School Workforce Census 2013

COLLECT guide for local authorities

August 2013

Contents

COLLECT and Secure Access

Access to COLLECT is now through the Department's Secure Access System (SA), https://sa.education.gov.uk/idp/Authn/UserPassword which was implemented on 10 December 2012.
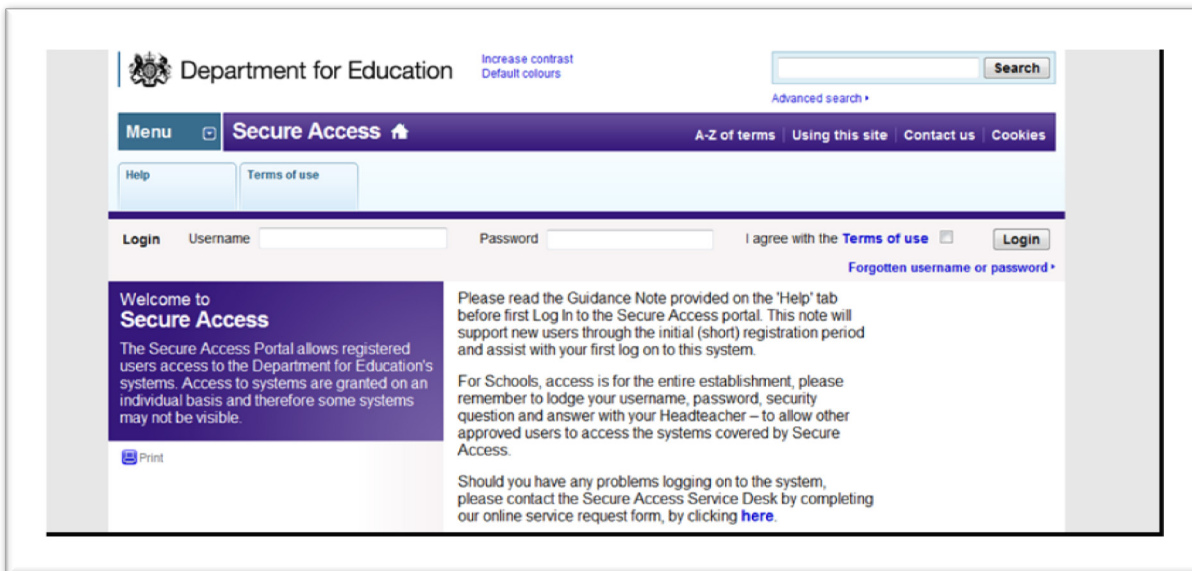
To access Secure Access existing users will need their COLLECT username and password, which should have been retained from the 2012 data collection.

If you are a new user and require access to COLLECT, you will need to complete a data collection access form.

Full Secure Access guidance is published on the Secure Access Website.
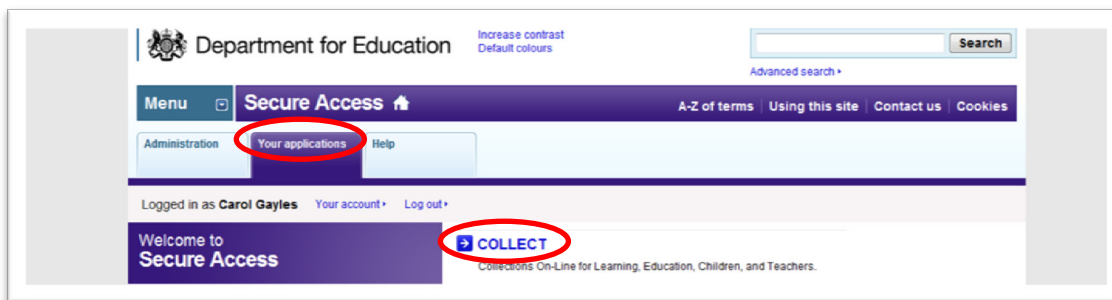
Once successfully registered, open the **'Your applications'** tab to access COLLECT, as above.

COLLECT Portal

Collect Welcome

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

SPRING 2013 Data Collections
The Spring School Census, PRU Census, AP Census, Early Years Census, SEN2 and the Independent School Level Census went live on the 17th January

PROCEED INTO COLLECT
Continue...

Code of Conduct
Show Code of Conduct Text...

Then click on to **'Continue'** to enter Collect as above.

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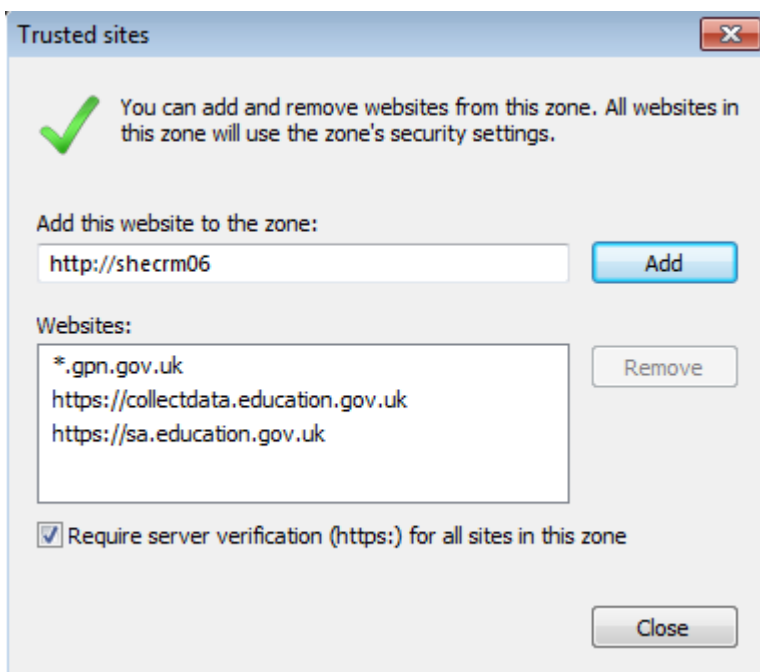
Please follow the steps below to add the web addresses to your trusted sites

Go into the **'Tools'** menu option at the top of the screen.

Select **'Internet Options'** from the drop down menu. Select '**Security'** from the option buttons, Selected '**Trusted Sites**', Select '**Sites**', Then select '**Add**' and type the following into the text box:

https://collectdata.education.gov.uk

Then select ok and ok. Please check that the secure access site is also in the trusted sites The addresses should appear in the large box.

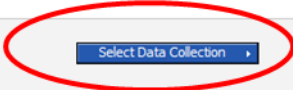**Trusted sites**

You can add and remove websites from this zone. All websites in this zone will use the zone's security settings.

Add this website to the zone:

http://shecrm06   [Add]

Websites:

*.gpn.gov.uk
https://collectdata.education.gov.uk
https://sa.education.gov.uk   [Remove]

☑ Require server verification (https:) for all sites in this zone

[Close]

LA (Agent Page) Screen

The Agent main screen will be displayed

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

The Agent main screen will be displayed

Return Status

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors	Queries	OK Errors
3812036	**Abbey Park Junior, Infant and Nursery School**	**No_Data**					**0**	**0**	**0**
3815201	All Saints' CofE VA Junior and Infant School	No_Data					0	0	0
3812093	Ash Green Community Primary School	No_Data					0	0	0
3812040	Bailiffe Bridge Junior and Infant School	No_Data					0	0	0
3813321	Barkisland CofE VA Primary School	No_Data					0	0	0
3812048	Bowling Green Primary School	No_Data					0	0	0
3816010	Broadwood High School	No_Data					0	0	0
3814022	Calder High School, A Specialist Technology College	No_Data					0	0	0
3816002	Calder Valley Steiner School	No_Data					0	0	0
3811101	Calderdale PRU	No_Data					0	0	0

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

Return Management

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

Upload Return for selected Source...	**Upload Multiple Returns (zip file)...**	**Add Return on screen...**	Agent Administration...
Validate Selected Return...	Validate All Non-validated Returns...		**Run Matching**	**Run Reconciliation**
Launch Reports...	**Queue Management...**	**Change Queue...**	Move to this queue --	Resolve Matching	Resolve Reconciliatio

This provides a set of functions that can be used to manage/progress the returns. Those with bold text and highlighted borders are available.

Uploading a Return

Click on the **Upload return from Selected source** button or to upload a zip file containing several school returns click the upload multiple returns button.

Use the **browse** button to locate the XML file. Highlight the file name and click on **Open** to select the return.
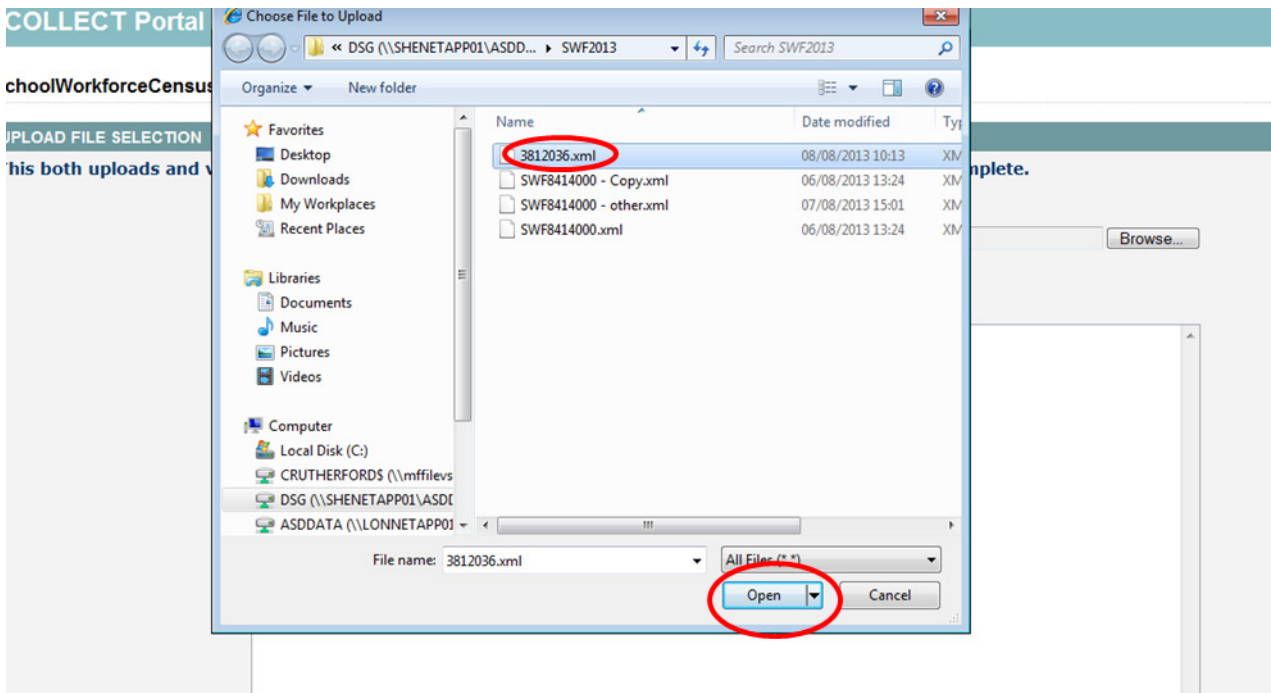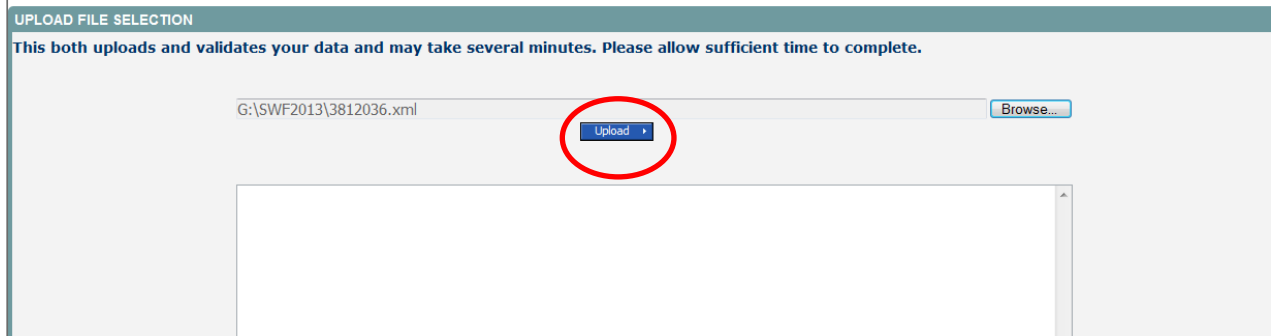
Click on the upload button to load the return

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

Source UpLoad In Progress

FILE UPLOAD PROGRESS ...

Your data return has been successfully loaded and is queued for validation.
Please return later to view any validation errors identified.

OK ▸

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This indicates that the return has successfully loaded and is now placed in the validation queue to be validated. Press the OK button to return to the Agent main page.
During periods of heavy demand, there may be a delay before the return is validated. Whilst the return has a status of "Waiting_for_validation" then the return cannot be viewed or edited. Once the return has been validated, the return status section on the source main page will display "Submitted" and the date. The total number of errors and queries found in the return will also be displayed.

Viewing the Data Return

Opening the Return

Open a return by highlighting the school you wish to open and click on the open return button. The next page will show you the header information for that school

Screen Functionality

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

Screen Navigation

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

To return to the previous page, press the **'Drill Up'** button.

Mode Buttons

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

Dark Grey text on sunken button with light border = Active Mode
Black Text on button and highlighted border = Available Mode
Light Grey text on button with light border = Unavailable Mode

Filter Bars

Only available on screens that could have a large record set e.g. Workforce Member. Allows criteria to be entered to identify a group of related records or a single record. For example if the user type a name in the 'Family Name' box and selects the 'Go' button then only workforce members with that family name will be displayed in the record list. This enables the user to go to specific records rather than having to page through all the records

Filter By:	Teacher Number		Family Name		Gender		Date of Birth		QT Status		Reset	Go

Filter Left Hand Menu

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

Viewing the Return Details

Access the source details by clicking on the **View All** button in the 'View Source Details' row on the original screen displaying the header details for the return.

Now access the workforce member details by clicking on the **View All** button in the 'View School Workforce Members' row

This displays the 'Records List' section, with all members of staff visible

Record List

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

Teacher Number	Name	Gender	Date of Birth	QT Status	Rule Errors
8023415	Regular Teacher,One	Female	1963-06-08	True	0
8035261	**Teacher,Three**	**Male**	**1973-08-12**	**True**	**1**
8023416	Teacher,Two	Female	1980-09-25	True	1
					< >

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

You can sort the record set by given name by clicking on the 'Name' column in the 'Record List' section

You can also filter the record set by typing the surname in the 'Family Name' box in the 'Filter Section' and then click on the **Go** button. The record details for that staff member should be displayed on screen.

					Drill Up	Error
					All Notes	

School Workforce Member - Abbey Park Junior, Infant and Nursery School

Filter By:	Teacher Number	Family Name		Gender		Date of Birth		QT Status		Reset	Go

Teacher Number	Name	Gender	Date of Birth	QT Status	Rule Errors
8023415	Regular Teacher,One	Female	1963-06-08	True	0
8023514	Teacher Regular,Two	Female	1980-09-25	True	0
8032659	Teacher,Three	Male	1985-07-25	True	0
					< >

Data Item	Value	Errors			Notes	History
		Errors	Queries	OK		

WORKFORCE MEMBER

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Editing within the Data Return

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

Click on the 'QTS Route' cell in the 'Value' column: a drop down list of selectable values will be displayed.

Selecting Annual College Exit – Graduate Course from the list. The selected value will be displayed and the details will be saved. If data is entered rather than selected from a list, navigating to another field or hitting the return/enter key will save the data

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

Changed items are identified by an icon displayed in the 'History' column

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

Errors

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

Total Return Errors

The breakdown of errors for a school return is shown in the Return Status section of the school's main screen

Performance summary

Expected	Outstanding	Submitted	Approved	Authorised	Errors		
					E	Q	OK
91	90	1	0	0	0	1	0

Return Level Errors

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

School Workforce Annual Collection

Approve	All Errors	All Notes	Add	View	Edit	Delete	Status

School Workforce Annual Collection - Abbey Park Junior, Infant and Nursery School

RETURN LEVEL ERRORS (Errors and queries associated with this full return, not individual fields.)

			Errors	Queries	OK	Return Level Notes
			0	1	0	✎

Data Item	Value	Errors	Queries	OK	Notes	History
HEADER INFORMATION						
Collection	School Workforce Census	0	0	0	✎	
Year	2013	0	0	0	✎	
Reference Date	2013-11-07	0	0	0	✎	
View Source Details						View All

Return level errors are displayed and are accessible from the 'Header Information' screen

Data Item Level Errors and Queries

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

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From the Workforce Members screen, select the record, then click **View All** in the 'View Absence Details' row. Errors are displayed against the 'First Day' and 'Last Day' data items in the 'Errors' section of the screen.

Click on the red box in the row for 'Last Day'. An error report will be displayed showing all errors and queries associated with that data item

The report shows that 'Last Day of absence' cannot be before the 'First Day of absence'. To see all the data items that are possibly affected by this validation click on the **Details** button next to the error message.

Correcting Errors

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

Viewing Errors and queries

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

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

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

Providing Clarification/ Supplementary Information

In some instances it may be useful to add explanatory information about a data value, in particular when an item has an associated query against it.

There are several levels where you can add Notes, return level, field level, Error level and in All errors against the query. **All Notes should be in the return level section on the front page of the return to avoid being deleted should you need re upload the return**

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

Click add new note and type your note and the error number in the box provided and click create. – Do this for all queries/errors you need to provide extra information for. The pencil Icon will then change to a notepad icon showing that a note has been added.

Note Page

Create New Note

type explanation here

[Create] [Cancel]

Approving your return

If you do not need to run Matching & Reconciliation for a school (meaning – you are only loading one file to COLLECT) and you have added all notes and corrected any errors on your return please remember to click 'Approve' to send the information to the department. This will then show the date of approval in the corresponding box.

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

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors	Queries	OK Errors
3812036	Abbey Park Junior, Infant and Nursery School	Amended_by_agent	08/08/2013				2	2	0
3815201	All Saints' CofE VA Junior and Infant School	No_Data					0	0	0
3812093	Ash Green Community Primary School	No_Data					0	0	0
3812040	Bailiffe Bridge Junior and Infant School	No_Data					0	0	0
3813321	Barkisland CofE VA Primary School	No_Data					0	0	0
3812048	Bowling Green Primary School	No_Data					0	0	0
3816010	Broadwood High School	No_Data					0	0	0
3814022	Calder High School, A Specialist Technology College	No_Data					0	0	0
3816002	Calder Valley Steiner School	No_Data					0	0	0
3811101	Calderdale PRU	No_Data					0	0	0

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

Upload Return for selected Source...	Upload Multiple Returns (zip file)...		Agent Administration...

Validate Selected Return...	Validate All Non-validated Returns...	Run Matching	Run Reconciliation

Launch Reports...	Queue Management...	Change Queue...	Move to this queue --	Resolve Matching	Resolve Reconciliatio

You will be asked to confirm this function, once confirmed you will see the main screen and a date will be entered in the Approved section.

Performance summary

Expected	Outstanding	Submitted	Approved	Authorised	Errors		
					E	Q	OK
91	90	0	1	0	2	2	0

Sources

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors	Queries	OK Errors
3812036	Abbey Park Junior, Infant and Nursery School	Approved	08/08/2013	08/08/2013			2	2	0
3815201	All Saints' CofE VA Junior and Infant School	No_Data					0	0	0
3812093	Ash Green Community Primary School	No_Data					0	0	0
3812040	Bailiffe Bridge Junior and Infant School	No_Data					0	0	0
3813321	Barkisland CofE VA Primary School	No_Data					0	0	0
3812048	Bowling Green Primary School	No_Data					0	0	0
3816010	Broadwood High School	No_Data			Source Status Grid		0	0	0
3814022	Calder High School, A Specialist Technology College	No_Data					0	0	0
3816002	Calder Valley Steiner School	No_Data					0	0	0
3811101	Calderdale PRU	No_Data					0	0	0

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Reports

A number of reports are available on COLLECT, return to the **Agent page** by selecting **Back to My Collect page** at the top of the page and click on the **Launch Reports** button. A drop down menu will be display and a report can be selected from that drop down list.

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

These allow you to;

- Navigate between pages of the report.
- Zoom control for viewing the report at various zoom levels.

- Enter text, to find on the report
- Refreshes the report output
- Produces a hard-copy output of the report
- Save the output created
-

Clicking the drop-down menu, results in the display of a list-box showing various formats in which you can export the report. Select one of the formats, click the **Export** button and you will then be prompted to 'Open' or 'Save' the output file. Click on the 'Save'
button to save the report file

Exporting a return

A return can be exported in xml or csv format by using the **Export selected (**Exports the highlighted school) **, Export All (**Exports all returns which have data)

Export Multiple (You are asked to which schools you wish to export maximum 10 per export)

To choose a school highlight it in the left column and click the **>** arrow to move it to the right column

Select Sources to Export

SELECT SOURCES TO EXPORT

Select multiple Sources to Export, maximum allowed : 10

Available Sources

Sort by Name	Sort by Status
All Saints' CofE VA Junior and Infant School	Submitted
Barkisland CofE VA Primary School	Submitted

Selected Sources

Abbey Park Junior, Infant and Nursery Sch
Broadwood High School

> | < | <<

Export Selected Sources | Cancel

Once you have selected your school click on the Export Selected schools

The following screen will be displayed.

SchoolWorkforceCensus2013 Export

CHOOSE EXPORT FORMAT

Export the current data for your selected Sources

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

Export as XML ⦿
Export as CSV ⦾

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

All ☑

Or one or more of the following

Loaded and validated ☐
Amended by source ☐
Submitted ☐
Amended by agent ☐
Approved ☐
Amended by collector ☐
Authorised ☐

Export ▶

If not already selected, select the **Export as xml option** and then click on the **Export** button. A progress message will be displayed.

Important Note: If the export process fails, with a message stating that Internet Explorer has blocked download of a file, you might succeed if you try again. On the second attempt, hold down the Ctrl key down continuously from before you click on **Export** until after you see the

resulting files displayed in Windows Explorer. If this is still not successful, you will have to adjust the security settings on your internet browser.

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

The security settings on your pc may prevent the '**File Download'** appearing If this is the case then go into the **'Tools'** menu option at the top of the screen.

Select **'Internet Options'** from the drop down menu.

Select '**Security'** from the option buttons
Selected '**Trusted Sites**'
Select '**Sites**'
The select '**Add**' and type the following into the text box:
https://collectdata.education.gov.uk
Then select ok and ok.

Alternatively you could try changing you security settings by

Going into the **Tools** menu option at the top of the screen, Select **Internet Options,** Select **Security,** Click on the **custom level** button, then make sure that **automatic prompting for file downloads** is set to **enabled** (it's a third of the way down the list)

Then trying producing the export again and this time the Open/Save/Cancel dialogue box should appear

INFORMATION					
Export Finished.					

EXPORT RESULTS					
Results of export					
Folder	Organi			Native Id	Result
Agent=381/EstabNo=3816010	Broadw			3816010	Data Collected
Agent=381/EstabNo=3812036	Abbey			3812036	Data Collected

File Download

Do you want to open or save this file?

Name: Current-Blade-Export.zip
Type: WinZip File
From: collectdatauat.education.gov.uk

Open   Save   Cancel

While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?

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Click on the **Open** button to bring up the file details in Windows Explorer
Double click on the folder **'EstabNo='** to open it; it contains the exported XML file, which you can double click to display the data.
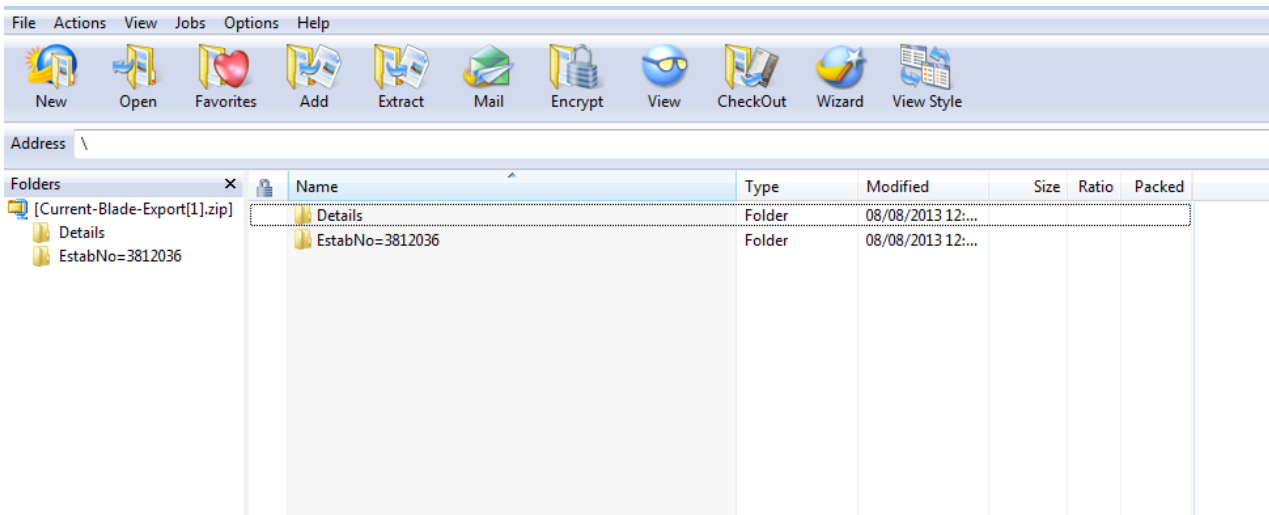
Exports can also be provided in CSV format. Select 'Export as CSV' and when the **Save** and **Open** options appear click on the **Open** button
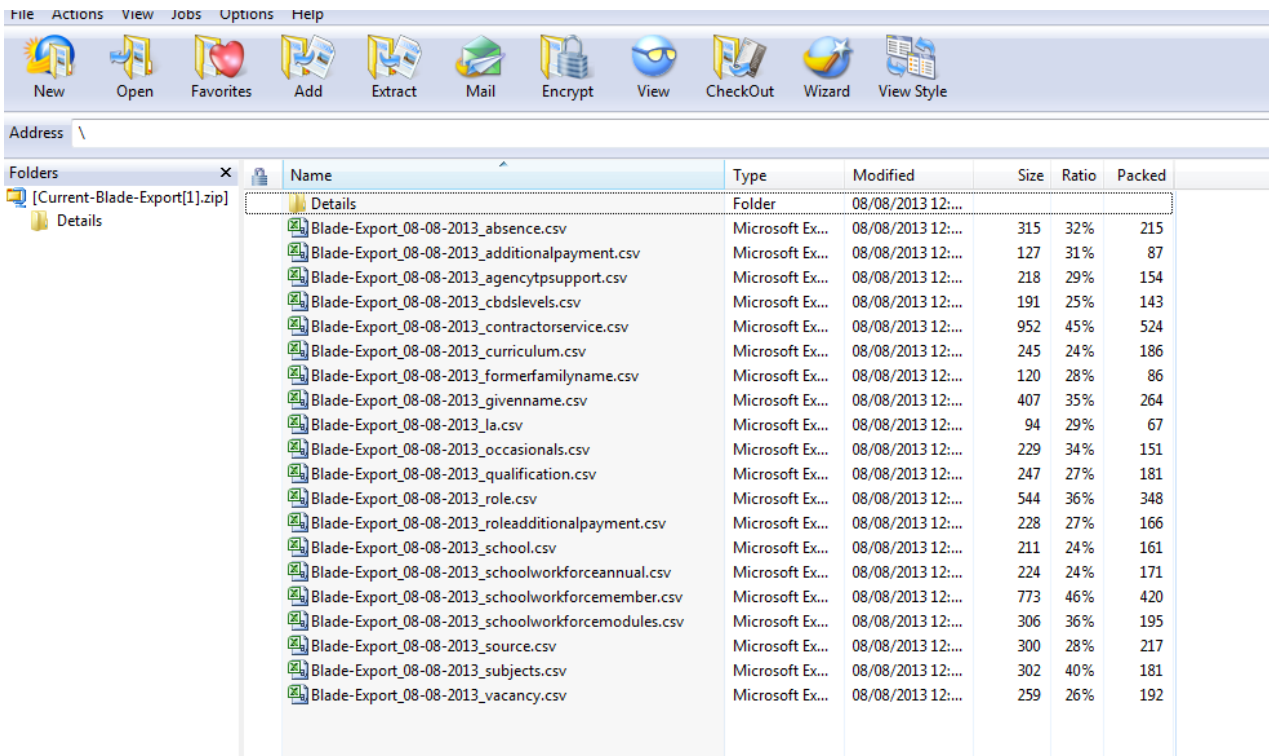
Matching and Reconciliation

IMPORTANT INFORMATION: You only need to complete matching and reconciliation if you have uploaded data from two separate sources e.g. staff information from the MIS and pay details from your HR system.

There are four stages to this process:

> Run Matching
> Resolve Matching
> Run Reconciliation
> Resolve Reconciliation

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

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

1. After completing Matching and Reconciliation the return should be 're-validated'. Do this by highlighting the return and selecting the 'Validate Selected Return' button from the main agent screen. This will remove all the errors associated with the original partial returns and re-validate the data in the 'Master Collect' return.

2. Issues with data – Some returns had multiple records with very similar or the same data in them. For example curriculum records with the same Year Group and Subject and multiple contract records which had the same role and post and overlapping start and end periods. The M & R process does not handle these as they would seem to be duplication in the original data from the MIS system. If the LA experience this then they should investigate why these are occurring in the XML file before trying to complete the M & R process. Reason being that they might need to produce new XSLT files from their MIS to eliminate these duplicates and then run M & R against the new files. This was typically occurring on Contract, Curriculum and Absence records

3. Data edited or added or deleted records during the M & R process. Once the process of M & R has been started or is part way through i.e. return has been matched but not yet reconciled then the data in the original returns and the master collect returns should not be edited or records added or deleted as these will corrupt the M & R process. If it is necessary to add, edit or delete data then the user should go back amend the original return data and then re-run M & R on the amended return.

4. Some LAs found it difficult to see which schools were at which stage of the M & R process, particular now that M & R has been decoupled and returns were in queues for the Matching or Reconciliation processing. To help LAs with this a number of new reports have been provided in. These are only relevant for LAs using M & R and we would not recommend that these are run by LAs who do not use M & R. Please see details on M & R reports at the end of this section.

5. Matching functionality will only be available on schools or a central return with more than one return associated with it.

6. Reconciliation' functionality will only be available when more than one return for that school has been uploaded and matching has been successfully completed on that return.

7. Please note when matching, if one return has blanks, or NOBT in a field e.g. QTS Route, Ethnic Code, Disability and the other return has these fields populated then the 'Master Collect' return will be populated with the valid values rather than the nulls or 'NOBT' values.

8. After M & R has been successfully completed there should only be one visible source in COLLECT for that school. This should be 'Collect Master' source. If there is still more than one source then M & R has not yet been fully completed.

9. **WARNING:** If a return has already been reconciled, re-running the matching again will undo any reconciliation action previously taken.

10. There are a number of business rules which are used to determine when two records should be **matched**. Please see Annex A for these rules.

11. There are a number of business rules which are used to determine when two records should be **reconciled**. Please see Annex B for these rules.

12. Whenever contract data is supplied then the post and allowance data should also be supplied alongside the contract data in the same return. If some contract information comes in on one return and post and allowance information comes in on another return then this can result in two contract records being generated even after matching and reconciliation.

13. If data is edited either by the source or the agent after matching but before reconciliation then it is recommended that matching is rerun as new matches may be required. If this is not done then sometimes after running reconciliation the will return will have a status of 'Reconcilation_Failed'. If this happens then re-run matching again, resolve any outstanding matches and then re-run reconciliation.

Matching

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

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

To run matching, go into the Agent page and select the 'Run Matching' button

Performance summary

	Expected	Outstanding	Submitted	Approved	Authorised	Errors		
						E	Q	OK
	91	87	4	0	0	3	5	0

Sources

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors Errors	Queries	OK Errors
3812036	**Abbey Park Junior, Infant and Nursery School**	**Submitted**	**08/08/2013**				3	2	0
3815201	All Saints' CofE VA Junior and Infant School	Submitted	08/08/2013			0	1	0	
3812093	Ash Green Community Primary School	No_Data				0	0	0	
3812040	Bailiffe Bridge Junior and Infant School	No_Data				0	0	0	
3813321	Barkisland CofE VA Primary School	Submitted	08/08/2013			0	1	0	
3812048	Bowling Green Primary School	No_Data				0	0	0	
3816010	Broadwood High School	Submitted	08/08/2013			0	1	0	
3814022	Calder High School, A Specialist Technology College	No_Data				0	0	0	
3816002	Calder Valley Steiner School	No_Data				0	0	0	
3811101	Calderdale PRU	No_Data				0	0	0	

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A pick list of schools with multiple returns will be displayed. Highlight the school or schools that you want to run matching against and selected the 'Add' button. This will move all the schools highlighted across to the right hand box. Then select the 'Run Matching' button

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

Status of Return During Matching Process

Return with a status of 'Awaiting_Matching' then the return has been marked ready for matching but is still in a queue waiting for the matching process to start.

Return with a status of 'Matching_in_Progress'. This is when the matching is actually being completed on that return. While the return has this status then a user cannot view or edit that return.

Return with a status of ' Matching_Failed'. This is when the matching process has failed to complete. In these cases then matching will need to be rerun.

Return with a status of 'Amended_By_Agent' then the matching has been completed and is now ready for the user to check whether a records need to be manually matched.

Rules for Matching

Please refer to Annex A for more detail on the rules used for producing the matches. Matching will be performed at Staff Details level i.e. identifying whether the individual staff members are the same individual or could be the same individual. There are two levels of matching, automatic and manual.

Automatic Matches - no manual intervention is required, the record will be marked as a match and resolved
Potential Matches – will need to be manually matched
No Matched identified
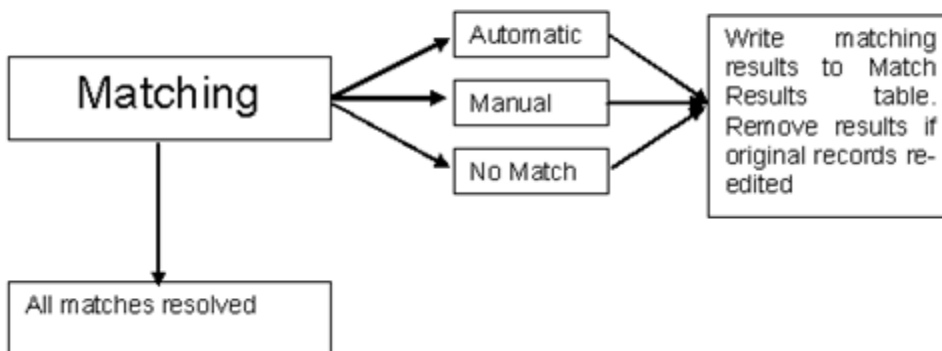
Resolve Matching

Once the Matching has been run and the Amended_By_Agent' is shown as the status you will need to resolve any records not Automatically matched. Click on the resolve Matching button to run this

								E	Q	OK
91		87		4		0		0	3	5	0

Sources

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors Errors	Queries	OK Errors
3812036	**Abbey Park Junior, Infant and Nursery School**	**Submitted**	**08/08/2013**				3	2	0
3815201	All Saints' CofE VA Junior and Infant School	Submitted	08/08/2013				0	1	0
3812093	Ash Green Community Primary School	No_Data					0	0	0
3812040	Bailiffe Bridge Junior and Infant School	No_Data					0	0	0
3813321	Barkisland CofE VA Primary School	Submitted	08/08/2013				0	1	0
3812048	Bowling Green Primary School	No_Data					0	0	0
3816010	Broadwood High School	Submitted	08/08/2013				0	1	0
3814022	Calder High School, A Specialist Technology College	No_Data					0	0	0
3816002	Calder Valley Steiner School	No_Data					0	0	0
3811101	Calderdale PRU	No_Data					0	0	0

Page 1 of 10   Source Status Grid   2 3 4 5 6 7 8 9 10

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

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

Automatic Matches

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

Manual Matching

Select match type: Automatic Matches ▼

Automatic Matches   No of Automati
                                                                                      Matches:

AUTOMATICALLY MATCHED DATA ITEMS

First record in set	No of records in set
999888: Brown, Baby - 10/01/1960	2
7932786: Brown, James - 09/11/1957	2
Page 1 of 1	

MATCHES FOR THIS DATA ITEM

Result	Teacher Number	Family Name	Given Name (s)	Former Family Name(s)	Date of Birth	Gender	NI Number	LA No	Estab No	Software Code	Source Level
Match - 1 ▼	999888	Brown	Baby		10/01/1960	Male	AD99999D	007	0001	CSV B	School
Match - 1 ▼	999888	Brown	Baby John		10/01/1960	Not Known	AC99999D	007	0001	csv A	School

Flip All Match Results   Update Matches

The user does not have to take any action on these matches unless they do
not want them to be a match. If user decides that these are in fact not a match then they can change the result from 'Match – 1' to 'No match' by either using the 'Flip all match results' button or change each line by selecting from the 'Result' column, then select the 'Update Matches'. This will result in two workforce members going through to reconciliation rather than one.

MATCHES FOR THIS DATA ITEM											
Result	Teacher Number	Family Name	Given Name (s)	Former Family Name(s)	Date of Birth	Gender	NI Number	LA No	Estab No	Software Code	Source Level
No match	999888	Brown	Baby		10/01/1960	Male	AD99999D	007	0001	CSV B	School
No match	999888	Brown	Baby John		10/01/1960	Not Known	AC99999D	007	0001	csv A	School

Flip All Match Results	Update Matches

MATCHES FOR THIS DATA ITEM											
Result	Teacher Number	Family Name	Given Name (s)	Former Family Name(s)	Date of Birth	Gender	NI Number	LA No	Estab No	Software Code	Source Level
No match	999888	Brown	Baby		10/01/1960	Male	AD99999D	007	0001	CSV B	School
No match	999888	Brown	Baby John		10/01/1960	Not Known	AC99999D	007	0001	csv A	School

Flip All Match Results	Update Matches

Manual Matches

If there are records which match on a few of the key ID fields e.g. Teacher Number, family name, DOB, NI Number but not enough of them then they will be identified in the 'Manual Matches – unresolved' as COLLECT does not know whether to treat them as one person or not so the user has to resolve these, please see example below.

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

Reconcilliation

The aim of reconciliation is to allow the system to decide how to process more than one set of data for a school e.g. should the records be merged and which records should be merged and which kept separate. Data reconciliation will be performed automatically using a set of predefined business rules (please see Annex B): however there is also a requirement for manual reconciliation where data differences across records cannot be resolved automatically.

Unlike Matching which is just done at 'Workforce member' level reconciliation is carried out at record level for example all the 'curriculum' records for an individual will be reconciled, 'absences' records for an individual will be reconciled.

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

If return has a status of 'Matching_Failed' then again Matching will have to be rerun before reconciliation can be run.

							Errors		
						E	Q	OK	
91	87	4	0	0	3	5	0		

Sources

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors	Queries	OK Errors
3812036	**Abbey Park Junior, Infant and Nursery School**	**Submitted**	**08/08/2013**				3	2	0
3815201	All Saints' CofE VA Junior and Infant School	Submitted	08/08/2013				0	1	0
3812093	Ash Green Community Primary School	No_Data					0	0	0
3812040	Bailiffe Bridge Junior and Infant School	No_Data					0	0	0
3813321	Barkisland CofE VA Primary School	Submitted	08/08/2013				0	1	0
3812048	Bowling Green Primary School	No_Data					0	0	0
3816010	Broadwood High School	Submitted	08/08/2013				0	1	0
3814022	Calder High School, A Specialist Technology College	No_Data					0	0	0
3816002	Calder Valley Steiner School	No_Data					0	0	0
3811101	Calderdale PRU	No_Data					0	0	0

Page 1 of 10   Source Status Grid   2 3 4 5 6 7 8 9 10

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

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

Reconciliation (Running)

Once all the manual matches on a return have been resolved then the user can go on and run 'Reconciliation' against that return.
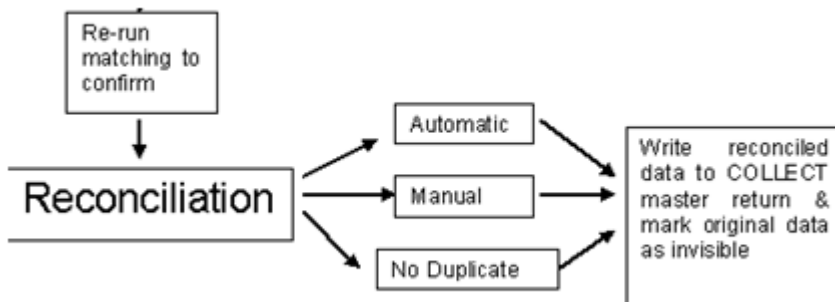
One or a number of schools can be queued for reconciliation by moving them across to the right hand side box and then select the 'Run Reconciliation'.

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

Return with a status of 'Awaiting_Reconciliation' is when the return has been placed in the reconciliation queue but reconciliation has not yet been completed.

Return with a status of 'Reconciliation_in_Progress'. This is when the return has reached the top of the reconciliation queue and is currently being reconciled.

Return with a status of ' Reconciliation_Failed'. This shows that there has been an error during the reconciliation process. This can be caused because the return has been editing between matching being completed and reconciliation being run and unresolved matches have been generated. These need to be resolved before reconciliation should be re-run. Return with a status of 'Amended_By_Agent' then the reconciliation has been completed and is now ready for the user to check whether all records have been automatically reconciled or whether some need to be manually reconciled

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

Resolve Reconciliation

Performance summary

Expected	Outstanding	Submitted	Approved	Authorised	Errors		
					E	Q	OK
91	87	4	0	0	4	5	0

Sources

Source ID	Source Name	Status	SubmittedDate	ApprovedDate	AuthorisedDate	Queue	Errors Errors	Queries	OK Errors
3812036	**Abbey Park Junior, Infant and Nursery School**	**Amended_by_agent**	**08/08/2013**				4	2	0
3815201	All Saints' CofE VA Junior and Infant School	Submitted	08/08/2013				0	1	0
3812093	Ash Green Community Primary School	No_Data					0	0	0
3812040	Bailiffe Bridge Junior and Infant School	No_Data					0	0	0
3813321	Barkisland CofE VA Primary School	Submitted	08/08/2013				0	1	0
3812048	Bowling Green Primary School	No_Data					0	0	0
3816010	Broadwood High School	Submitted	08/08/2013				0	1	0
3814022	Calder High School, A Specialist Technology College	No_Data					0	0	0
3816002	Calder Valley Steiner School	No_Data					0	0	0
3811101	Calderdale PRU	No_Data					0	0	0
Page 1 of 10							2 3 4 5 6 7 8 9 1		

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

Once the reconciliation has been run and the Amended_By_Agent' is shown as the status you will need to resolve any records not Automatically reconcilied. Click on the run reconciliation button to run this.

Reconciliation Business Rules

To be able to combine multiple records into one record, the SWF Collect system uses defined business rules (please refer to Annex B) to determine when these can be reconciled automatically and when they have to reconciled manually.

When the return status returns to Amended_By_Agent then the users needs to go in and check the results of the reconciliation. To go in and check the result of the reconciliation select the ' Resolve Reconciliation' button. The following screen will appear and you have the choice of checking the 'Reconciled Records' or the 'Unreconciled Records'.

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

Unreconciled Records – These are records than cannot be resolved using the predefined business rules. In these cases the user has to made decisions as to which data should be included in the 'Master' record.

The user should work down the list of record types, reconciling the SchoolWorkforceMembers first, then the 'GivenName' then the ContractorService' and so on.

If we look at this example of a workforce member that needs manual reconciling. The bottom half of the screen show that there are two workforcemember records ,which have some of the same information and some different. The different fields are PersonFamilyName and TeacherNumber. By selecting from the drop down options for these fields the user can select

the values that will be included in the 'Master Collect' record, then select the 'Update Master' button to save those selections

In the next example, this is where there are two 'Given name' entries for the workforcemember 'Brown'. The middle part of the screen provides details of the workforcemember, the bottom part of the screen show the two 'Given name' records. The user can either save both entries to 'Master Collect' by first selecting the 'Copy to COLLECT Master' button to save one entry then select the 'Update Master' to save the second entry. The result of this is that Brown will have two 'Given name' records in the 'Master Collect' return

If the users only want to have one 'Given Name' entry included in the 'Master Collect' return then select the entry from the 'PersonGivenName' drop down list and the select 'Update Master' button.

In this final example there are two 'Additional Payment' records for Smith with exactly the same data in them from the same return. In this case there are no different values to pick from but the user must decide whether they should be treated as two separate 'Additional Payments' for Smith in which case they must use the 'copy to COLLECT master' and 'Update Master' buttons to take them both into 'Master Collect' return. If they are genuine duplicates and only one 'Additional Payment' is required then just select the 'Update Master' and only one of the 'Additional Payment' will be copied across to the 'Master Collect' return

Rolling back a manual reconciliation

If the user has incorrectly reconciled a record then they can undo the last reconciliation. To do this select 'Reconciled Records' from the drop down list on the 'Manual Reconciliation' screen.

Select the appropriate record type from the 'Select record type' drop down list and highlight the select the relevant record from the list of records which have been reconciled then select the 'Undo Reconciliation' button. The user can then work back unreconciling more records if required.

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

Once you are happy with your data please Remember to Approve the data from your front screen.

M & R Specific Reports

These are all new reports for this year which have been introduced which should help LAs to monitor returns through the M & R process. These reports will be run against the previous day's data rather than the current day's data.

1. M & R **Matching Required** but Not Yet Started report :- This enabled an LA to list all the schools where M & R is required i.e. they have more than on return but no matching action has been initiated yet.

2. M & R **Reconcilation Required** but Not Yet Started report :- This enabled an LA to list all the schools where matching has been completed but reconciliation has not yet been initiated.

3. M & R **Matching Started** but Not Yet Completed report :- This enabled an LA to list all the schools where matching has been started but not completed.

4. M & R **Reconciliation Started** but Not Yet Completed report :- This enabled an LA to list all the schools where reconciliation has been started but not completed i.e. there are still records which need manually reconciling.

5. M & R **Remaining Visible Source Records after completing M & R report** :- This enabled an LA to list all the schools where reconciliation has been completed but some original source records are still invisible. If the M & R process has been completed successfully then there should be no original sources records left so these need individual investigation by the LA. Reasons why this could be occurring are provided earlier on in this guide at the top of the M & R section.

6. M & R **Number of Returns By M & R Status report**:- This provides an LA with a breakdown of their returns in relation to the Matching and Reconcilation process. The report provides figures for the following:-

- Total No Data = Number of schools where return status = 'No Data'
- Total not requiring M & R = Number of schools with only one return associated with it so no M & R is required
- Total Matching not yet started = Number of schools with
- more than one return and matching has not been started
- Total Matching started but not complete = Number of schools with more than one return where Matching has been run but has not yet been completed
- Total Matching completed but Reconcilation not yet started = Number of schools with more than one return where matching has been completed but reconciliation has not been run (started)
- Total Reconciliation started but not complete = Number of schools with more than one return where Reconciliation has been run but has not yet been completed
- Total Reconciliation completed, single source = Number of schools where reconciliation has been completed and they now have once single return.
- Total Reconciliation completed, multiple sources = Number of schools where reconciliation has been completed but they still have more than one return associated with them.
- In the case of this last category them please investigated then schools and check M & R Important Information and if none of that explains the reason why there are multiple sources then please contact the helpdesk.

Annex A – Matching Business Rules

Rule No	Description
1.	Matching will be performed at the Staff Details level. Within a data return, data items on the staff details record will be compared against other staff details records within the data return and to matching individual across all the data returns for that source.
2.	Matching will only be carried out on Data Returns with a status of submitted or above in the workflow.
3.	If records are not matched automatically but are identified as potential matches manual matching will be required.
4.	Incorrect automatic matches will be available to be manually marked as not matched and should not subsequently be display unless and amendment is made to the data either

	online or via a resubmission..
5.	If records cannot be reconciled automatically as the data is found to differ in the data sources manual reconciliation will be required.
6.	A data agent is expected to have completed matching and reconciliation prior to Approving a Data Return.

Staff Module

Ref	Rule	Notes
1	If two records within the returns for that source have the same Teacher Number and NI Number	Records Matched Automatically
2	If two records within the returns for that source have the same Teacher Number, Person Family Name and Date Of Birth where the records have differing NI Numbers.	Records Matched Automatically
3	If two records within the returns for that source have the same NI Number, Person Family Name and Date Of Birth where the records have differing Teacher Numbers	Records Matched Automatically
4	If two records within the returns for that source have the same Teacher Number, Person Family Name where the records have differing Date Of Birth and NI Numbers	Possible Match Resolve manually
5	If two records within the returns for that source have the same Teacher Number, Date Of Birth where the records have differing Person Family Name and NI Numbers	Possible Match Resolve manually
6	If two records within the returns for that source have the same NI Number and Person Family Name but records have differing Date Of Birth and Teacher Numbers.	Possible Match Resolve manually
7	If two records within the returns for that source have the same NI Number and Date Of Birth but the records have differing Person Family Name and Teacher Numbers.	Possible Match Resolve manually
8	If two records have the same NI Number but none of the other identifying fields match.	Possible Match Resolve manually
9	If two records have the same Teacher Number but none of the other identifying fields match.	Possible Match

		Resolve manually
10	If two records have the same Surname and DOB but records have differing Teacher Numbers and NI Numbers.	Possible Match Resolve manually
11	If two records have a Surname equal to the Former	Possible Match
12	All other records will not be classified as having a match.	No Match

NOTE: Two or more records would be identified as matches using the above rules. The exception to this is where one record has a Contract Type of Contract – where the Contract Type = 'PRM', 'FXT' or 'TMP' – and another record has a Contract Type of Service Agreement – where the Contract Type = 'SLA', 'SAG''or 'SOT'. In this case the records will not be matched.

Annex B – Reconciliation Business Rules

Contract / Service Agreement Module

Ref	Rule	Notes
1	If two contract records have the same Start Date, Contract Type, Role, Post and Estab Number where one is a school level record (Source Level = 'S') and the other is a LA record (Source Level = 'L') **Note: where one or both post records are provided the record would still be classified as a duplicate**	Potential Duplicate Resolve Manually
2	If two contact records have the same Start Date, Contract Type, Role, Post, Estab Number and record levels are equal (both source level records equal to 'S' or both equal to 'L') **Note: where one or both post records are provided the record would still be classified as a duplicate**	Potential Duplicate Resolve Manually
3	If two contact records have the same End Date, Contract Type, Role, Post and Estab Number and record levels are equal (both source level records equal to 'S' or both equal to 'L') **Note: where one or both post records are provided the record would still be classified as a duplicate**	Potential Duplicate Resolve Manually
4	If two contact records have the same Start Date, Role, Post, Estab and Level and Contract Type is equal to PRM, TEMP or FXT **Note: where one or both post records are provided the record would still be classified as a duplicate**	Potential Duplicate Resolve Manually

| 5 | All other records will not be classified as having a match and therefore no reconciliation action will be required for them. | Automatically include in master record |

Role Module

Ref	Rule	Notes
1	If two Role Records for a contract have the same Role Identifier	Potential Duplicate Resolve Manually
2	All other records will not be classified as having a match and therefore no reconciliation action will be required for them	Automatically include in master record

Role Additional Payments Module

Ref	Rule	Notes
1	If two Additional Payment Records within the same <RoleLevelDetails> group have the same Additional Payment Category and Payment Amount where one is a school level record (Source Level = 'S') and the other is a LA record (Source Level = 'L')	Potential Duplicate Resolve Manually
2	All other records will not be classified as having a match and there no reconciliation action will be required for them	Automatically include in master record

Additional Payments Module

Ref	Rule	Notes
1	If two Additional Payment Records within the same <PostLevelDetails> group have the same Additional Payment Category and Payment Amount where one is a school level record (Source Level = 'S') and the other is a LA record (Source Level = 'L')	Potential Duplicate Resolve Manually
2	All other records will not be classified as having a match and there no reconciliation action will be required for them	Automatically include in master record

Absence Module

Ref	Rule	Notes
1	If two Absence Records have the same First Day of Absence and Absence Category	Potential Duplicate Resolve Manually
2	All other records will not be classified as having a match and therefore no reconciliation action will be required for them	Automatically include in

Curriculum Module

Ref	Rule	Notes
1	If two Curriculum Records have the same Subject Code and NC Year Group	Records Matched Automatically
2	All other records will not be classified as having a match and therefore no reconciliation action will be required for them	Automatically include in master record

Qualification Module

Ref	Rule	Notes
1	If two Qualification Records have the same Qualification Code and Subject Code 1	Records Matched Automatically
2	All other records will not be classified as having a match and therefore no reconciliation action will be required for them	Automatically include in master record

Help

In order to access the collect system for the School Workforce you will need to complete the [Data Collection LA Access form](). You will be given access to both Forecast and Capacity. Please note that we will not be rolling over access from last year's database.

If you have any queries or have a change to your contact details please could you complete [Service Request form]() a Service Request form and select the option School Workforce.

Department for Education

Any enquiries regarding this publication should be sent to the data collections helpdesk.

This document is available for download from the Department's website.

Reference: DFE-00153-2013