

Key stage 2 teacher assessment 2015

Technical specification v1.0

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Version History

0.1	Initial draft	Linda Fownes 14/08/2014
0.2	Review of changes	Linda Fownes 03/09/2014
1.0	Accessibility checker and confirmed dates inserted.	Linda Fownes 03/10/2014

1 Introduction

1.1 Audience and purpose

This specification describes the key stage 2 2015 data collection. It will enable schools, local authorities (LAs) and those such as software suppliers working on their behalf, as well as other educational establishments outside of LA control, to prepare and return all the required, compliant, data on all key stage 2 assessments during the 2014 to 2015 assessment cycle.

The following legislation underpins the provision and publication of this information: the Education Act 1996 s29(3), The Education (School Performance Information)(England) Regulations 2007, Regulations 5 and 8 School Information (England) Regulations 2008.

The specification covers the expected teacher assessment return to the Department for Education (DfE) and the validation rules which will be applied. It should be read in conjunction with the current Common Basic Dataset (CBDS) definitions which can be found on the DfE's website.

1.2 Scope

This data collection covers all schools in England, who are expected to provide data on all key stage 2 assessments carried out during 2015, and LAs who might be submitting data on behalf of schools (excluding any academy wishing to be included in a different LA's results outside of its natural geographic area. These academies will be required to submit their own data.) All data consists of pupil-level information.

The following diagram outlines the overall scope of the collection:

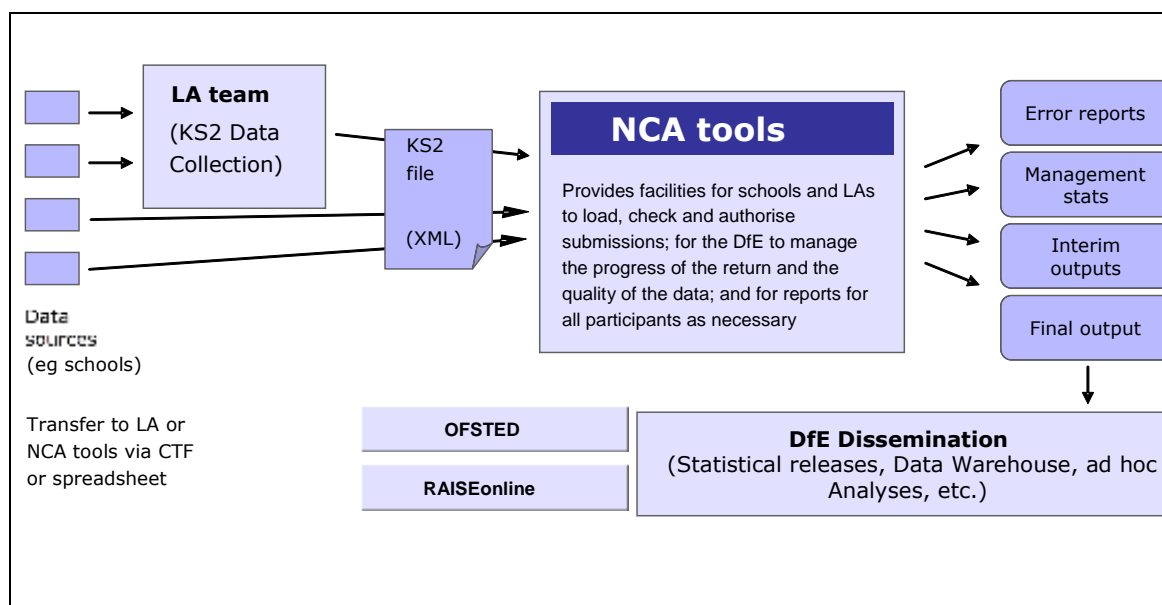


Figure 1: High level data collection process

This requirements specification consists of one document containing a narrative, sample XML messages, and validation. Schools, LAs and suppliers should read this specification in conjunction with the CBDS, details of which are on the DfE's website at the following link:

<https://www.gov.uk/government/collections/common-basic-data-set1.3> **Business rationale**

The following factors are the business drivers behind this approach:

- It is consistent with the overall vision behind the Data Sharing Protocol of collecting data once and using it many times.
- It is based on the principle that LAs and schools are expected to hold/manage data for their own purposes, or have data held on their behalf so that they can access and extract it.

1.4 Changes for 2015

Dates and links have been updated.

Further clarification and detail added in some areas.

NCA Tools P Scale validation is being revised and some changes have been made to reflect this.

XML filename has been updated for consistency.

1.5 Assumptions

Assumptions made in creating this specification:

- A1 Where appropriate the data specification has used e-Gif data standards
- A2 The return will use the NCA tools website as the data collection mechanism
- A3 DfE will only accept submissions in XML format, or using the appropriate key stage 2 Excel template which is provided on NCA tools

1.6 Coverage and timings

All schools will be required to capture the data specified for the 2015 key stage 2 assessments. The data will then be collected via NCA tools between 1 June and 26 June 2015, either directly from schools or via LAs submitting on their behalf. Schools and LAs will be able to correct errors and re-submit until the Teacher assessment module closes at the end of September (date tbc), although all data received after 26 June will not be included in the first release of unvalidated data on RAISEonline. However, all teacher assessment data received between Saturday 27 June and the closure of the module will be included in the subsequent, updated release on RAISEonline in December. All data submitted after 27 June will be shown on the Performance Tables checking website as 'late results'.

1.7 Data standards

It is the long-term strategy of the DfE to adopt the e-GIF standards (or any successor pan-government standards) to support the transfer of data across other public sector bodies and government departments. This specification has been developed with those standards in mind; where deviations occur explanation notes have been provided.

www.cabinetoffice.gov.uk/govtalk.aspx

2 Structure and guidance

2.1 Outline data content

Each return from a school or an LA will consist of a header and one or more school modules, each of which will contain a pupil module with a number of pupil records. Each pupil record will include identifiers and a series of assessment records, which, where appropriate, will include P Scale assessments.

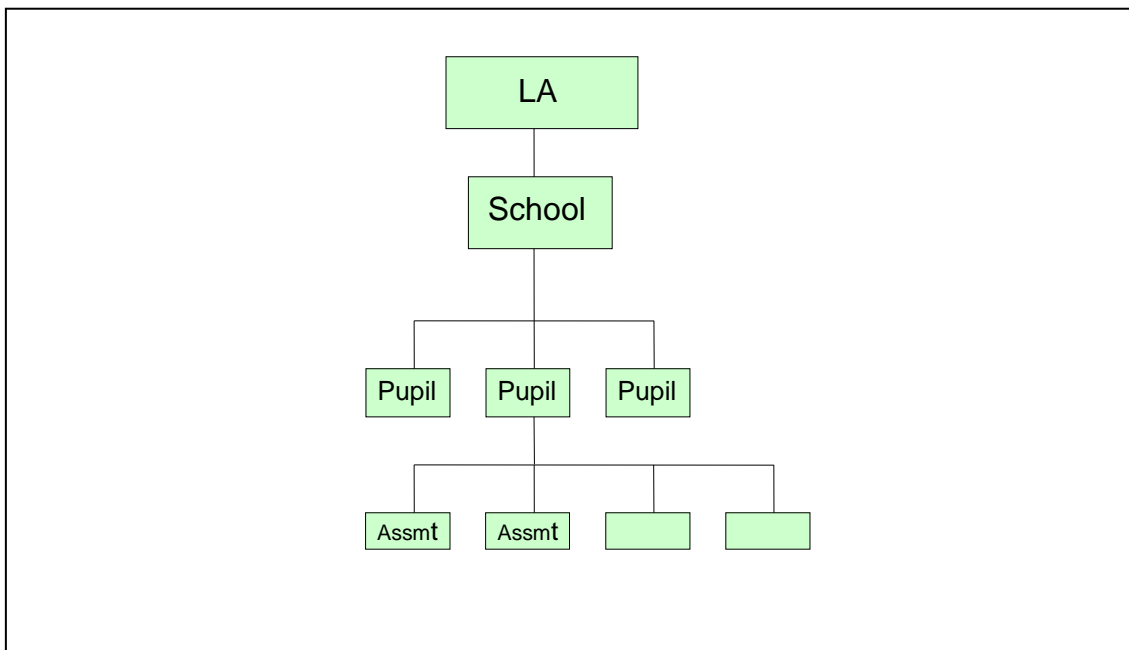


Figure 2 - Outline structure of data

2.2 Process

At the end of key stage 2, teachers have to summarise their judgements for each eligible child, taking into account the child's progress and performance throughout the key stage. They need to determine:

- an overall subject level for English based on the levels in the individual attainment targets and weightings.
- a level for each attainment target in English (reading; writing; speaking and listening)
- an overall subject level for mathematics based on the levels in the individual attainment targets and weightings.
- a level for each attainment target in mathematics (number; using and applying; shape, space and measures)

- an overall subject level for science based on the levels in the individual attainment targets and weightings.
- a level for each attainment target in science (scientific enquiry; life processes and living things; materials and their properties; physical processes)

National curriculum tests must be administered to all eligible children who are working at level 3 or above in reading, writing and mathematics.

There are essentially two or four stages to the capture of each key stage pupil assessments once they have been made by teachers:

1. Entry by schools of individual pupils' key stage teacher assessment results (including P scale results if applicable) into their respective MIS tools.
2. Creation of a CTF for loading into NCA Tools, or if arrangements have been made locally, submission to the LA by secure means.

And for schools submitting via their LA;

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 NCA Tools.

The above process does not include moderation of results. All maintained primary schools have to have their results moderated by their LA at least once every four years. Where independent schools choose to submit a key stage 2 return they also have to undergo the same level of moderation as maintained schools, ie moderation at least every four years.

2.2.1 Entry of results and levels into school MIS

Assessment results have to be entered into the MIS for each subject or attainment target for each pupil based on teacher assessments of the level each pupil has attained. The following subjects / attainment targets will need to be assessed:

English

- Speaking and listening (EN1) (AT1)
- Reading (EN2) (AT2)

- Writing (EN3) (AT3)
- English (SUB) – overall subject level which is a calculation carried out by the MIS using individual assessment components (see below)

Mathematics

- Using and applying (MA1) (AT1)
- Number and algebra (MA2) (AT2)
- Shape, space and measures (MA3) (AT3)
- Handling data (MA4) (AT4)
- (SUB) – overall subject level which is a weighted calculation carried out by the MIS using individual assessment components (See below).

Science

- Scientific enquiry (Sc1) (AT1)
- Life processes and living things (Sc2) (AT2)
- Materials and their properties (Sc3) (AT3)
- Physical processes (Sc4) (AT4)
- Science (SUB) – overall subject level which is a weighted calculation carried out by the MIS using individual assessment components (See below)

P scales

Where appropriate (ie where a pupil is assessed to be at level 'W' for an overall subject level) then assessments must be made and recorded against the P scale targets for that component / subject. Assessments should not be made against the P Scale where a pupil is at level W because they have English as an additional language (NOTSEN) unless they also have an identified special educational need. P scales are not required against individual attainment targets when the overall subject level is above 'W', but they will be accepted if they are provided.

The full list of valid assessment values for all of the above is as shown in CBDS A_Comp (2014 version):

<https://www.gov.uk/government/publications/assessment-component-files-2014>

2.2.2 MIS data entry checks

The school MIS software should check that a valid level has been entered for each teacher assessment and P Scale subject where appropriate. Any invalid or missing entries should be reported to the school when the data is entered and/or when the CTF is to be created.

The software will need to calculate a pupil's overall science level by aggregating the teacher assessment levels using the above mentioned weighted values:

English SUB = $(En1 + En2 + En3) / 3$

Mathematics SUB = $((2xMa1) + (5xMa2) + (2xMa3) + Ma4) / 10$

Science SUB = $((2xSc1) + Sc2 + Sc3 + Sc4) / 5$

Outcome must be correct to the nearest whole number, with halves rounded upwards.

The rules governing how the subject level is to be determined when one or more attainment targets cannot be determined because a pupil is disapplied ("D") or where the pupil is absent for long periods and there is insufficient information to make an assessment ("A"), are as follows:

A subject level can be determined where a single attainment target within the subject has been disapplied or marked absent (with the weighted value of that attainment target being deducted from the divisor in order to determine the subject level), but cannot be determined where more than one attainment target within a subject has been disapplied or marked absent. Such pupils will have a subject level of "D" or "A" as applicable, ie unable to determine because of disapplication/absence.

2.2.3 Creation of CTF key stage 2 file by school/setting for transmission to LA or NCA tools

The name of the CTF created by schools will be:

xxxnnnn_KS2_NAALLLL_yyy.XML where xxx represents the LA number, nnnn is the school number and yyy is an incremented version number starting at 001.

Where a school has recorded sub levels for any teacher assessment subject, these should be exported as a whole level ie, as level 4, not as a level 4a, 4b or 4c.

2.2.4 Loading key stage 2 results into the LA's central management system

Where an LA is collecting and submitting teacher assessment data on behalf of schools, the LA's central management system should do the following:

- i) The software should allow the LA to import into its central database the CTF at para 2.2.3 and validate in accordance with the rules in sections 4.1 to 4.3. Any missing or invalid teacher assessment levels and P scale levels should be reported. The software should also warn if any UPNs are missing or invalid, or if any dates of birth are missing or incomplete.
- ii) In addition, the software should allow the LA to load into its central database a CSV file created by independent schools from a key stage 2 Excel Independent spreadsheet (to be supplied to LAs by the DfE for distribution if necessary) with the export filename "KS2_yyyxxxx_15.CSV", where yyy is the LA no and xxxx is the school Estab number (this number will always start with a 6). A copy of the spreadsheet can be provided when available, if required.
- iii) Where any pupil's identifying or contextual data are already present in the LA central database there should be a prompt to ask if the existing data should be overwritten by the CTF or CSV import.
- iv) Where a CTF contains any pupil's previous assessment data (eg earlier year's end of key stage results) there should be a prompt to ask if the existing assessment data should be overwritten.
- v) The LA should also have facilities to:
 - remove and to add pupils;
 - amend a pupil's identifying data or result levels that have been loaded, and for the new data to be re-validated in accordance with the rules in sections 4.1 to 4.3.
 - re-import a corrected CTF with an option for the operator to either replace all existing data or add as new data, and be validated in accordance with the rules in sections 4.1 to 4.3.

2.2.5 Creation of XML export file by the school or LA for transmission to the DfE

i) On completion of the actions at 2.2.4, the software should allow the LA to create separate XML files of individual pupil data, for each school as specified in the example XML file at section 3.2, even if still containing errors, for loading into the DfE data collection system (NCA tools). If the school is submitting the data to DfE directly, the software should allow them to create an XML file of individual pupil data as specified in the example XML file at section 3.2 for loading into the DfE data collection system (NCA tools). Where no assessment Result level is reported for a subject, all assessment components for that subject should be excluded from the XML file. The XML file should be validated in accordance with the rules in sections 4.1 to 4.3. Any data failing the validation checks should be reported using the error codes and messages specified. In addition to LA and school number, the file will contain the following data items for each pupil:

Identifier	CBDS Module	Data Item Name
100001	Pupil Identifiers	Unique Pupil Number (UPN)
100003	Pupil Identifiers	Pupil/Child Surname
100004	Pupil Identifiers	Pupil/Child Forename
100007	Pupil Identifiers	Pupil Date of Birth
100008	Pupil Identifiers	Pupil Gender

- Each key stage 2 teacher assessment result level as recorded
- Each P scale result level as recorded
- Task/test results are not to be included in the XML file.

Additional data items should also be included where available to assist STA in manual resolution of exceptions, ie, where teacher assessment is uploaded for a pupil that cannot be matched to an existing registered pupil based on the pupil identifiers listed above. These data items are as follows:

Identifier	CBDS Module	Data Item Name
100002	Pupil Identifiers	Pupil's Former UPN
100006	Pupil Identifiers	Pupil/Child Middle

Identifier	CBDS Module	Data Item Name
		Names
100009	Pupil Identifiers	Pupil's Former Surname
100010	Pupil Identifiers	Pupil Preferred Forename
100011	Pupil Identifiers	Pupil/Child Preferred Surname
100061	Pupil Status	Other School LA number
100063	Pupil Status	Pupil Date of entry
100239	Previous School History	Previous School LA number
100495	Pupil Status	Other School DfE Establishment Number
100496	Previous School History	Previous School DfE Establishment Number

Please note – An approved SupplierID will not be issued. NCA tools will use the SupplierID tag value specified by suppliers for this purpose.

ii) The name of the XML file will be DfENumber_KS2_NAALLL_yyy.XML where yyy is an incremented version number starting at 001.

- The LA should be provided with options to include in the export XML:
 - a) all schools' individual pupil results, even if these contain errors or have previously been exported (the software should inform the operator if a school is in error or has previously been exported);
 - b) selected schools' individual pupil results, even if these contain errors or have previously been exported (the software should inform the operator if a school is in error or has previously been exported).
- The school should be provided with options to include in the export XML:
 - a) all individual pupil results, even if these contain errors or have previously been exported (the software should inform the operator if a pupil is in error);

- b) selected individual pupil results, even if these contain errors or have previously been exported (the software should inform the operator if a pupil is in error).

N.B. *Whichever option above is chosen, all individual pupil results within the school are to be exported.*

Where a CTF contains any pupil's previous assessment data (eg earlier years key stage 2 results) there should be a prompt to ask if the existing assessment data should be overwritten.

2.3 Additional LA software facilities

The software should provide the following additional facilities:

- i) to allow the LA to produce a list of schools to check that all expected schools returns have been processed;
- ii) to allow the LA to produce a report for each school or for all schools to show the number of boys and the number of girls and the total number of pupils included in each school's CTF submission;
- iii) to allow the LA to include in the DfE XML file any independent schools from within its own LA area whose results it has agreed to process;
- iv) to allow the LA to create separate DfE XML files for any independent schools from outside its own area whose results it has agreed to process;
- v) to allow the LA to exclude independent schools from its own LA analysis;
- vi) to allow the LA to transmit results in batches without the need to resubmit results already transmitted.

2.4 Reports for schools and parents

The software should produce 2015 Child's Result and 2015 School Result reports.

NOTE: where the P Scale entry for a subject is NOTSEN, no P Scale level is to be shown in the Child's Report for that subject.

3 Data return formats

A submission file from an LA /Agent should be provided in a XML file structure as described in 3.2. Where an optional item is not included then the associated tag should also be omitted. Where a mandatory item is omitted then an error will be generated.

3.1 Special Notes for XML returns

The standard XML entity references should be used for the following special characters:

Character	Entity reference
Ampersand (&)	&
Left Angle Bracket (<)	<
Right Angle Bracket (>)	>
Single Quote / Apostrophe (')	'
Double Quotes ("")	"

For special characters such as é use a character reference such as é This produces a generic XML file which can be viewed as such in a suitable browser. Details of all such characters are found within the XML standard documentation; see for example www.w3.org/TR/2004/REC-xml-20040204/, section 2.2.

3.2 Example file structure for XML returns

CBDS Ref	XMLFormatLayout	Notes
	<?xml version="1.0" encoding="UTF-8"?>	
	<CTfile>	
	<Header>	
800001	<DocumentName>Common Transfer File</DocumentName>	
800009	<CTFversion>14.0</CTFversion>	
800010	<DateTime>2015-07-23T15:30:47</DateTime>	
800020	<DocumentQualifier>partial</DocumentQualifier>	
800006	<SupplierID>SIMS</SupplierID>	
	<SourceSchool>	
200001	<LEA>302</LEA>	D00004
200002	<Estab>2071</Estab>	D00036
100241	<SchoolName>West School</SchoolName>	
900060	<AcademicYear>2015</AcademicYear>	Fixed value of 2015
	</SourceSchool>	
	<DestSchool>	
200001	<LEA>NAA</LEA>	D00004
200002	<Estab>LLLL</Estab>	D00036
	</DestSchool>	
	</Header>	
	<CTFpupilData>	A repeatable group of 1 or more
	<Pupil>	
100001	<UPN>A123456789012</UPN>	
100003	<Surname>Smith</Surname>	
100004	<Forename>John</Forename>	
100007	<DOB>2004-03-21</DOB>	
100008	<Gender>M</Gender>	
	<StageAssessments>	
	<KeyStage>	
100465	<Stage>KS2</Stage>	D00182
	<StageAssessment>	
100267	<Locale>ENG</Locale>	
100266	<Year>2015</Year>	
100466	<Subject>ENG</Subject>	
100273	<Method>TA</Method>	
100274	<Component>AT1</Component>	
100270	<ResultStatus>R</ResultStatus>	
100275	<ResultQualifier>NL</ResultQualifier>	
100276	<Result>3</Result>	
100332	<ResultDate>2015-06-25</ResultDate>	
	</StageAssessment>	
	</KeyStage>	
	</StageAssessments>	
	</Pupil>	
	</CTFpupilData>	
	</CTfile>	

<StageAssessment>: A repeatable group of 1 or more depending on the combination of <Subject>, <Method>, <Component> and <ResultQualifier> required. See A_Comp 2014

4 Data validation rules

This section specifies validation rules that are applied to the data by DfE, using NCA tools. They should also be applied, as far as possible, by schools prior to exporting the file and passing to the LA or loading the data directly onto the NCA tools system, and by LAs prior to loading the data onto the NCA tools system, and any issues resolved. Those data items included in the specification but not appearing in the validation rules - that is, those not shown in the validation rules as "must be present" - should be supplied where available (eg child's UPN). The rules also show which validations are Errors and which ones are Queries. An Error is a failed validation check that must be corrected. A Query is one which must be investigated, and potentially corrected, as it identifies data that would usually be invalid. Any file that is exported with errors or queries and is uploaded on to NCA tools without being corrected first, will be uploaded with warnings or errors, or may fail to upload and will require a new file to be created and uploaded in order to correct it.

Syntax:

- Validation checks are expressed as conditions that must be true (errors) or that should be true (queries). The Error Message shows what is displayed if the condition fails
- Data items are indicated using the XML tag with the CBDS number in parentheses, for example <UPN> (100001)
- Data groups are indicated using the XML tag only, for example <Assessments>
- Single dates or date ranges are sometimes defined in relation to <ReferenceDate>, which is from the XML Header

4.1 Header validation

Seq Number	Error/ Query	Validation Check	Error Message
001	Error	<DocumentName> (800001) must be present with a value of "Common Transfer File"	Document Name missing or invalid. The file must be recreated
101	Error	<SupplierID> (800006) must be present	Supplier ID is missing

4.2 Establishment level validation

Seq Number	Error/ Query	Validation Check	Error Message
301	Error	<LEA> (200001) must be provided and must be a valid value	Local Authority number missing or invalid
302	Error	<Estab> (200002) must be present with a valid value	Establishment No is missing

4.3 Pupil level validation

Seq Number	Error/ Query	Validation Check	Error Message
Pupil Identifiers			
1600	Error	<DOB> (100007) must be present	Pupil's date of birth is missing
1601Q	Query	DOB> (100007) should be between 1/9/2003 and 31/8/2004 for KS2.	Pupil's Date of Birth is outside expected date range
1610	Error	<Gender> (100008) must be present and a valid value	Pupil Gender missing or invalid
1500	Error	Error All schools except Independent schools <UPN> (100001) (Unique Pupil Number) must be present.	UPN is missing

Seq Number	Error/ Query	Validation Check	Error Message
1510	Error	<p>If <UPN> (100001) is present must contain the correct check letter To calculate the check letter:</p> <ol style="list-style-type: none"> 1. Multiply the individual digits by their weights as follows: digit 2 by weight 2; digit 3 by weight 3; digit 4 by weight 4; digit 5 by weight 5; digit 6 by weight 6; digit 7 by weight 7; digit 8 by weight 8; digit 9 by weight 9; digit 10 by weight 10; digit 11 by weight 11; digit 12 by weight 12; digit 13 by weight 13. 2. Sum the individual results, divide the total by 23, and take the remainder. 3. Calculate the check letter from the result as follows: 0 = A; 1 = B; 2 = C; 3 = D; 4 = E; 5 = F; 6 = G; 7 = H; 8 = J; 9 = K; 10 = L; 11 = M; 12 = N; 13 = P; 14 = Q; 15 = R; 16 = T; 17 = U; 18 = V; 19 = W; 20 = X; 21 = Y; 22 = Z. <p>For calculating the check letter (see above) any alphabetical character at digit 13 is accorded the same numerical value as listed in paragraph 3 above, i.e. A=0, B=1, C=2 etc.</p>	UPN invalid (wrong check letter at character 1)
1520	Error	Each pupil <UPN> (100001) must be unique across all pupils in the school	More than one pupil record with the same UPN
1530	Error	<p>If <UPN> (100001) is present Characters 2-4 of <UPN> (100001) must be a valid post April 1999 LA code or a recognised "pseudo LA" code (001-005, 201-213, 301-320, 330 336, 340 344, 350-359, 370-373, 380-384, 390-394, 420, 660-681, 701-708, 800 803, 805-808, 810 813, 815, 816, 820-823, 825, 826, 830, 831, 835-837, 840, 841, 845, 846, 850-852, 855-857, 860, 861, 865-896, 908, 909, 916, 919, 921, 925, 926, 928, 929, 931, 933, 935-38)</p>	UPN invalid (characters 2-4 not a recognised LA code)

Seq Number	Error/ Query	Validation Check	Error Message
1540	Error	If <UPN> (100001) is present Characters 5-12 of <UPN> (100001) must be numeric	UPN invalid (characters 5-12 not all numeric)
1550	Error	If <UPN> (100001) is present Characters 13 of <UPN> (100001) must be numeric or A-Z omitting I, O and S	UPN invalid (character 13 not a recognised value)
1580	Error	<Surname> (100003) must be present	Pupil with last name missing
1590	Error	<Forename> (100004) must be present	Pupil with forename missing
113	Error	Each <StageAssessment> should only appear once for each <Pupil> for the same combination of <Subject><Component><ResultQualifier>	Assessments are either missing or invalid
223	Error	Where <Subject> = ENG and <Component> = AT1 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	ENG AT1 (Speaking and Listening) result is missing
224	Error	Where <Subject> = ENG and <Component> = AT2 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	ENG AT2 (Reading) result is missing
225	Error	Where <Subject> = ENG and <Component> = AT3 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	ENG AT3 (Writing) result is missing
226	Error	Where <Subject> = ENG and <Component> = SUB and <ResultQualifier> = NL there should be a Stage Assessment <Result>	ENG SUB (Overall English) result is missing
227	Error	Where <Subject> = MAT and <Component> = AT1 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	MAT AT1 (Using) result is missing
228	Error	Where <Subject> = MAT and <Component> = AT2 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	MAT AT2 (Number) result is missing

Seq Number	Error/ Query	Validation Check	Error Message
229	Error	Where <Subject> = MAT and <Component> = AT3 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	MAT AT3 (Shape) result is missing
230	Error	Where <Subject> = MAT and <Component> = AT4 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	MAT AT4 (Handling) result is missing
231	Error	Where <Subject> = MAT and <Component> = SUB and <ResultQualifier> = NL there should be a Stage Assessment <Result>	MAT SUB (Overall Maths) result is missing
232	Error	Where <Subject> = SCI and <Component> = AT1 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	SCI AT1 (Scientific) result is missing
233	Error	Where <Subject> = SCI and <Component> = AT2 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	SCI AT2 (Life) result is missing
234	Error	Where <Subject> = SCI and <Component> = AT3 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	SCI AT3 (Materials) result is missing
235	Error	Where <Subject> = SCI and <Component> = AT4 and <ResultQualifier> = NL there should be a Stage Assessment <Result>	SCI AT4 (Physical) result is missing
236	Error	Where <Subject> = SCI and <Component> = SUB and <ResultQualifier> = NL there should be a Stage Assessment <Result>	SCI SUB (Overall Science) result is missing
237	Error	If <Subject> concatenated with <Component> and <ResultQualifier> equals 'ENGAT1NL', 'ENGAT2NL', 'ENGAT3NL', 'ENGSUBNL', 'MATAT1NL', 'MATAT2NL', 'MATAT3NL', 'MATAT4NL', 'MATSUBNL', 'SCIAT1NL', 'SCIAT2NL', 'SCIAT3NL', 'SCIAT4NL' or 'SCISUBNL' then <Result> must be A, D, W, 1, 2, 3, 4, 5 or 6	Result is invalid

Seq Number	Error/ Query	Validation Check	Error Message
238	Error	<p>All schools except Independent schools</p> <p>If <Subject> is ENG and <Component> is SUB and <ResultQualifier> is NL and <Result> is W</p> <p>then there must be at least one Assessment for that pupil where</p> <p><Subject> is ENG and <Component> is ENG and <ResultQualifier> is NP and <Result> in P1i, P1ii, P2i, P2ii, P3i, P3ii, NOTSEN</p> <p>or <Subject> is ENG and <Component> is SPE, LIS, REA or WRI and <ResultQualifier> is NP and <Result> in P4 - P8, NOTSEN</p>	KS2 ENG SUB is W - P scale required
239	Error	<p>All schools except Independent schools</p> <p>If <Subject> is MAT and <Component> is SUB and <ResultQualifier> is NL and <Result> is W</p> <p>then there must be at least one Assessment for that pupil where</p> <p><Subject> is MAT and <Component> is MAT and <ResultQualifier> is NP and <Result> in P1i, P1ii, P2i, P2ii, P3i, P3ii, NOTSEN</p> <p>or <Subject> is MAT and <Component> is NUM, USE or SSM and <ResultQualifier> is NP and <Result> in P4 - P8, NOTSEN</p>	KS2 MATHS is W - P scale required
240	Error	<p>All schools except Independent schools</p> <p>If <Subject> is SCI and <Component> is SUB and <ResultQualifier> is NL and <Result> is W</p> <p>then there must be one Assessment for that pupil where</p> <p><Subject> is SCI and <Component> is SCI and <ResultQualifier> is NP and <Result> in P1i, P1ii, P2i, P2ii, P3i, P3ii, P4 - P8, NOTSEN</p>	KS2 SCIENCE is W - P scale required

Seq Number	Error/ Query	Validation Check	Error Message
241	Error	<p>If <Subject> concatenated with <Component> and <ResultQualifier> equals 'ENGNGNP' or 'MATMATNP' then</p> <p>a) for all independent schools if <Result> is present, then <Result> must be P1i, P1ii, P2i, P2ii, P3i, P3ii or NOTSEN</p> <p>b) otherwise, for all other schools, <Result> must be present and must be P1i, P1ii, P2i, P2ii, P3i, P3ii or NOTSEN</p>	P scale result is invalid
242	Error	<p>If <Subject> concatenated with <Component> and <ResultQualifier> equals 'SCISCINP' then</p> <p>a) for all independent schools if <Result> is present, <Result> must be P1i, P1ii, P2i, P2ii, P3i, P3ii, P4, P5, P6, P7, P8 or NOTSEN</p> <p>b) otherwise, for all other schools, <Result> must be present and must be P1i, P1ii, P2i, P2ii, P3i, P3ii, P4, P5, P6, P7, P8 or NOTSEN</p>	P scale result is invalid
243	Error	<p>If <Subject> concatenated with <Component> and <ResultQualifier> equals 'ENGSPENP', 'ENGLISNP', 'ENGREANP', 'ENGWRINP', 'MATNUMNP', 'MATUSENP' or 'MATSSMNP' then</p> <p>a) for all independent schools if <Result> is present, <Result> must be P4, P5, P6, P7, P8 or NOTSEN</p> <p>b) otherwise, for all other schools, <Result> must be present and must be P4, P5, P6, P7, P8 or NOTSEN</p>	P scale result is invalid

Seq Number	Error/ Query	Validation Check	Error Message
244	Error	All schools except Independent schools If <Subject> is ENG and <Component> is ENG and <ResultQualifier> is NP and <Result> is P1i, P1ii, P2i, P2ii, P3i, P3ii or NOTSEN then there must be an Assessment for that pupil where <Subject> is ENG and <Component> is SUB and <ResultQualifier> is NL and <Result> W	English overall P scale level recorded - Appropriate KS2 level must be W
245	Error	All schools except Independent schools If <Subject> is ENG and <Component> is SPE or LIS and <ResultQualifier> is NP and <Result> in (P4 - P8 or NOTSEN) then there must be one assessment where <Subject> is ENG and <Component> is AT1 and <Result> is W	P scale level recorded – KS2 AT1 must be W
246	Error	All schools except Independent schools If <Subject> is ENG and <Component> is REA and <ResultQualifier> is NP and <Result> in (P4 - P8 or NOTSEN) then there must be one assessment where <Subject> is ENG and <Component> is AT2 and <Result> is W	P scale level recorded – KS2 AT2 must be W
247	Error	All schools except Independent schools If <Subject> is ENG and <Component> is WRI and <ResultQualifier> is NP and <Result> in (P4 - P8 or NOTSEN) then there must be one assessment where <Subject> is ENG and <Component> is AT3 and <Result> is W	P scale level recorded – KS2 AT3 must be W

Seq Number	Error/ Query	Validation Check	Error Message
248	Error	<p>All schools except Independent schools If <Subject> is MAT and <Component> is MAT and <ResultQualifier> is NP and <Result> is P1i, P1ii, P2i, P2ii, P3i, P3ii or NOTSEN then there must be an Assessment for that pupil where <Subject> is MAT and <Component> is SUB and <ResultQualifier> is NL and <Result> W</p>	<p>Maths overall P scale level recorded - Appropriate KS2 level must be W</p>
249	Error	<p>All schools except Independent schools If <Subject> is MAT and <Component> is USE and <ResultQualifier> is NP and <Result> in (P4 - P8 or NOTSEN) then there must be one assessment where <Subject> is MAT and <Component> is AT1 and <Result> is W</p>	<p>P scale level recorded – KS2 AT1 must be W</p>
250	Error	<p>All schools except Independent schools If <Subject> is MAT and <Component> is NUM and <ResultQualifier> is NP and <Result> in (P4 - P8 or NOTSEN) then there must be one assessment where <Subject> is MAT and <Component> is AT2 and <Result> is W</p>	<p>P scale level recorded – KS2 AT2 must be W</p>
251	Error	<p>All schools except Independent schools If <Subject> is MAT and <Component> is SSM and <ResultQualifier> is NP and <Result> in (P4 - P8 or NOTSEN) then there must be one assessment where <Subject> is MAT and <Component> is AT3 and <Result> is W</p>	<p>P scale level recorded – KS2 AT3 must be W</p>

Seq Number	Error/ Query	Validation Check	Error Message
252	Error	All schools except Independent schools If <Subject> is SCI and <Component> is SCI and <ResultQualifier> is NP and <Result> is P1i, P1ii, P2i, P2ii, P3i, P3ii, P4, P5, P6, P7, P8 or NOTSEN then there must be an Assessment for that pupil where <Subject> is SCI and <Component> is SUB and <ResultQualifier> is NL and <Result> W	Science overall P scale level recorded - Appropriate KS2 level must be W
119	Error	Each of the combinations of parameters at Section 6.2 must be present once and once only and where the assessment is at level W, the appropriate P scale parameter(s) from section 6.3 must be present. No other parameters should be present.	Assessments are either missing or invalid
285	Error	P scale parameters for an assessment cannot be present for both overall subject and for subject component.	Assessments are invalid

Notes:

Where NOTSEN is indicated as a valid result for a P scale that signifies a pupil who is not on the SEN register but not yet working at level 1 – pupils with English as a second language are the most common instance of this.

There is currently no P scale cross-check for W in the individual KS2 ATs in NCA Tools, P scales will be accepted by NCA Tools without a corresponding W.

5 Resubmission guidance

When resubmissions are required the Serial No in the Header **must** be incremented by the provider's software. Note that a resubmission will **overwrite the data** contained in the previous submission, but will not remove existing data that is not included in the resubmission.

6 Valid values

Valid item values must be in the list or range specified in CBDS, the Common Basic Dataset, URL (<https://www.gov.uk/government/collections/common-basic-data-set>) subject to the exceptions and restrictions below.

6.1 LEA codes

LEA codes (CBDS number 200001, codeset D00004) for this collection only covers ENGLAND LAs. Coverage also excludes LEA codes:

001, 003, 167
codes starting with 6 and 7 except 702 (Service Children's Education, which is valid)
XXX, MMM and NA

6.2 Assessment parameters

Assessment parameters - the following combinations of subject, component, assessment method and result type are required:

For key stage 2:

KS2-2015-ENG-AT1-TA-NL

KS2-2015-ENG-AT2-TA-NL

KS2-2015-ENG-AT3-TA-NL

KS2-2015-ENG-SUB-TA-NL

KS2-2015-MAT-AT1-TA-NL

KS2-2015-MAT-AT2-TA-NL

KS2-2015-MAT-AT3-TA-NL

KS2-2015-MAT-AT4-TA-NL

KS2-2015-MAT-SUB-TA-NL

KS2-2015-SCI-AT1-TA-NL

KS2-2015-SCI-AT2-TA-NL

KS2-2015-SCI-AT3-TA-NL

KS2-2015-SCI-AT4-TA-NL

KS2-2015-SCI-SUB-TA-NL

6.3 P Scale parameters

In addition to the required parameters above, where the Assessment Result is level 'W' then one or more (as appropriate) of the following corresponding P scale combinations are required:

SEN-2015-ENG-ENG-TA-NP

SEN-2015-ENG-REA-TA-NP

SEN-2015-ENG-WRI-TA-NP

SEN-2015-ENG-SPE-TA-NP

SEN-2015-ENG-LIS-TA-NP

SEN-2015-MAT-MAT-TA-NP

SEN-2015-MAT-NUM-TA-NP

SEN-2015-MAT-USE-TA-NP

SEN-2015-MAT-SSM-TA-NP

SEN-2015-SCI-SCI-TA-NP



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& Testing
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