



Standards
& Testing
Agency

2022 key stage 2 teacher assessment

Technical specification

March 2022

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Summary

This document provides the specification for the 2022 key stage 2 (KS2) teacher assessment data collection which is returned to the Standards and Testing Agency (STA).

It has been produced to help schools, local authorities and school management information system suppliers to prepare and return all the required data to STA.

Who is this publication for?

This technical specification is for:

- suppliers developing software for use in management information systems (MIS)
- local authorities collecting and submitting the KS2 assessments data return 2022
- schools submitting the KS2 assessments data return 2022

Main points

These specifications enable schools and local authorities, including software suppliers working on their behalf, to prepare and submit data on KS2 assessments carried out in 2022. It contains:

- changes to the previous year's data collection exercise
- what pupil data is required for each pupil
- how to structure the data in XML
- how to check the data against the validation rules

This guide must be read in conjunction with the current version of the [Common Basic Dataset \(CBDS\)](#). It defines common data items that schools use in MIS software and that we use in our data collections.

Version history

Version	Change history	Author/date
0.5	Changes to the specification for the 2022 KS2 collection have been made as listed below: <ul style="list-style-type: none">• roll over of dates• common Transfer File (CTF) version to CTF 21• all links updated	Ceri Ashman/Hannah Green February 2022

Version	Change history	Author/date
	<ul style="list-style-type: none"> • science TA restored to 2022 collection • remove P-scales • addition of Engagement model code • remove Code “D” • addition of “A” code to reading and mathematics • amendment/removal of validation rules • reference to ASP and the performance tables checking exercise removed. Further information will be made available closer to the submission window. 	

1. Introduction

This document provides the specification for the return of KS2 teacher assessments, pre-key stage and Engagement model data to STA. Returns are made using the Primary Assessment Gateway (PAG) and are in XML format.

1.1 Statutory requirement

The return of data to the department and its subsequent publication is underpinned by the following legislation:

- [the Education Act 1996 s29\(3\)](#)
- [the Education \(School Performance Information\)\(England\) Regulations 2007](#)
- [regulations 5 and 8 School Information \(England\) Regulations 2008](#)

1.1.1 Data sharing

The UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018 (DPA 2018) provide certain safeguards regarding the use of personal data by organisations, including:

- the department
- local authorities
- schools

The UK GDPR and DPA 2018 detail the rights of those (known as) data subjects about whom data is held, such as:

- pupils
- parents
- teachers

This includes (amongst other information that we are obliged to provide):

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

For the purposes of data protection legislation, the terms 'process', 'processed' or 'processing' apply to any activity involving the personal data, such as:

- collecting
- storing
- sharing

- destroying
- please note: this list is not exhaustive

The department provides suggested wording for [privacy notices](#) that schools and local authorities may wish to use. However, where the suggested wording is used, the school or local authority (LA) must review and amend the wording to reflect local business needs and circumstances.

This is especially important, as data will be processed that is not solely for use within data collection exercises.

1.2 Structure

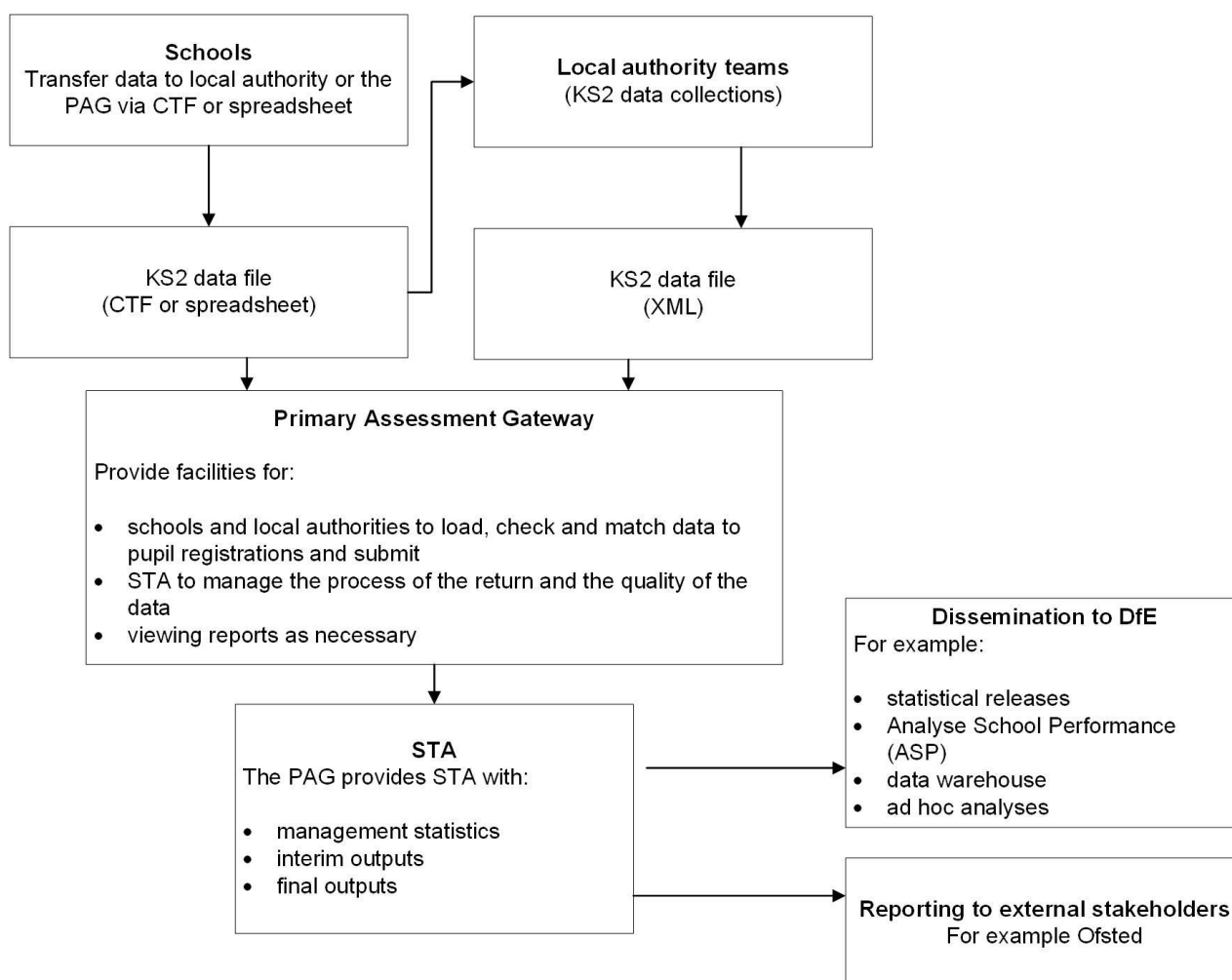
This technical specification contains a narrative, sample XML messages and validation. Schools, local authorities and suppliers should read this specification in conjunction with the current version of the [Common Basic Data Set \(CBDS\)](#).

1.3 Scope

This data collection exercise covers all schools in England that are required to, or have chosen to provide data on KS2 assessments carried out during 2022. It also covers local authorities that might be submitting data on behalf of schools. This includes independent schools, academies and free schools outside of their geographical area, where the LA has been selected to carry out moderating activities.

Figure 1 outlines the overall scope of the collection.

Figure 1: high-level data collection process



1.4 Changes for 2022

Changes for the 2022 KS2 data collection technical specification are:

- roll over of dates
- CTF version updated to CTF 21
- removal of P Scales

- addition of Engagement model codes
- removal of the disappplied “D” code
- reading and mathematics Teacher Assessment (TA) code “A” added for pupils where they are below the standard, but they are absent for long periods or recently arrived.
- validation has been updated to reflect changes as above and to include additional PAG validation.
- reference to ASP and the performance tables checking exercise removed. Further information will be made available closer to the submission window.

1.5 Key dates

Data must be submitted via the PAG between 18 May and 28 June, either directly from schools or by local authorities submitting on their behalf. Schools and local authorities will be able to correct errors and re-submit until the teacher assessment form closes in September.

2. Collection and submission of assessment data

2.1 Outline of data content

Each return from a LA will consist of a header and one or more school modules (only one school per return as shown in Figure 2), 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.

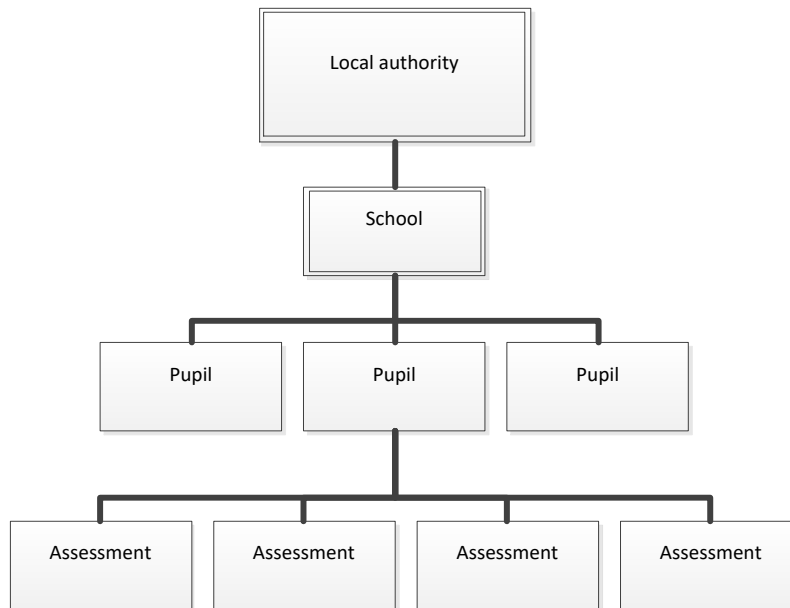


Figure 2: outline structure of data

2.2 What schools must assess

Teachers will complete the end of key stage 2 assessment following the process set out in the [key stage 2 assessment and reporting arrangements 2022](#).

The outcomes of those assessments will be reported either to the STA or via their LA if the LA is submitting on behalf of the school. This year schools must submit a valid outcome for:

- all children in English writing and science teacher assessment
- any child that is working below the standard of the national curriculum in English reading and/or Mathematics.

The codes that should be used when submitting data are as follows:

Key stage 2	Pupils working at the standard of the national curriculum assessments	Pupils working below the standard of the national curriculum assessments and engaged in subject specific study	Pupils working below the standard of the national curriculum assessments and not yet engaged in subject-specific study	Other codes
English reading	Not applicable	PK1, PK2, PK3, PK4, PK5, PK6	EM	A
Mathematics	Not applicable	PK1, PK2, PK3, PK4, PK5, PK6	EM	A
English writing	GDS, EXS, WTS	PK1, PK2, PK3, PK4, PK5, PK6	EM	A, L, F, P
Science	EXS, HNM	HNM	HNM	A, L, F, P

Please see [key stage 2 teacher assessment guidance](#) for more information on teacher assessment judgements.

2.3 Submitting results

Steps 1 and 2 below are for schools submitting their data directly to STA or via their LA using an XML export file:

1. Schools enter individual pupils' KS2 TA results (including pre-key stage and Engagement model, if applicable) into their respective MIS.
2. The MIS then creates an XML export file (partial CTF) for loading into the PAG, or, if arrangements have been made for a LA to submit data on the school's behalf, submission to the LA by secure means.

LAs submitting data on behalf of schools are required to complete steps 3 and 4, following schools completion of steps 1 and 2:

3. Load results (in all formats) into the LA central database or processing system.
4. Create school XML export files using LA software for loading into the PAG.

STA will only accept submissions in XML format or if not available a KS2 Excel template is provided in the PAG to enable schools and LAs to submit their data.

2.4 Entry of results into school MIS

Each pupil's TA for English writing and science must be entered into the MIS. In addition, results for any pupils working below the standard of the national curriculum in English reading and mathematics must be entered in the MIS.

Pre-key stage standards

The pre-key stage standards are for pupils who are working below the standard of the national curriculum assessments but are engaged in subject-specific study. This means they will be working below the lowest standard in the relevant framework for TA. The pre-key stage standards are used to make statutory judgements in English reading, English writing and mathematics for pupils who have reached the end of year 6 when an outcome must be reported for school accountability, but who have not completed the relevant KS2 programme of study.

Pre-key stage standards have not been defined for science. Any pupils that have not met the expected standard in science should be marked as 'HNM'.

Engagement model

Schools must use the engagement model to assess pupils working below the standard of national curriculum assessments and not engaged in subject-specific study at KS2.

The engagement model is a new TA tool that replaces P scales 1- 4. It is statutory from September 2021.

The full list of valid assessment values for all of the above is as shown in the [Assessment component file 2022 \(A Comp\)](#).

For more information on when pre-key stage standards and Engagement model should be used, see the [key stage 2 assessment and reporting arrangements \(ARA\)](#).

2.5 MIS data entry checks

The school MIS software should check that a valid judgement has been entered for each subject, where appropriate. Any invalid or missing entries should be reported to the school when the data is entered or when the CTF is created. For more information, see section 4.

2.6 Naming convention for CTF files

XML files should be created using the following naming convention:

'xxxnnnn_KS2_NAALLL_yyy.XML'

'xxx' represents the LA number, 'nnnn' is the school number (Establishment number) and 'yyy' is an incremented version number starting at 001.

2.7 Loading KS2 results into the local authority central management system

Where a LA is collecting and submitting data on behalf of schools, their management system should allow them to import the CTF into its central database. It should also allow them to validate the CTF in accordance with the rules in section 4 (where applicable). Any missing or invalid TA, pre-key stage and Engagement model data should be reported to the LA in their system. The software should also warn if any Unique Pupil Numbers (UPNs) are missing or invalid, or if any dates of birth are missing, incomplete or outside the expected age range.

In addition, the software should allow the LA to load into its central database a file created by independent schools from the KS2 TA template available in the PAG.

The export filename should be:

'ks2_yyyxxxx_###.xls'

'yyy' is the LA number and 'xxxx' is the school establishment number (for independent schools, this number will always start with a 6). '###' is the version number of the file.

Where any pupil's identifying or contextual data is 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 xls import.

Where a CTF contains any pupil data from previous assessments (for example, earlier years' KS2 results), there should be a prompt to ask if the existing assessment data should be overwritten.

The LA should also have facilities to:

- remove and add pupils
- amend a pupil's identifying data or result outcomes and for the new data to be re-validated in accordance with the rules in section 4
- 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 section 4

2.8 Creation of XML export file for transmission to STA

The software should create separate XML files containing individual pupil data for each school as specified in the example XML file in section 3.2. The files should be created for loading into the PAG.

These XML files should be validated in accordance with the rules in section 4. Any data failing the validation checks should be reported using the error codes and messages specified.

In addition to the LA and school number, the file will contain the following data items for each pupil:

Identifier	CBDS Module	Data Item Name
N00001	Pupil Identifiers	Unique Pupil Number (UPN)
N00003	Pupil Identifiers	Surname
N00004	Pupil Identifiers	Forename
N00006	Pupil Identifiers	Date of Birth
N00007	Pupil Identifiers	Pupil Gender

Each pupil will have a number of stage assessments containing each KS2 TA, pre-key stage or Engagement model result as recorded.

Task/test results must not be included in the XML file.

Please note, an approved supplier ID will not be issued. The PAG will use the supplier ID tag value specified by suppliers for this purpose.

Exporting the XML

The LA should be provided with options to include in the export XML:

- all or 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:

- all or 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)

Please note, whichever option is chosen, all results for each pupil within the school are to be exported.

Where a CTF contains any pupil's previous assessment data (for example earlier years' KS2 results), there should be a prompt to ask if the existing assessment data should be overwritten.

2.9 Additional local authority software requirements

The software should allow the LA to:

- produce a list of schools to check that all expected schools returns have been processed
- produce a report for each school, or for all schools, to show the number of boys, girls and total number of pupils included in each school's CTF submission
- transmit results in batches without the need to resubmit results already transmitted

2.10 Reports for schools and parents

The software should produce 2022 pupil results and 2022 school result reports.

2.11 Return of data to schools

The PAG will produce a file in XML format, which can be imported back into the school MIS. The data is also available in CSV format.

Imported data may differ from the existing data if changes have been made in the PAG by:

- the school
- the LA
- an administrator

Imported data may also differ if data was resubmitted following moderation by the LA.

In some cases data may be annulled following moderation. This process was introduced in 2018 and is denoted by the Q code as specified in A_Comp. This code will only be used in files exported from the 'Results' section of the PAG. The software should accept the import of the Q code but validation should prevent the Q code from being selected when creating TA data submission files. To note, there should be no restriction on

including the Q code in other files, for example the CTF for onward transmission of a pupil's data to a new school.

3. Data return formats

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

For more technical information on CTFs see the [2021 common transfer file specification](#).

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 characters are found within the XML standard documentation, [Extensible Markup Language](#), in section 2.2.

3.2 Example file structure for XML returns

CBDS Ref	XMLFormatLayout	Notes
	<?xml version="1.0" encoding="UTF-8"?>	
	<CTfile>	
	<Header>	
N00600	<DocumentName>Common Transfer File</DocumentName>	
N00608	<CTFversion>21.0</CTFversion>	
N00609	<DateTime>2022-06-23T15:30:47</DateTime>	
N00611	<DocumentQualifier>partial</DocumentQualifier>	
N00605	<SupplierID>SIMS</SupplierID>	
N00616	<SourceSchool>	
N00216	<LEA>302</LEA>	D00004
N00147	<Estab>2071</Estab>	D00036
N00057	<SchoolName>West School</SchoolName>	
N00618	<AcademicYear>2022</AcademicYear>	
	</SourceSchool>	
	<DestSchool>	
N00216	<LEA>NAA</LEA>	D00004
N00279	<Estab>LLLL</Estab>	D00036
	</DestSchool>	
	</Header>	
	<CTFpupilData>	A repeatable group of 1 or more
	<Pupil>	
N00001	<UPN>A123456789012</UPN>	

CBDS Ref	XMLFormatLayout	Notes
N00003	<Surname>Smith</Surname>	
N00004	<Forename>John</Forename>	
N00006	<DOB>2011-03-21</DOB>	
N00007	<Gender>M</Gender>	
	<StageAssessments>	
	<KeyStage>	
N00156	<Stage>KS2</Stage>	D00182
	<StageAssessment>	<StageAssessment>: A repeatable group of 1 or more depending on the combination of <Subject>, <Method>, <Component> and <ResultQualifier> required. See A_Comp 2022
N00088	<Locale>ENG</Locale>	
N00602	<Year>2022</Year>	
N00134	<Subject>ENG</Subject>	
N00062	<Method>TA</Method>	
N00063	<Component>REA</Component>	
N00061	<ResultStatus>R</ResultStatus>	
N00200	<ResultQualifier>NC</ResultQualifier>	
N00064	<Result>EXS</Result>	
N00094	<ResultDate>2022-06-28</ResultDate>	
	</StageAssessment>	
	</KeyStage>	
	</StageAssessments>	
	</Pupil>	
	</CTFpupilData>	
	</CTfile>	

4. Data validation rules

This section specifies validation rules that are applied to the data by STA, using the PAG. The rules should also be applied (where possible), and any issues resolved as far as possible by:

- schools prior to exporting the file and passing to the LA, or loading the data directly onto the PAG system
- local authorities prior to loading the data onto the PAG system

Those data items included in the specification, but not appearing in the validation rules should be supplied where available. The rules below show the errors that will be presented to the school or the LA on submission of their data, if they fail the validation checks.

Any file that is exported with errors and is uploaded to the PAG without being corrected first, may fail to upload or may require a new file to be created and uploaded in order to correct it.

Syntax requirements for XML files:

- validation checks are expressed as conditions that must be true (errors).
- the error message shows what will be displayed if the condition fails.
- data items are indicated using the XML tag with the CBDS number in parentheses, for example <UPN> (N00001).
- 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

Sequence number	Error/query	Validation check	Error message
001	Error	<DocumentName> (N00600) must be present with a value of "Common Transfer File"	Document name missing or invalid - the file must be recreated
002	Error	<SupplierID> (N00605) must be present	Supplier ID is missing

4.2 Establishment level validation

Sequence number	Error/query	Validation check	Error message
003	Error	<LEA> (N00216) must be provided and must be a valid value	Local Authority number missing or invalid
004	Error	<Estab> (N00279) must be present with a valid value	Establishment number is missing

4.3 Pupil level validation

Sequence number	Error/query	Validation check	Error message
1001	Error	<DOB> (N00006) must be present	Date of birth is required
1002	Error	<DOB> (N00006) format must be DD/MM/YYYY	Date of birth format must be DD/MM/YYYY
1003	Error	<DOB> (N00006) should be between 1/9/2009 and 31/8/2012 for KS2	Pupil's date of birth is outside expected date range
1004	Error	<Gender> (N00007) must be present and a valid value	Gender code is invalid
1005	Error	All schools except Independent schools <UPN> (N00001) (Unique Pupil Number) must be present	UPN is required

Sequence number	Error/query	Validation check	Error message
1006	Error	<p>If <UPN> (N00001) is present must contain the correct check letter</p> <p>To calculate the check letter:</p> <ol style="list-style-type: none"> 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. Sum the individual results, divide the total by 23, and take the remainder. 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; A=0, B=1, C=2 and so on.</p>	UPN invalid (wrong check letter at character 1)
1007	Error	Each pupil <UPN> (N00001) must be unique across all pupils in the school	More than one pupil record with the same UPN
1008	Error	<p>If <UPN> (N00001) is present characters 2-4 of <UPN> (N00001) 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--841, 845, 846, 850-852, 855-857, 860, 861, 865-896, 908, 909, 916, 919, 921, 925, 926, 928, 929, 931, 933, 935-938)</p>	UPN invalid (characters 2-4 not a recognised LA code)

Sequence number	Error/query	Validation check	Error message
1009	Error	If <UPN> (N00001) is present characters 5-12 of <UPN> (N00001) must be numeric	UPN invalid (characters 5-12 not all numeric)
1010	Error	If <UPN> (N00001) is present characters 13 of <UPN> (N00001) must be numeric or A-Z omitting I, O and S	UPN invalid (character 13 not a recognised value)
1011	Error	<Surname> (N00003) must be present	Surname is required
1012	Error	<Forename> (N00004) must be present	Forename is required
1013	Error	Where <Subject> = ENG and <Component> = WRI and <ResultQualifier> = NC there should be a stage assessment <Result>	The writing result is missing, it must be one of GDS, EXS, WTS, PK6, PK5, PK4, PK3, PK2, PK1, EM, A, L, F or P
1014	Error	Where <Subject> = SCI and <Component> = SCI and <ResultQualifier> = NC there should be a stage assessment <Result>	The science result is missing, it must be one of EXS, HNM, A, L, F or P
1015	Error	If <Subject> concatenated with <Component> and <ResultQualifier> equals 'ENGREANC' then <Result> must be EM, PK1, PK2, PK3, PK4, PK5, PK6, or A	The reading result is invalid, it must be one of PK6, PK5, PK4, PK3, PK2, PK1, EM, A
1016	Error	If <Subject> concatenated with <Component> and <ResultQualifier> equals 'ENGWRINC' then <Result> must be EM, PK1, PK2, PK3, PK4, PK5, PK6, WTS, EXS, GDS, A, L, F, or P	The writing result is invalid, it must be one of GDS, EXS, WTS, PK6, PK5, PK4, PK3, PK2, PK1, EM, A, L, F or P
1017	Error	If <Subject> concatenated with <Component> and <ResultQualifier> equals 'MATMATNC' then <Result> must be EM, PK1, PK2, PK3, PK4, PK5, PK6, or A	The mathematics result is invalid, it must be one of PK6, PK5, PK4, PK3, PK2, PK1, EM, A
1018	Error	If <Subject> concatenated with <Component> and <ResultQualifier> equals 'SCISCINC' then <Result> must be HNM, EXS, A, L, F or P	The science result is invalid, it must be one of EXS, HNM, A, L, F or P

Sequence number	Error/query	Validation check	Error message
1036	Error	Where Test Status* for reading = B then there must be a stage assessment where <Subject> = ENG and <Component> = REA and <ResultQualifier> = NC and <Result> is one of PK6, PK5, PK4, PK3, PK2, PK1, EM or A	Our records indicate that this pupil is working below the standard, and a result is expected, it must be one of PK6, PK5, PK4, PK3, PK2, PK1, EM, A
1037	Error	Where Test Status* for maths = B then there must be a stage assessment where <Subject> = MAT and <Component> = MAT and <ResultQualifier> = NC and <Result> is one of PK6, PK5, PK4, PK3, PK2, PK1, EM or A	Our records indicate that this pupil is working below the standard, and a result is expected, it must be one of PK6, PK5, PK4, PK3, PK2, PK1, EM, A

*Test status is an internal field used to flag the test status of a pupil. In the case of sequence number 1036 and 1037, these errors can only be presented to the user once the data is loaded into the PAG.

5. Resubmission guidance

When resubmissions are required, the serial number 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, subject to the exceptions and restrictions below.

6.1 Local authority codes

LA codes for this collection only cover local authorities in England.

Coverage also excludes the following LA 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

The following combinations of subject, component, assessment method and result type are required (as appropriate).

For KS2 TA:

- KS2-2022-ENG-WRI-TA-NC
- KS2-2022-SCI-SCI-TA-NC

For KS2 pre-key stage and Engagement model:

- KS2-2022-ENG-REA-TA-NC
- KS2-2022-ENG-WRI-TA-NC
- KS2-2022-MAT-MAT-TA-NC



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