Key stage 1 return 2017

Collection guide for teacher assessment data

May 2017

Contents

Introduction

Purpose of this document

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

- understand the rationale behind and purpose of the key stage 1 data collection;
- populate their systems with the required data for pupils and schools;
- complete the key stage 1 return for 2017

It relates only to the collection of data for pupils who were born between 1 September 2009 and 31 August 2010.

This document is published on the gov.uk website and local authorities (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 key stage 1 assessments to the Department for Education (DfE) by local authorities is 28 July 2017.

2017 teacher assessment arrangements

Schools must submit teacher assessment (TA) or P scale data for all eligible pupils at the end of key stage 1.

TA is the main focus for end of key stage 1 assessment and reporting. Schools must also report TA for English reading, English writing, mathematics and science. It is carried out as part of teaching and learning.

TA provides a judgement that is based on knowledge of how the pupil has performed over time and in a variety of contexts.

In 2017, key stage 1 teacher assessment judgements must be submitted using:

- the [interim teacher assessment frameworks;](interim teacher assessment frameworks)
- the [interim pre-key stage standards;](interim pre-key stage standards) and
- P scales data

Each pupil must be assessed across the range of attainment for each subject. For example, a pupil may be assessed as working at the expected standard in mathematics but working at foundations for the expected standard in English writing, and has not met the expected standard in science.

Who is in the scope for the key stage 1 data collection?

All English providers of key stage 1 education in the state-funded and private sectors are within the scope of the key stage 1 data collection.

Local authorities must collect and report to the DfE, the results for all pupils at the end of key stage 1 in their state-funded schools and for any participating independent schools.

Rationale behind the key stage 1 data collection

The Education Act 2002 places a duty on local authorities 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 key stage 1 data collection provides information at national, local authority and school level on attainment outcomes at the end of key stage 1.

Statutory basis of the key stage 1 collection

The individual level data collection from state-funded schools and academies is a statutory requirement of schools and local authorities through regulations made under Article 9 of the Education (National Curriculum) (Key Stage 1 Assessment Arrangements) (England) Order 2004 as amended.

Since the collection of key stage 1 data is statutory:

- 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;
- schools and local authorities are protected from any legal challenge that they are breaching a duty of confidence;
- it helps to ensure that returns are completed by schools

Legal duties under the Data Protection Act: privacy notice

The Data Protection Act 1998 puts in place certain safeguards regarding the use of personal data by organisations, including the Department for Education (DfE), local authorities and schools. The Act gives rights to those (known as data subjects) about whom data is held, such as pupils, their parents and teachers. This includes:

- the right to know the types of data being held
- why it is being held, and
- to whom it may be communicated

A 'privacy notice' is a good way to be able to meet data subjects rights and therefore DfE recommend they are used to explain to pupils and staff how their data is being used in the Census collections and the phonics and key stage 1 results collection. DfE have drafted template privacy notices that schools and local authorities may like to use, however, they should be reviewed, amending as necessary to reflect business need. In order to make these individuals fully aware of our use of their data we strongly advise you reference our use in the national pupil database and onward sharing, retaining the link to Data protection: how we collect and share research data.

We suggest that you make relevant privacy notices available to parents on your school website. In order to ensure parents remain informed, some schools also choose to refer to this in their communications to parents.

Legal duties under the Data Protection Act: data security

Schools and local authorities have a legal duty under the Data Protection Act to ensure that any personal data they process is handled and stored securely. Further information is available from the Information Commissioners Office.

If personal data is not properly safeguarded it could damage your reputation and compromise the safety of individuals. Your responsibility as a data controller extends to those who have access to your data beyond your organisation if working on your behalf, eg if external IT suppliers can remotely access your information. The '10 Steps To Cyber Security' and 'Responsible for Information' pages provide further guidance and advice.

It is vital that all staff with access to personal data understand the importance of protecting it; that they are familiar with your security policy; and that they put security procedures into practice. So you should provide appropriate initial and refresher training. Further information on handling data securely can also be found in the DfE guidance on data protection for schools consider cloud software services.

Data quality

In order to properly ascertain the standard that pupils at the end of key stage 1 are working at, it is important that the data collected by local authorities, for onward transmission to the department, is both accurate and complete. In the data required section, there is a complete list of data items that need to be submitted, together with an explanation of each of them.

Supporting information on key stage 1 assessment is provided on the .gov.uk website.

Local authorities can download a copy of the key stage 1 assessment and reporting arrangements (ARA) handbook from this website and also find information for carrying out assessments and moderation.

Data required

Schools do not have to report test results to their local authority. However, where the school has recorded this data it can choose whether to include these results in any data provided to the local authority. Local authorities do not report test results to the department.

Schools need to submit the following data to their local authority:

Local Authority number

Estab number of the school: This is a 4-digit number

Academic Year: This year will be 2017

Pupil data

Pupil's surname

Pupil's forename

Pupil's gender

Pupil's date of birth

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

Teacher assessment codes

You must use the following codes when submitting TA and P scale data:

Code	Description	Notes
BLW	Below the standard of the interim pre-key stage (corresponds with P-scales or 'NOTSEN')	Pupils submitted as BLW for English reading, English writing and mathematics must also have either P scales or 'NOTSEN' submitted.
PKF	Pre-key stage foundations for the expected standard	To be used for English reading, English writing and mathematics.
HNM	Has not met the expected standard (not defined standard, used for those that have not met the criteria for the standard)	For science only The HNM code is used where pupils have not met the criteria for working at the expected standard. There are no interim pre-key stage standard codes for science.
WTS	Working towards the expected standard	To be used for English reading, English writing and mathematics.
EXS	Working at the expected standard	To be used for English reading, English writing, mathematics and science.
GDS	Working at a greater depth within the expected standard	To be used for English reading, English writing and mathematics.
A	Pupil absent	To be used for English reading, English writing, mathematics and science when a child is absent or there is not enough information to provide a teaching assessment (TA) judgement.
D	Pupil disapplied	To be used for English reading, English writing, mathematics and science when a pupil has been disapplied from the national curriculum, including statutory assessment requirements.

Using the BLW code

BLW must be submitted with the corresponding P scales or 'NOTSEN' if a pupil is not working at the standard of the interim pre-key stage standards for English writing, English reading and mathematics, and is either working at P scales or is 'NOTSEN'.

P scales

P scales are statutory when submitting attainment for pupils with special educational needs and disabilities (SEND) who are working below the interim pre-key stage standards defined for key stage 1.

When to apply P scales

The performance descriptors for P1i–P3ii are the same across English, mathematics and science. If a pupil is judged to be higher than P3ii in English, then separate descriptors (P4–P8) can be given in reading, writing, speaking or listening and an overall English descriptor is not expected.

This also applies to mathematics; number, using and applying mathematics, and shape, space and measures. For science, a single judgement from P1i–P8 should be given.

If a pupil is assessed as being between P4–P8 for English or mathematics, P scales should be submitted for the individual attainment targets. For example, if a pupil is working at P4 or above in English, individual P scales should be submitted for speaking and listening, reading, and writing, not an overall English P scale.

P scale subject	Reportable scale
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'

For information on P scales, see information in the link below:

[P scales: attainment targets for pupils with SEN](#)

Mixed P scales

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. In these cases you can submit a combination of overall and attainment target P scales.

Mixture of P scales and interim pre-key stage standards

Where a pupil is working between interim pre-key stage standards and P scales, you should make a judgement on whether the interim pre-key stage standard can more appropriately be applied for the subject.

If the pupil is not working at the standard of the interim pre-key stage standards, the BLW code should be used along with P scales for as many components as applicable, and left blank for those that are not applicable.

If interim pre-key stage standards have been submitted, it is not necessary to provide any P scales. However, any P scales submitted when not required will be accepted and will not result in an error against your submission.

Submitting P scales for science

There is no BLW code for science. If a pupil is working at P scales for science then they must be submitted as HNM and corresponding P scales must also be submitted.

'NOTSEN'

If a pupil is working below the standard of the interim pre-key stage standards but does not have special educational needs and disabilities (SEND) then they must be submitted as BLW and 'NOTSEN' must also be submitted.

Collection guide

This guide outlines the main requirements and submission arrangements for the 2017 key stage 1 data collection. The COLLECT system will be available on Monday 12 June 2017.

As in previous years, the department will not be providing a COLLECT school blade. There will be a single blade that local authorities can use to submit key stage 1 data.

The department will continue to collect full individual pupil level data. COLLECT will be the means by which data is collected from local authorities.

Local authority data reporting format

The department continues to have no requirement for data in aggregate forms (eg local authority aggregate data). Rather, a single XML file for each school, containing all eligible pupils, will be created by local authorities' central processing system software. The separate school XML files will need to be zipped (we would suggest using an identifiable filename eg local authority 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 [key stage1 technical specification](#).

After validation is complete you can 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. You must approve the data so that the department can consider it to be finalised.

Data collection timetable

Local authorities should make their key stage 1 submissions by Friday 28 July 2017.

There will be a limited opportunity for local authorities to submit late and/or corrected results, but any late results will not be included in RAISEonline replacement service. They will only be used to update the national pupil database (NPD).

Amendments will not be accepted after the database is closed.

Expected list of schools submitting results

The Data Collections Helpdesk will update the expected list of schools on COLLECT with an extract taken from the spring school census. Local authorities can view the expected list on COLLECT from 12 June 2017. Please check the lists for any schools that are missing or need to be added, and advise the helpdesk using the data collections service request form. If the COLLECT system is not updated with the correct schools local authorities will be unable to load the data returns for these schools. We ask that you supply the Data Collections Helpdesk with any amendments to your expected list as soon as possible.

School recording and reporting options

The department has provided software specifications to commercial suppliers of local authority database processing systems, and to those local authorities who wish to design their own systems for this purpose. The local authority processing software will accept a school MIS CTF export file and the DfE spreadsheet CSV export file and create the necessary DfE export file. Local authorities will fully meet the statutory requirements for the submission of its key stage 1 results by using appropriate software that will enable them to create the necessary file.

The department will only accept key stage 1 results created from software that can produce the information in the correct format to upload onto the COLLECT system.

School Management Information System (MIS)

The school MIS will allow entry of key stage 1 results.

There are four stages to the capture of key stage 1 pupil assessments once they have been made by teachers:

1. Entry by schools of individual pupils' key stage 1 results (including P scale results if applicable) into their management information system.

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

3. Loading of results (in all formats) into the local authority central database or processing system.

4. Creation of school XML export files by local authority software for loading into the key stage 1 data collection on COLLECT.

Further details of these stages are contained within the published key stage 1 technical specification.

DfE spreadsheet

For schools that are unable to use their MIS for the recording and submission of 2017 key stage 1 results, an Excel based spreadsheet for the data collection is available to enable the provision of the results in the correct format. This can be requested from the Data Collections Helpdesk, using the data collection service request form. The 2016 version of the spreadsheets must not be used and should be discarded.

The spreadsheet 'Export' option creates a CSV file containing the relevant pupil contextual data and the key stage 1 TA and P Scales that have been entered for loading into the local authority's central processing system. Please be aware that this CSV file cannot be imported into COLLECT and needs to be loaded into the local authority central software.

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

Secure Access and COLLECT access

User names and passwords for COLLECT are managed by the Secure Access system. Your local authority has a delegated approver(s) who can allocate you access to departmental systems that use Secure Access. If you require access to key stage 1 on COLLECT, please contact the approver in your local authority.

More information is available on the Secure Access help screen.

You can also get help using the Secure Access service request form.

General issues

If you have any COLLECT or key stage 1 queries of a general nature, please contact the department by using the data collection service request form.

Appendices

Appendix: glossary

RAISEonline replacement service	RAISEonline replacement service provides interactive analysis of school and pupil performance data to schools. Further information can be found at: https://www.raiseonline.org.
COLLECT	COLLECT (Collections On-Line for Learning, Education, Children and Teachers) 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 local authorities 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 unique pupil number (UPN), surname, forename, date of birth, gender, together with other information for example, assessments, attendance, special educational needs (SEN) and contacts. A complete list of fields can be found in the CTF guide notes.
MIS	Management information system(s) – propriety software system(s) used by schools and local authorities 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.

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