



Department
for Education

Key stage 1 return 2015

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

June 2015

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1. Introduction

1.1. 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 (KS1) data collection (Section 1)
- populate their systems with the required data for pupils and schools (Section 2)
- complete the KS1 return for 2015 (Section 3).

It relates only to the collection of data for pupils who were born between 1 September 2007 and 31 August 2008.

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 KS1 assessments to the Department for Education (DfE) by local authorities is **31 July 2015**.

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

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

Local authorities are required to collect and report to the DfE, the results for all pupils at the end of KS1 in their state-funded schools. Results for pupils in independent schools are voluntary.

1.3. Rationale behind the KS1 data collection

The Education Act 2002 places a duty on 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 KS1 data collection provides information at both national and local authority level on achievement outcomes at the end of KS1.

1.4. Statutory basis of the KS1 collection

The individual level data collection from state-funded schools and academies is a statutory requirement of schools and 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 KS1 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 – [see 1.5 below](#);
- schools and local authorities are protected from any legal challenge that they are breaching a duty of confidence; and
- it helps to ensure that returns are completed by schools.

1.5. Data protection & security

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

1.6. Data quality

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

[Supporting information](#) on KS1 assessment is provided on the gov.uk website.

Local authorities can download a copy of the [KS1 Assessment and Reporting Arrangements](#) handbook from this website and also find guidance for carrying out assessments and moderation.

2. Data required

Local Authority number

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

Academic Year: This year will be 2015.

Pupil Data

Pupil's Surname

Pupil's Forename

Pupil's Gender

Pupil's Date of Birth

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

KS1 Teacher Assessments

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

- a teacher assessment level in reading, writing, and speaking and listening;
- a separate teacher assessment level for each science attainment target; and
- an overall teacher assessment level in mathematics and science.

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

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

Schools are not required to report task and test results to their 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 should not report task and test results to the department.

The following teacher assessment codes should be used

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

P scales

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

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

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

There may be exceptional circumstances where a pupil is judged to be at P1i–P3ii in English and/or mathematics but at P4–P8 in a particular element of the subject. The school management information system will allow these levels to be recorded and will transfer all levels as entered.

If a pupil is working below level but does not have SEN, (eg because they have English as an additional language) they should be recorded as NOTSEN. NOTSEN is not a P

scale, but a code to explain why a pupil working towards level 1 does not have P scales reported.

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

3. Collection guide

This guide is provided to outline the main requirements and submission arrangements for the KS1 data collection 2015. The department will make the live 2015 KS1 COLLECT system available on **Monday 15 June 2015**.

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 KS1 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 (see 3.1 below).

3.1. Local authority data reporting format

Please note that 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 [KS1 technical specification](#).

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

3.2. Data collection timetable

As in previous years, the department is committed to providing national and local authority level analysis of performance as quickly as possible. We therefore ask that local authorities make their KS1 submissions by **Friday 31 July 2015**.

It is of utmost importance that the data we hold by the beginning of August 2015 are as complete and accurate as possible as the data received by this date will be used to inform our main headline statistical release and RAISE online. Your co-operation in helping to achieve a complete and accurate dataset in time will be to our mutual benefit.

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 RAISE online.

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

3.3. Expected lists 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 will be able to view the expected list on COLLECT when the collection goes live on **15 June**. We would appreciate if local authorities check the lists for any schools that are missing or need to be added and advise the helpdesk using the [Service Request Form](#). If the COLLECT system is not updated with the correct schools local authorities will be unable to load the data returns for these schools. We ask that you supply the Helpdesk with any amendments to your expected list as soon as possible.

3.4. School recording and reporting options

The department has provided software specifications to commercial suppliers of local authority database processing systems, and to those local authorities that have indicated they 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 KS1 results by using appropriate software that will enable them to create the necessary file.

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

3.4.1. School management information system (MIS)

The school MIS will allow entry of KS1 results.

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

- 1) Entry by schools of individual pupils' KS1 results (including P scale results if applicable) into their MIS.
- 2) Creation of a CTF for submission to the local authority by secure means.
- 3) Loading of results (in all formats) into the local authority central database/processing system.
- 4) Creation of school XML export files by local authority software for loading into KS1 COLLECT.

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

3.4.2. DfE spreadsheet

Schools that are unable to use their MIS for the recording and submission of 2015 KS1 results, an Excel based spreadsheet for each collection is available to enable the provision of the results in the correct format. This is available on request from the department and can be obtained by contacting the Helpdesk using the [service request form](#).

The 2014 version of the spreadsheet must not be used and should be discarded.

The spreadsheet “Export” option creates a CSV file containing the relevant pupil contextual data and the KS1 teacher assessment (TA) and P Scale levels that have been entered for loading into the 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.

3.5. 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 or phonics 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](#).

3.6. General issues

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

We have every confidence the 2015 KS1 data collection exercise will be successful. We know you will do all you can to ensure its success, as you always do with each year’s KS1 collection. So, very many thanks for your anticipated co-operation. Your efforts will be really appreciated.

Appendices

Appendix 1: local authority codes

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

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

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

Appendix 2: glossary

RAISEonline	RAISEonline provides interactive analysis of school and pupil performance data to schools.
COLLECT	COLLECT is a web based data collection tool. It has been developed and made available by the DfE and facilitates the data collection process. It enables the transfer of data between 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 (CTF) is a file that contains statutory information about a child that should be transferred when they move schools and includes UPN, surname, forename, date of birth, gender together with other information for example, assessments, attendance, SEN and contacts. A complete list of fields can be found in the CTF guide 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 EX 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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