2014**.

It is of utmost importance that the data we hold by the beginning of August 2014 are as complete and accurate as possible as the data received by this date will be used to inform our main headline statistical release and RAISE online. Your co-operation in helping to achieve a complete and accurate dataset by the beginning of August will be to our mutual benefit.

There will be a limited opportunity for LAs to submit late and/or corrected results but any late results **will not** be included in RAISE online.

LAs should note that amendments will not be accepted after the database is closed.

3.3 Expected list of schools submitting results

The Data Collection Helpdesk will update the expected list of schools on COLLECT with an extract taken from the spring school census. LAs will be able to view the expected list on COLLECT when the collection goes live on **16th June**. We would appreciate if LAs check the lists for any schools that are missing or need to be added and advise the helpdesk using the [Service Request Form](#). If the COLLECT system is not updated with the correct schools LAs will be unable to load the data returns for these schools. We ask that you supply the Helpdesk with any amendments to your expected list as soon as possible.

3.4 School recording and reporting options

The department has provided software specifications to commercial suppliers of LA database processing systems, and to those LAs that have indicated they wish to design their own systems for this purpose. The LA processing software will accept a school MIS CTF export file and the DfE spreadsheet CSV export file and create the necessary DfE export file. LAs will fully meet the statutory requirements for the submission of its KS1 results by using appropriate software that will enable them to create the necessary file.

The department will only accept KS1 results created from software that can produce the information in the correct format to upload onto the COLLECT system.

3.4.1 School Management Information System (MIS)

The school MIS will allow entry of KS1 results.

There are essentially four stages to the capture of KS1 pupil assessments once they have been made by teachers:

1.   Entry by schools of individual pupils' KS1 results (including P scale results if applicable) into their MIS.

2.   Creation of a CTF for submission to the LA by secure means.

3.   Loading of results (in all formats) into the LA central database/processing system.

4.   Creation of school XML export files by LA software for loading into KS1 COLLECT LA.

Further details of these stages are contained within the published KS1 technical specification.

3.4.2 DfE spreadsheet

Schools that are unable to use their MIS for recording and reporting KS1 results can use the DfE KS1 2014 spreadsheet. The 2014 spreadsheet and user guide are available in the [KS1 data collection section](#) of the gov.uk website. There are two versions of this spreadsheet – one for state-funded schools to complete and the other for independent

schools. The spreadsheet "Export" option creates a CSV file containing the relevant pupil contextual data and the KS1 teacher assessment (TA) and P Scale levels that have been entered for loading into the LA's central processing system. Please be aware that this CSV file cannot be imported into COLLECT and needs to be loaded into the LA central software.

Once the spreadsheet has been completed it should be returned to the LA in a secure manner and must be protected by the use of a password which should be forwarded separately.

3.5   Use of COLLECT

The department will make the live 2014 KS1 COLLECT system available on **Monday 16th June 2014.** Further notifications will be emailed to the relevant LA officers nearer to the time, as will any further KS1/COLLECT updated information as necessary.

Screenshots of COLLECT with notes are available on the [KS1 data collection section](#) of the gov.uk website.

Any COLLECT access requests will no longer be managed by the Data Collection Helpdesk and it will be the responsibility of the Contact Liaison Officer (CLO) to add and remove access to data collections within COLLECT for all LA staff members. Following completion of the 'claim' process, the CLO will be able to undertake user administration as set out above and as requested by their LA users.

3.6   User names and passwords

An enhanced version of Secure Access was launched on Monday 9 December 2013.

This enhanced version introduced an 'Approver' role within each organisation to allow authorised users in schools and LAs to create and administer accounts for individuals to access connected systems with their own set of login credentials.

An Approver has the same access as an End User (these are the school and LA users of COLLECT, S2S and KTS, and any future connected applications), but with additional user management privileges to enable them to administer SA accounts for individuals within the same organisation.

If you have not activated your account, a simple registration process requiring a unique PIN will need to be completed in order to gain access to COLLECT via Secure Access.

You can access further information on Secure Access on the [DfE website.](#)

Please note: all current accesses have been carried forward when the updated system was implemented, meaning if you had access to the 2013 collection, there is no need to request to be added to the 2014 collection.

If you did **not** have access to the 2013 KS1 data collection on COLLECT and wish to request access for 2014, please use the 'COLLECT access form' service request below:-

[Data collection access form (LAs only)](#)

Completing this form will mean that you will be automatically added to our contacts database for the specified data collections, so you won't need to separately register to be a contact.

The requirement to request COLLECT access is **only relevant to LAs**. Schools are not required to complete this form and will continue to have COLLECT access.

If you wish to be added to our contacts database, but do not require COLLECT access for one or more data collections, please use the [Data Collections service request form](#)

3.7 General issues

If you have any COLLECT or KS1 queries of a general nature, please contact us by using the [service request form](#)

We have every confidence the KS1 2014 data collection exercise will be successful. We know you will do all you can to ensure its success, as you always do with each year's KS1 collection. So, very many thanks for your anticipated co-operation. Your efforts will be really appreciated.

4   Appendices

4.1   Appendix 1: local authority codes

	North East			East Midlands
841	Darlington		831	Derby
840	County Durham		830	Derbyshire
390	Gateshead		856	Leicester
805	Hartlepool		855	Leicestershire
806	Middlesbrough		925	Lincolnshire
391	Newcastle upon Tyne		928	Northamptonshire
392	North Tyneside		892	Nottingham
929	Northumberland		891	Nottinghamshire
807	Redcar and Cleveland		857	Rutland
393	South Tyneside			
808	Stockton-on-Tees			West Midlands
394	Sunderland		330	Birmingham
			331	Coventry
	North West		332	Dudley
889	Blackburn with Darwen		884	Herefordshire, County of
890	Blackpool		333	Sandwell
350	Bolton		893	Shropshire
351	Bury		334	Solihull
895	Cheshire East		860	Staffordshire
896	Cheshire West and Chester		861	Stoke-on-Trent
909	Cumbria		894	Telford and Wrekin
876	Halton		335	Walsall
340	Knowsley		937	Warwickshire
888	Lancashire		336	Wolverhampton
341	Liverpool		885	Worcestershire
352	Manchester			
353	Oldham			East of England
354	Rochdale		822	Bedford
355	Salford		873	Cambridgeshire
343	Sefton		823	Central Bedfordshire
342	St. Helens		881	Essex
356	Stockport		919	Hertfordshire
357	Tameside		821	Luton
358	Trafford		926	Norfolk
877	Warrington		874	Peterborough
359	Wigan		882	Southend-on-Sea
344	Wirral		935	Suffolk
			883	Thurrock

	Yorkshire and the Humber			Outer London
370	Barnsley		301	Barking and Dagenham
380	Bradford		302	Barnet
381	Calderdale		303	Bexley
371	Doncaster		304	Brent
811	East Riding of Yorkshire		305	Bromley
810	Kingston upon Hull, City of		306	Croydon
382	Kirklees		307	Ealing
383	Leeds		308	Enfield
812	North East Lincolnshire		203	Greenwich
813	North Lincolnshire		310	Harrow
815	North Yorkshire		311	Havering
372	Rotherham		312	Hillingdon
373	Sheffield		313	Hounslow
384	Wakefield		314	Kingston upon Thames
816	York		315	Merton
			317	Redbridge
			318	Richmond upon Thames
	Inner London		319	Sutton
202	Camden		320	Waltham Forest
201	City of London			
204	Hackney			
205	Hammersmith and Fulham			South East
309	Haringey		867	Bracknell Forest
206	Islington		846	Brighton and Hove
207	Kensington and Chelsea		825	Buckinghamshire
208	Lambeth		845	East Sussex
209	Lewisham		850	Hampshire
316	Newham		921	Isle of Wight
210	Southwark		886	Kent
211	Tower Hamlets		887	Medway
212	Wandsworth		826	Milton Keynes
213	Westminster		931	Oxfordshire
			851	Portsmouth
			870	Reading
			871	Slough
			852	Southampton
			936	Surrey
			869	West Berkshire
			938	West Sussex
			868	Windsor and Maidenhead
			872	Wokingham

	South West			
800	Bath and North East Somerset			
837	Bournemouth			
801	Bristol, City of			
908	Cornwall			
878	Devon			
835	Dorset			
916	Gloucestershire			
420	Isles of Scilly			
802	North Somerset			
879	Plymouth			
836	Poole			
933	Somerset			
803	South Gloucestershire			
866	Swindon			
880	Torbay			
865	Wiltshire			

4.2 Appendix 2: glossary

COLLECT	COLLECT is a web based data collection tool. It has been developed and made available by the DfE and facilitates the data collection process. It enables the transfer of data between LAs and the department. It supports the management of the collection process, with various reports that monitor the quality and completeness of the return. Validation checking and error reporting is also built into COLLECT.
CSV	A CSV format data file is a text file consisting of a number of text records. Text values are separated by a comma and can optionally be enclosed in double quotes.
CTF	A common transfer file is a file that contains statutory information about a child that should be transferred when they move schools and includes UPN, surname, forename, date of birth, gender together with other information for example, assessments, attendance, SEN and contacts. A complete list of fields can be found in the [CTF guide]().
MIS	Management information system(s) – propriety software system(s) used by schools and LAs to collect, validate, store, and analyse a range of pupil, school, and workforce data.
XML	XML is the e**X**tensible **M**arkup **L**anguage. It improves the functionality of the web by letting you identify your information in a more accurate, flexible, and adaptable way. XML contains a header followed by a repeating group of data. Government Interoperability Framework encourages the use of XML for data.