



Department
for Education

Alternative provision census 2015

**Business and technical specification -
Version 1.1**

September 2014

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Version history

| | | |
|-----|--|-------------------------------|
| 1.0 | <p>All dates within the document updated to reflect 2015 collection period</p> <p>1.2 – Scope of alternative provision census - clarification that should a pupil be reported on ANY other census, should not be included in the AP census.</p> <p>1.4.1 – Adopted from care - added.</p> <p>3.2.1 – Pupil/child identifier module - clarification of ULN handling</p> <p>3.2.2 (b) – Pupil/child characteristics module - FSM rules amended.</p> <p>3.2.2 (d) – Pupil/child characteristics module - adopted from care full details added with amended codeset to the requirements of RFC712</p> <p>3.2.4 – Pupil/child SEN module - new SEN rules added (RFC 706 also incorporated).</p> <p>3.2.5 – Home information module - additional detail included</p> <p>4.6 – Pupil/child XML structure - <AdoptedFromCare> (100512) added to XML structure under Pupil Characteristics</p> <p>4.10 – CSV pupil record structure (single pupil structure) – adopted from care added</p> <p>4.11 – CSV pupil record structure (two pupil structure) – adopted from care added</p> | Phil Dent 12 June 2014 |
| 1.1 | 3.2.2 (d) Note deleted. Wording added re template letter. | Phil Dent 2 September 2014 |

This specification must be read in conjunction with the Excel workbook giving the current version of the revised [Common Basic Data Set \(CBDS\) database](#)

Assumptions made in creating this specification

| | |
|----|---|
| A1 | The census will use COLLECT as the data collection mechanism. |
| A2 | Education Data Division will only accept submissions in XML format. A CSV to XML converter will be provided on request to convert fixed format CSV data into the required XML format. |

1. Introduction

1.1 Purpose, scope and audience

This specification describes the 2015 census of pupils in alternative provision (AP) which will enable local authorities (LAs), and those such as software suppliers working on their behalf, to prepare the necessary data and processes for compliance.

The specification covers the expected census return to department and the validation rules which will be applied to the data submitted.

The following diagram outlines the overall scope of the collection:

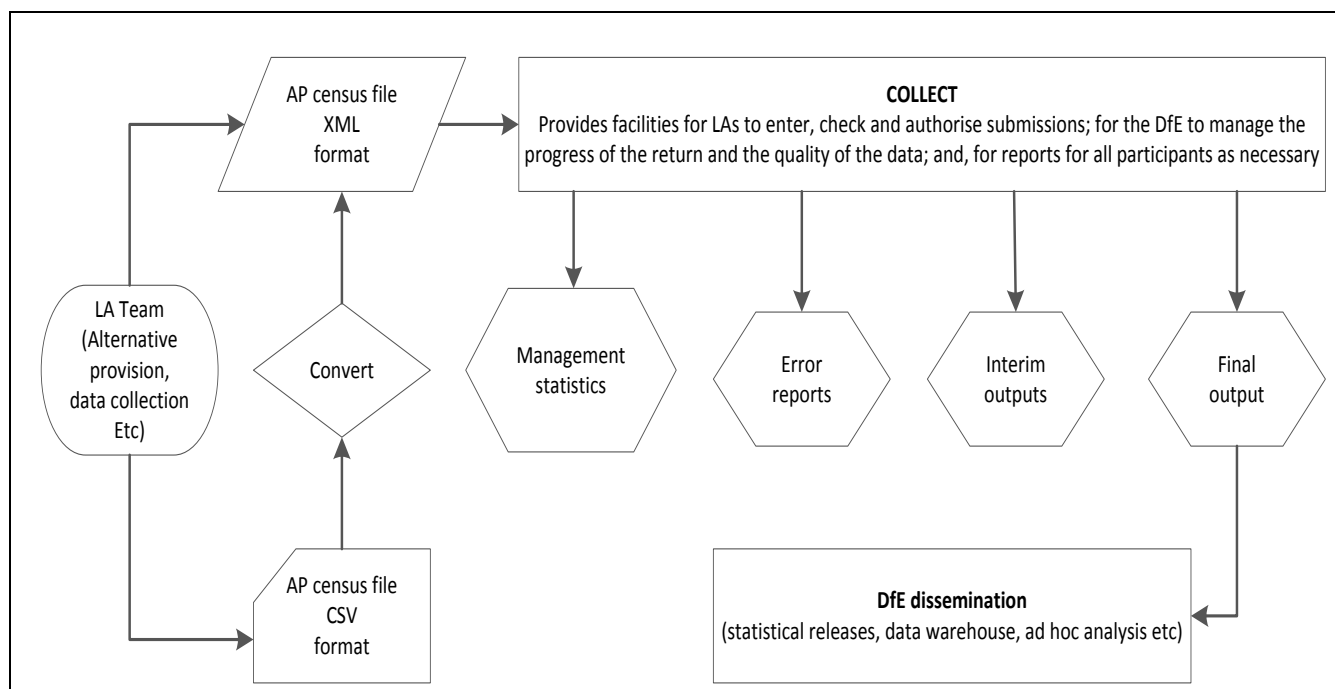


Figure 1 - High level data collection process

This requirements specification consists of:

- This Word document containing a narrative, sample XML and CSV messages
- The validations Excel workbook
- The [CBDS](#) Excel workbook
- The XML schemas will be supplied separately and will also be published on the department's [website](#) when available.

1.2 Scope of alternative provision census

The census of pupils in alternative provision is a local authority (LA) census that requires the return of individual pupil records. The census covers pupils attending a school not maintained by an LA for whom the authority is paying full tuition fees, or educated otherwise than in schools and pupil referral units, under arrangements made (and funded) by the authority.

Pupils should not be included in the AP census if they are included in one of the following census:

- The school census for maintained nursery, primary, secondary, all-through schools (including academies and free schools) and maintained, non-maintained and hospital special schools, and PRUs (including AP academies and AP free schools) in England.
- The annual school census for maintained general hospital schools
- The early years census

Pupils at non-maintained special schools may, however, also be in the scope of the AP census if they are LA funded (see paragraph 3.1 below for details).

The AP census is collected annually. The census date is the third Thursday in January. Unless otherwise stated, the terms “census date” and “census day” in this document will refer to 15 January 2015.

1.3 Structure of the alternative provision census

The 2015 alternative provision census will consist of pupil/child level data. This comprises one or more modules (a subset of the pupil/child level data).

1.4 Changes from 2014 census

1.4.1 New data items

Adopted from care

This data item (100549) will identify those children on roll on census day who were looked after immediately before adoption or prior to being subject of a residence or special guardianship order. See paragraph 3.2.2 (d) below for further details.

2. Message header

Section 4 describes two formats for the return of the data - XML or CSV. For either format, the data items required within the header are as follows:

| |
|---|
| Survey collection name <Collection> (800001) will be 'APC'; <i>Description: Name of the data collection eg APC</i> |
| Survey term <Term> (800002) will be 'SPR'; <i>Description: SPR denotes that the collection is carried out in the spring term.</i> |
| Survey year <Year> (800003) will be '2015'; <i>Description: The year of the collection.</i> |
| Survey reference date <ReferenceDate> (800004) will be '2015-01-15' <i>Description: The reference date is normally the day of the census or collection and is used as the baseline date from which comparisons with other dates in the return can be made.</i> |
| Source level <SourceLevel> (800005) will be 'L'; <i>Description: Should be set to L for a local authority system</i> |
| LA <LEA> (200001) is the LA number. <i>Description: Standard DfE three digit local authority number.</i> |
| Software code <SoftwareCode> (800006) will be a free format field that can be populated with whatever identifier the software supplier wishes to use. <i>Description: Software supplier reference</i> |
| Release <Release>, (800008) is a code/date (or combination) provided by the software supplier to assist in identification |
| Serial No <SerialNo> (800007) will start at '001' and then be incremented by 1 each time a new file is prepared for submission; <i>Description: An incremented number, generated by a provider's software, enables data collection systems to identify re-submissions.</i> |
| Date / time <DateTime> (800010) is the date and time when the file was prepared or generated in CCYY-MM-DDThh:mm:ss format; <i>Description: Date and time of generation of the return.</i> |
| CBDS level <CBDSLevel> (800011) 'Pupil' should be provided. <i>Description: Shows which of the defined CBDS levels are present within a data return.</i> |

3. Pupil/child level

3.1 Overall description and scope

This section describes the pupil/child level element of the 2015 alternative provision census.

Pupils in scope are classified according to the type of alternative provision, which should be one of the following:

- Independent school
- Hospital
- Non-maintained special school
- Not a school

‘Independent school’ refers to independent schools in England and Wales for whom the LA is paying full or part tuition fees. This will include pupils attending independent schools within an authority and in another area for whom the full cost of tuition is paid for by the LA wholly or in conjunction with social services and/or the health authorities. Do **NOT** include ‘imported pupils’ ie those pupils attending an independent school in a LAs area for which another LA is paying tuition fees.

‘Hospital’ refers to children who are in hospital but which is not a hospital school. For “hospital” and “non-maintained special schools” you should include “exported” pupils, those attending an establishment in another authority’s area for whom your LA is paying tuition fees. “Imported” pupils (those attending an establishment in your area for whom another LA is paying the fees) should be **excluded** from the return.

‘Non-maintained special schools’ comprises those pupils attending such schools in your area or another authority’s area for which your authority is paying full or part tuition fees. This will include those pupils for whom the full cost of tuition is paid for by the authority wholly or in conjunction with social services and/or the health authorities. Pupils attending an establishment in your area for whom another authority is paying the fees should be **excluded** from the return.

‘Not a school’ covers pupils being educated otherwise than at school. This includes the following groups:

- a) Those educated in community homes or units (include pupils in independent residential homes - located either inside or outside your local authority - where education is provided on site and for whom the authority is wholly responsible

for their educational provision) and where the pupil is not registered as attending a maintained school

- b) Pupils taught at home - only include those pupils who are receiving LA funding. Children whose parents have decided to educate them at home are **not** included in the return, unless the local authority is providing significant support to enable the child to attend a college of further education or another alternative provider, or to support their special educational needs
- c) Arrangements made for the education of pupils in travellers' families. This category does **not** include those traveller pupils who are on roll at a school on census day
- d) Pupils of compulsory school age (not registered at a school) who are being educated at further education colleges and for whom the LA are financially responsible
- e) Asylum seekers of compulsory school age attending further education colleges or with voluntary sector providers

3.2 Outline data content

The return will contain five modules for each pupil as in Figure 2 below:

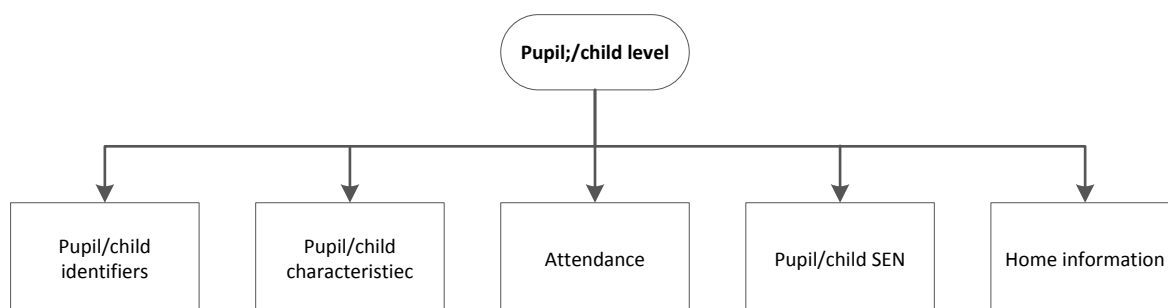


Figure 2 - Pupil/child level modules

Full descriptions of the data items in each of these modules are shown in the [CBDS](#)

The paragraphs below contain guidance.

Section 4.6 contains a sample XML message structure which shows the modular layout.

3.2.1 Pupil/child identifiers module

This module contains the pupil's unique pupil number (UPN), name, date of birth and gender.

If the pupil has a UPN (many pupils in alternative provision have previously been in a mainstream school) then it should be provided. If a pupil has not previously been assigned a UPN then LAs are asked to generate one.

Unique learner number

ULNs are assigned to students over the age of 14 in publicly funded education and training and the ULN became mandatory for use in English schools from January 2014. They are allocated and managed by the [Learning Records Service](#) (LRS) and will remain with the individual for their lifetime. If a student does not already have a ULN assigned to them, local authorities are required to sign the Learning Provider Agreement which will provide LAs with access the LRS system which will enable them to issue and manage ULNs **only** for pupils receiving Alternative Provision and who are not associated with a school having a UKPRN and access of its own to system. These users will need to complete an [Organisation Registration form](#) to nominate a super user for the system

3.2.2 Pupil/child characteristics module

(a) Ethnicity

This module contains the pupil's ethnicity code. The [CBDS](#) code set (D00005) provided for the return contains the DfE main codes and extended codes - these are the same as those specified for the school census. LAs that use extended codes for pupils in schools should also use them for alternative provision. Conversely, those that use only the main codes should also use only the main codes for alternative provision. An ethnicity code is only required if the pupil is aged 5 years and over.

(b) Free school meal eligibility

The provision of additional funding via the pupil premium directs extra funding to those children from deprived backgrounds and is based on their eligibility for free school meals (FSM) at any time in the last six years - known as 'FSM ever'.

Pupils should only be recorded as FSM eligible if they meet the FSM eligibility criteria (ie in respect to family income) and make a claim. Pupils who are **only** in receipt of a free school lunch due to a universal entitlement - such as the infant pupil universal entitlement – should **not** be recorded as FSM eligible and therefore will not be eligible to receive pupil premium.

The actual allocation of the pupil premium for 2015-16 for pupils in alternative provision will be based on pupils aged 4 to 15 as at 31 August 2014 recorded in the 2015 alternative provision census with an AP type of independent, non-maintained special school and hospital and pupils aged 4 and above with an AP type of not in school who were recorded as known to be eligible for free school meals on any school census, PRU Census or AP census since summer 2009.

The department will determine eligibility for the pupil premium by matching the 2015 AP census to previous census collections in the national pupil database (NPD).

The pupil premium only covers periods of FSM eligibility experienced in England. Common transfer files (CTFs) received from schools or LAs outside of England (eg Wales) when children transfer to AP in England may include FSM eligibility whilst the pupil was at a school or setting outside of England. This period of FSM eligibility in a school or AP outside of England does not attract funding via the pupil premium so it is important that the FSM eligibility end date reflects the date the pupil left the school or AP outside of England and that the appropriate country code eg Wales, is associated with the period of FSM eligibility. This will enable the department to exclude any pupils from pupil premium funding who have only experienced FSM eligibility in any country other than England and for LAs to see in their systems that these pupils will not attract funding.

FSM eligibility start date (100484), FSM eligibility end date (100485) and Country of UK (200634) will be collected for pupils within the scope of the collection, who are on roll on census day, and have periods of FSM eligibility since the last census ie those with

- a) An FSM eligibility start date and a blank FSM eligibility end date (ie eligibility on-going on census day 15 January 2015); or
- b) An FSM eligibility end date since the previous census ie on or after 17 January 2014, and on or before the current census day, 15 January 2015.

The data returned should reflect the position as at census day. If a system holds a period of FSM eligibility that matches the criteria for the return but that period has a stored FSM eligibility end date that is after the census day, then the returned version should include an FSM eligibility start date but no FSM eligibility end date. Similarly FSM eligibility start dates returned in the census should be on or before census day, not after it. Stored start or end dates after census day could not have been known on census day and so should not be returned.

Multiple FSM eligibility start and end dates falling within the period should be returned. For example if a pupil had been eligible for FSM from 1 September 2012

until 31 October 2014 and then became eligible again from 1 December 2014 then the following would be returned:

For the first period of eligibility:

FSM eligibility start date of 2012-09-01 and FSM eligibility end date of 2014-10-31; and,

For the second period of eligibility:

FSM eligibility start date of 2014-12-01 and no FSM eligibility end date

Each period of eligibility should have an associated country of UK attached to enable the department to ensure that those pupils who have only experienced periods of FSM eligibility outside of England do not attract the pupil premium.

(c) Service children in education

The 'service children in education indicator' data item indicates if a child has a parent or parents who are classified as category 1 or 2 service personnel in the regular HM Forces military units of all forces (or in the armed forces of another nation and stationed in England) and exercising parental care and responsibility.

Responses will be 'Yes', 'No' and 'Refused' with an additional code of 'Unknown' to be held by the school to indicate no response given or other reason for no information.

Note that such children are not eligible for free school meals and this is reflected in the validation.

(d) Adopted from care

This data item <AdoptedFromCare> (100549) will identify those children on roll on census day who were looked after immediately before adoption or prior to being subject of a residence / child arrangements order or special guardianship order. It will be up to those who have parental responsibility (adoptive parents, special guardians and carers) to decide if they wish LA/provider to know whether such children have been adopted, or are under a special guardianship order or a residence / child arrangements order. The LA/provider will be able to record the information using the following codeset; only one of the values will apply to each pupil:

| D00239 | Adopted from care |
|---------------|--|
| N | Not declared |
| A | Ceased to be looked after through adoption |
| G | Ceased to be looked after through a special guardianship order (SGO) |
| R | Ceased to be looked after through a residence order (RO) |
| C | Ceased to be looked after through a child arrangement order(CAO) |

The default value will be N, not declared.

A [template letter](#) is available for LAs to adapt and send out to their providers to help assist with the identification and allocation of the pupil premium to pupils in alternative provision who have left care under an adoption, special guardianship or residential/ child arrangements order.

3.2.3 Attendance module

This module contains the type of alternative provision that is being provided.

3.2.4 Pupil/child SEN module

Special educational needs (SEN) provision is currently recorded according to the [Special Educational Needs: Code of Practice](#) 2001. A new code of practice will come into effect from September 2014 which will remove the requirement for separate 'school action or early years action' and 'school action plus or early years action plus' categories – these will be replaced by a single 'SEN support' category. The Children and Families Bill will replace 'SEN statements' with 'education, health and care plans'.

The changes to 'SEN provision' (100081) codeset (D00023) for the 2015 AP census are listed below:

- new 'SEN support' code added to the codeset from September 2014

- new code 'education, health and care (EHC) plan' added to the codeset from September 2014

To facilitate this, data item 'SEN provision' (100081) has been superseded by data item 'SEN provision' (100537) with codeset (D00230) replacing codeset (D00023).

During the transitional period (at least for the 2014 to 2015 academic year) schools will be able to record pupils as having either a statement or an EHC plan. Schools may have some pupils with statements and some who have already moved to EHC plans but no individual pupil can have both.

The transition period for the change from the school action/school action plus categories to new single SEN support category will be available to the end of the 2015 summer term. We expect schools to review their current cohort of pupils in the SA/SA+ categories and the support that is provided as they do normally (ie at least termly or as new pupils enter the school) and to record pupils under the 'SEN support' category as described in the new code of practice as part of this regular review. From the 2015 AP census onwards we would expect schools to have reviewed provision for their pupils at SA/SA+ and recorded them under the new system (ie the SA/SA+ codes should no longer be used for new pupils) but the 'SA' or 'SA+' codes will remain active for this transitional academic year.

3.2.5 Home information module

This module gives information about where a pupil lives **during term time**, and will be a **UK address** (In some cases this may be the school address).

Address data should only be provided for current addresses (ie where pupil address type (100102) = C). Multiple current addresses should be provided where available.

Post code (100121) must be provided together with the remainder of the address in either BS7666 Version 1.4 or line address format.

Depending on the nature of the address not all items are necessary - for example an address in line address format might only consist of two out of the five line address items. For addresses in BS7666 format the PAON and street must be present and at least one of: locality; town; administrative area; or, post town.

BS7666 Format items:

- SAON (100103)
- PAON (100109)
- street (100115)
- locality (100116)
- town (100117)

- administrative area (100118)
- post town (100119)

Or, line address format Items:

- address line 1 (100128)
- address line 2 (100129)
- address line 3 (100130)
- address line 4 (100131)
- address line 5 (100132)

The department recognises that schools may not have enough time to convert all their pupils' addresses to BS7666 Version 1.4 format. Address details can be supplied in either BS7666 Version 1.4 format or line address format, with postcode to be supplied regardless of format used.

3.3 Coverage and timing

Pupils should be aged between 3 (as at 31 December) and 18 (at 31 August) ie those pupils born between 01/09/1995 and 31/12/2011. However, pupils aged 2 (as at 31 December 2014) can be included if they are funded by the LA.

4. Data return formats

Please note that example data shown in this section is for illustration purposes only.

4.1 Available formats

The alternative provision census may be submitted to the department in XML format, as described in this section.

The department has provided a data entry spreadsheet which enables the input of file header and individual pupil record information. On completion of entry of the data the file can then be converted to XML format, via the spreadsheet, to allow for uploading to COLLECT. The data entry spreadsheet will be provided on request

The following general points should be noted for the above formats.

4.2 Data items with no values

There are three scenarios when there may be no values for particular data items. These are:

- Standardised header information that is not relevant to this census. The only data item that should be not be present is:
 - establishment
- Values contingent on the content of other data items. These items are:
 - home address details (see para 3.2.5)
 - FSM eligibility information is also not required for pupils with AP type of 'NOT' (not in school)
- Values which are described in this specification as optional, for example. These items are:
 - pupil/child middle names
 - pupil/child preferred surname

In the above scenarios the XML tag is not required to be present in the census return. For all other scenarios, a missing item or value will result in an error being generated.

Within XML, an optional item that is omitted should not show a tag. Within CSV, an optional item that is omitted is shown by a new comma separator.

Instances may arise where all of the data items within an XML container have no value. In such cases, the XML container is not required to be present in the return. For example, if a pupil has no periods of FSM eligibility then as well as the <FSMstartDate>, <FSMendDate> and <UKcountry> not being required, <FSMperiod> and <FSMeligibility> would also not be present.

4.3 Block entry

For suppliers creating software applications a block entry facility for fields is highly desirable in order to save time. This should allow the user to choose a selection of pupils (eg a type of provision) and specify a value to be applied to all. However, it should also allow data to be edited on an individual basis.

4.4 XML format submission

An XML submission will be a single message consisting of:

- A header
- A repeating group containing the data for each pupil

| Overall message structure |
|--|
| <Message> |
| <Header> - see 4.5 below for details |
| <APpupilsChildren> - see 4.6 below for details |
| </Message> |

4.5 XML header

A standard XML message header is required for each census file. The data items should be populated according to the guidance in Section 2. The layout is as follows:

| Header structure | |
|------------------|--|
| | <Header> |
| | <CollectionDetails> |
| 800001 | <Collection>APC</Collection> |
| 800002 | <Term>SPR</Term> |
| 800003 | <Year>2015</Year> |
| 800004 | <ReferenceDate>2015-01-15</ReferenceDate> |
| | </CollectionDetails> |
| | <Source> |
| 800005 | <SourceLevel>L</SourceLevel> |
| 200001 | <LEA>303</LEA> |
| 800006 | <SoftwareCode>Software Supplier Reference</SoftwareCode> |
| 800008 | <Release>1.4 2014-10-11</Release> |
| 800007 | <SerialNo>001</SerialNo> |
| 800010 | <DateTime>2015-01-22T11:14:05</DateTime> |
| | </Source> |
| | <Content> |
| | <CBDSLlevels> |
| 800011 | <CBDSLevel>Pupil</CBDSLevel> |
| | </CBDSLlevels> |
| | </Content> |
| | </Header> |

(Please note that the <Source><Estab> item, used in some DfE collections, is not used here and is omitted).

4.6 Pupil/child XML message structure

| Pupil / child XML message structure | |
|-------------------------------------|---|
| | <APpupilsChildren> |
| | <PupilChild> |
| | <PupilChildIdentifiers> |
| 100001 | <UPN>K370123456789</UPN> |
| 100016 | <UniqueLearnerNumber>1234567890</UniqueLearnerNumber> |
| 100003 | <Surname>Bishop</Surname> |
| 100004 | <Forename>Jane</Forename> |
| 100006 | <MiddleNames>Julia</MiddleNames> |
| 100011 | <PreferredSurname>Bishop</PreferredSurname> |
| 100292 | <PersonBirthDate>1998-03-24</PersonBirthDate> |
| 100287 | <GenderCurrent>2</GenderCurrent> |
| | </PupilChildIdentifiers> |
| | <PupilChildCharacteristics> |
| 100319 | <Ethnicity>WBRI</Ethnicity> |
| | <FSMeligibility> |
| | <FSMperiod> |
| 100484 | <FSMstartDate>2014-10-09</FSMstartDate> |
| 100485 | <FSMendDate>2014-11-16</FSMendDate> |
| 200634 | <UKcountry>ENG</UKcountry> |
| | </FSMperiod> |
| | </FSMeligibility> |
| 100330 | <ServiceChild>N</ServiceChild> |
| 100549 | <AdoptedFromCare>N</AdoptedFromCare> |
| | </PupilChildCharacteristics> |
| | <Attendance> |
| 100471 | <APTtype>NOT</APTtype> |
| | </Attendance> |
| | <SpecialEducationalNeeds> |
| 100472 | <SENprovision>N</SENprovision> |
| | </SpecialEducationalNeeds> |
| | <HomeInformation> |
| 100121 | <PostCode>NN1 3NN</PostCode> |
| | <BS7666Format> |
| 100103 | <SAON> 2 Flat</SAON> |
| 100109 | <PAON> 123</PAON> |
| 100115 | <Street>Kirk Lane</Street> |
| 100116 | <Locality>Inner Area</Locality> |
| 100117 | <Town>Redborough</Town> |
| 100118 | <AdministrativeArea></AdministrativeArea> |
| 100119 | <PostTown>Marske</PostTown> |
| | </BS7666Format> |

| | |
|--------|--|
| | <LineAddressFormat> |
| 100128 | <AddressLine1>6 High Street</AddressLine1> |
| 100129 | <AddressLine2>North Park</AddressLine2> |
| 100130 | <AddressLine3>Linbury</AddressLine3> |
| 100131 | <AddressLine4>LittleTown</AddressLine4> |
| 100132 | <AddressLine5>Shireborough</AddressLine5> |
| | </LineAddressFormat> |
| | </HomeInformation> |
| | </PupilChild> |
| | </APPupilsChildren> |

4.7 Special notes for XML returns

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

| Character | Entity reference |
|-------------------------------|------------------|
| Ampersand (&) | & |
| Left angle bracket (<) | < |
| Right angle bracket (>) | > |
| Single quote / apostrophe (') | ' |
| Double quotes (") | " |

For special characters such as é use a character reference such as é. This produces a generic XML file which can be viewed as such in a suitable browser. Details of all such characters are found within the XML standard documentation - see for example [Extensible Markup Language \(XML\) 1.0 \(Fifth Edition\)](#) Section 2.2.

The department recommends that the file is given a meaningful name that includes the LA number (the 3 digit serial number). The file extension should be .xml. This will help users in selecting the correct file to upload to COLLECT.

4.8 CSV format submission

As an alternative to XML, LAs may produce a comma separate value format (CSV). Please note that the e-Government interoperability framework encourages the use of XML for data transfer. XML is the department's format of choice and should be preferred for future proofing. For those local authorities who have not developed XML facilities, a CSV file may be produced and converted using the CSV to XML converter which is supplied on request.

A CSV format data file is an ASCII text file consisting of a number of text records. One value, or data item, is separated from the next by a comma. The item can also be enclosed in double quotes - this is optional unless the text value contains a comma in which case it **must be** enclosed in double quotes. An empty text value is recorded as either "" or simply left blank (see examples of this below). The final item in each record does not have a comma after it.

For this census the file must contain a number of different record types. The type of record is identified by the first text value. There should be 1 header record and a minimum of 1 pupil record.

Please note, we have assumed that data supplied by local authorities will never contain double quotes (ie "). If this is not the case for you, can you please contact the department as special handling of such characters are required.

Be careful if using Microsoft Excel as the format of some fields may be changed, such as dates, when converting between Excel and CSV formats.

4.9 CSV header

The first record in any CSV file **must be** a header record. There can only be one header record in a file. A header record has the following structure:

| Field | Description | Used in example |
|----------------|--|-----------------------------|
| RecordType | Identifies the record type, must be "H". | H |
| Collection | Name of the data collection. Fixed value of 'APC'. | APC |
| Term | 'SPR' denotes collection is carried out in the spring term. | SPR |
| Year | The year of the collection. | 2015 |
| Reference date | The reference date is normally the day of the census or collection and is used as the baseline date from which comparisons with other dates in the return can be made. | 2015-01-15 |
| Source level | Should be set to L for a local authority system. | L |
| LEA | Standard DfE three digit local authority number. | 303 |
| Software code | Software code is available for suppliers to provide their own identifier. Description: Software supplier reference. | Software supplier reference |
| Release | A code / date (or combination) provided by the software supplier to assist in identification. | |
| Serial number | An incremented number (starting at '001') generated by a provider's software, enables data collection systems to identify re-submissions. | 001 |
| Date & time | Date and time of generation of the return in CCYY-MM-DDThh:mm:ss format. | 2015-01-23T10:36:42 |
| CBDS level | Fixed value of 'pupil' shows which of the defined | Pupil |

| Field | Description | Used in example |
|-------|---|-----------------|
| | CBDS levels are present within a data return. | |

Example:

H,APC,SPR,2015,2015-01-15 ,L,303,Software supplier reference,,001,2015-01-23T10:36:42,Pupil

If the export facility on a source system does not allow you to add a header record you will have to add it manually. For example, use a text editor such as Windows notepad to open the export file and type in the appropriate header record at the beginning of the file. **Be careful not to accidentally change anything else within the file.**

4.10 CSV pupil record structure (single pupil record)

A Pupil record has the following structure:

| Field | Description | Used in example |
|--|--|-----------------|
| RecordType | Identifies the record type, must be "P". | P |
| UPN (100001) | A unique pupil number (UPN) is allocated to each pupil in maintained schools in England and Wales. It is an identifier for use in the educational context during a child's school career only and subject to data protection restrictions. | P371123456789 |
| ULN (100016) | Unique learner number | 1234567890 |
| Surname (100003) | Full legal surname (derived from family, clan or marital association) of the child. | Bishop |
| Forename (100004) | Full given first name of the child (not common contractions). | Sarah |
| Middle names (100006) | In full, not shortened or familiar versions. If pupil has no middle name(s) then this field must be left blank. | Jane |
| Pupil/child preferred surname (100011) | The surname preferred by the pupil (as written) most commonly used in the establishment (for pupils in alternative provision, the surname most commonly used in the LA). | Bishop |
| Date of birth (100292) | Date of birth. | 1998-03-24 |
| Gender (100287) | Gender of child (as defined in common data elements). | 2 |
| Child ethnicity (100319) | Child ethnicity code. | WBRI |
| Free school meal eligibility start date (100484) | Start date for pupil's free school meal eligibility. | 2014-09-01 |
| Free school meal eligibility end date (100485) | End date for pupil's free school meal eligibility. | 2014-12-01 |
| Country of UK (200634) | Country of United Kingdom in which the establishment is located. | ENG |

| Field | Description | Used in example |
|--|---|------------------------|
| Service children in education indicator (100330) | Indicates if a child has parent(s) who are service personnel serving in regular military units of all forces and exercising parental care and responsibility. | N |
| Adopted from care (100549) | Indicates that a child has been adopted from care | N |
| Type of alternative provision (100471) | The type of provision, for example independent school, hospital, etc. | NOT |
| SEN provision (100472) | Provision types under the SEN code of practice. | A |
| Post code (100121) | The code allocated by the post office to identify a group of postal delivery points. | NN1 3NN |
| Sub-dwelling (100103) | Flat, apartment name or number or other sub-division of a dwelling. | 2 Flat |
| Dwelling (100109) | Dwelling name and/or number. | 136 |
| Street (100115) | Street name or street description that has been allocated to a street by the street naming authority. | High Street |
| Locality (100116) | The locality name refers to a neighbourhood, suburb, district, village, estate, settlement, or parish that may form part of a town, or stand in its own right within the context of an administrative area. Where an industrial estate contains streets it is defined as a locality in its own right. | North Park |
| Town (100117) | The town name refers to a city or town that is not an administrative area, a suburb of an administrative area that does not form part of another town or a London district. | Linbury |
| Administrative area (100118) | The administrative area is a geographic area that may be the highest level local administrative area, which may be a county or a unitary authority, an island or island group or London. | LittleTown |

| Field | Description | Used in example |
|-------------------------|--|-----------------|
| Post Town (100119) | The post office usually assigns these based on sorting office. | Shireborough |
| Address line 1 (100128) | First line of address. | |
| Address line 2 (100129) | Second line of address. | |
| Address line 3 (100130) | Third line of address. | |
| Address line 4 (100131) | Fourth line of address. | |
| Address line 5 (100132) | Fifth line of address. | |

Example (this example uses the BS7666 (v1.4) format and leaves the Line Address items blank):

P,P371123456789,1234567890,Bishop,Sarah,Jane,Bishop,1998-03-24,2,WBRI,2012-09-01,2012-12-01,ENG,N,N,NOT,A,NN1 3NN, 2 Flat,136,High Street,North Park,Linbury, LittleTown, Shireborough,,,,,

4.11 CSV pupil record structure (two pupil records)

Example of a complete return, with two pupils (All addresses are in Line Address format):

| Field | Description | Used in example |
|----------------|--|-----------------|
| RecordType | Identifies the record type, must be "H". | H |
| Collection | Name of the data collection. Fixed value of 'APC'. | APC |
| Term | 'SPR' denotes collection is carried out in the spring term. | SPR |
| Year | The year of the collection. | 2015 |
| Reference date | The reference date is normally the day of the census or collection and is used as the baseline date from which comparisons with other dates in the return can be made. | 2015-01-15 |

| Field | Description | Used in example |
|-------------------|--|-----------------------------|
| Source level | Should be set to L for a local authority system. | L |
| LEA | Standard DfE three digit local authority number. | 303 |
| Software code | Software code is available for suppliers to provide their own identifier. Description: Software supplier reference. | Software supplier reference |
| Release | A code / date (or combination) provided by the software supplier to assist in identification. | |
| Serial number | An incremented number (starting at '001') generated by a provider's software, enables data collection systems to identify re-submissions. | 001 |
| Date & time | Date and time of generation of the return in CCYY-MM-DDThh:mm:ss format. | 2015-01-23T10:36:42 |
| CBDS level | Fixed value of 'pupil' shows which of the defined CBDS levels are present within a data return. | Pupil |
| RecordType | Identifies the record type, must be "P". | P |
| UPN (100001) | A unique pupil number (UPN) is allocated to each pupil in maintained schools in England and Wales. It is an identifier for use in the educational context during a child's school career only and subject to data protection restrictions. | P371123456789 |
| ULN (100016) | Unique learner number | 1234567890 |
| Surname (100003) | Full legal surname (derived from family, clan or marital association) of the child. | Bishop |
| Forename (100004) | Full given first name of the child (not common contractions). | Sarah |

| Field | Description | Used in example |
|--|--|------------------------|
| Middle names (100006) | In full, not shortened or familiar versions. If pupil has no middle name(s) then this field must be left blank. | Jane |
| Pupil/child preferred surname (100011) | The surname preferred by the pupil (as written) most commonly used in the establishment (for pupils in alternative provision, the surname most commonly used in the LA). | Bishop |
| Date of birth (100292) | Date of birth of the pupil. | 1998-03-24 |
| Gender (100287) | Gender of child (as defined in common data elements). | 2 |
| Child ethnicity (100319) | Child ethnicity code. | WBRI |
| Free school meal eligibility start date (100484) | Start date for pupil's free school meal eligibility. | 2014-09-01 |
| Free school meal eligibility end date (100485) | End date for pupil's free school meal eligibility. | 2014-12-01 |
| Country of UK (200634) | Country of United Kingdom in which the establishment is located. | ENG |
| Service children in education indicator (100330) | Indicates if a child has parent(s) who are service personnel serving in regular military units of all forces and exercising parental care and responsibility. | N |
| Adopted from care (100549) | Indicates that a child has been adopted from care | N |
| Type of alternative provision (100471) | The type of provision, for example independent school, hospital, etc. | NOT |
| SEN provision (100472) | Provision types under the SEN code of practice. | A |
| Post code (100121) | The code allocated by the post office to identify a group of postal delivery points. | NN1 3NN |
| Sub-dwelling (100103) | Flat, apartment name or number or other sub-division of a dwelling. | |
| Dwelling (100109) | Dwelling name and/or number. | |

| Field | Description | Used in example |
|--|---|------------------------|
| Street (100115) | Street name or street description that has been allocated to a street by the street naming authority. | |
| Locality (100116) | The locality name refers to a neighbourhood, suburb, district, village, estate, settlement, or parish that may form part of a town, or stand in its own right within the context of an administrative area. Where an industrial estate contains streets it is defined as a locality in its own right. | |
| Town (100117) | The town name refers to a city or town that is not an administrative area, a suburb of an administrative area that does not form part of another town or a London district. | |
| Administrative area (100118) | The administrative area is a geographic area that may be the highest level local administrative area, which may be a county or a unitary authority, an island or island group or London. | |
| Post town (100119) | The post office usually assigns these based on sorting office. | |
| Address line 1 (100128) | First line of address. | 6 High Street |
| Address line 2 (100129) | Second line of address. | North Park |
| Address line 3 (100130) | Third line of address. | Linbury |
| Address line 4 (100131) | Fourth line of address. | LittleTown |
| Address line 5 (100132) | Fifth line of address. | Shireborough |
| RecordType | Identifies the record type, must be "P". | P |
| UPN (100001) | As above in first pupil record. | U372123456789 |
| Surname (100003) | As above in first pupil record. | Bright |
| Forename (100004) | As above in first pupil record. | Damien |
| Middle names (100006) | As above in first pupil record. | |
| Pupil/child Preferred Surname (100011) | As above in first pupil record. | |

| Field | Description | Used in example |
|--|---|------------------------|
| Date of birth (100292) | As above in first pupil record. | 2007-02-02 |
| Gender (100287) | As above in first pupil record. | 1 |
| Pupil ethnicity (100319) | As above in first pupil record. | MWBC |
| Free school meal eligibility start date (100484) | As above in first pupil record. | 2014-09-01 |
| Free school meal eligibility end date (100485) | Still eligible for free school meals. | |
| Country of UK (200634) | As above in first pupil record. | ENG |
| Service children in education indicator (100330) | As above in first pupil record. | N |
| Adopted from care (100549) | Indicates that a child has been adopted from care | N |
| Type of alternative provision (100471) | As above in first pupil record. | NOT |
| SEN provision (100472) | As above in first pupil record. | N |
| Post code (100121) | As above in first pupil record. | NN2 4RR |
| Sub-dwelling (100103) | As above in first pupil record. | |
| Dwelling (100109) | As above in first pupil record. | |
| Street (100115) | As above in first pupil record. | |
| Locality (100116) | As above in first pupil record. | |
| Town (100117) | As above in first pupil record. | |
| Administrative area (100118) | As above in first pupil record. | |
| Post town (100119) | As above in first pupil record. | |
| Address line 1 (100128) | As above in first pupil record. | 10 Free Road |
| Address line 2 (100129) | As above in first pupil record. | North Park |
| Address line 3 (100130) | As above in first pupil record. | Shireborough |
| Address line 4 (100131) | As above in first pupil record. | |
| Address line 5 (100132) | As above in first pupil record. | |

H,APC,SPR,2015,2015-01-176,L,303,Software supplier reference,,001,2015-01-23T
10:36:42,Pupil

P,P371123456789,1234567890,Bishop,Sarah,Jane,Bishop,1998-03-
24,2,WBRI,2012-09-01,2012-12-01,ENG,N,N,NOT,A,NN1 3NN,,,,,,,,, "6, High
Street",North Park,Linbury,Shireborough,,

P,U372123456789, , Bright,Damian ,,,2006-02-02,1,MWBC,2012-09-
01,,ENG,N,N,NOT,N,NN2 4RR,,,,,,,,, 10 Free Road,North Park,Shireborough,,

4.12 Special notes for CSV returns

File naming conventions

The department recommends that the file is given a meaningful name that includes the LA number (the 3 digit serial number). The file extension should be .csv. This will help users in selecting the correct file to upload to COLLECT.

5 Validation checks

An Excel workbook specifies validation rules that are applied to the data by DfE using the COLLECT system. They should also be applied, as far as possible, by LAs prior to loading the data onto the COLLECT system and any issues resolved.

Those data items included in the tables but not appearing in the validation rules - that is, those not shown in the validation rules as "must be present" - should be supplied where available (eg pupil's middle name).

The workbook also shows which validations are 'errors' and which ones are 'queries'.

- An 'error' is a failed validation check that **must be corrected** before the return is submitted. There may be rare scenarios where a few 'errors' can be incorrectly triggered. The department will assess these scenarios on a case by case basis and, where appropriate, allow the 'error' to be 'okable' in COLLECT.
- A 'query' is one which **must be investigated**, and potentially corrected, as it identifies data that would usually be invalid. 'Queries' may be accepted with appropriate notepad entries. The department will accept notes at return level



Department
for Education

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