Alternative provision census 2018

Business and technical specification - version 1.0

August 2017

Contents

Version history

| 1.0 | All dates within the document updated to reflect 2018 collection period. These are not marked as changes.

Please note: The CSV elements of the specification (4.8 to 4.12) have been entirely removed as CSV is no longer used – and has not been used for some time. As this is a major deletion, these elements have been totally removed from the document, rather than struck through.

1.2 Scope of alternative provision census – amended – reference to ILR added

1.3 Census period and data collection – added

1.5.1 New data items – added:

1.5.1.1 Pupil SEN type

1.5.1.2 Pupil SEN type ranking

1.5.1.3 URN of previous school attended

1.5.1.4 Primary reason for placement

1.5.1.5 Date of entry into AP

 1.5.1.6 Date of leaving AP

1.5.1.7 URN

1.5.1.8 UKPRN

1.5.1.9 Type of setting

1.5.1.10 Association

1.5.1.11 Attendance pattern

1.5.1.12 Sessions per week

1.5.3 Deleted items:

1.5.2.1 AP type – data item removed

1.6 Data privacy – added | Phil Dent
16 June 2017 |

3 Placement establishment level - added 3.1 URN – added 3.2 UKPRN – added 3.3 Type of setting - added 4.2 Outline data content – amended – 'Attendance module' replaced by 'Placement details' module 4.2.2.1 Ethnicity – amended – clarification added 4.2.2.2 Free school meals eligibility – amended – clarification added 4.2.2.4 Service children in education – amended – addition of the word 'guardian(s)' 4.2.2.5 Post looked after arrangements – amended – corrected to include child arrangement order 4.2.3 Attendance module – deleted – paragraph number re-used 4.2.3 Pupil / child SEN module – amended – code 'K' included 4.2.3.1 Pupil SEN type – added 4.2.3.2 Pupil SEN type ranking – added 4.2.6 Placement module – added 4.2.6.1 Primary reason for placement – added 4.2.6.2 Date of entry into AP – added 4.2.6.3 Date of leaving AP - added 4.2.6.4 Association – added 4.2.6.5 Attendance pattern – added 4.2.6.6 Sessions per week – added 4.2.6.7 URN of previous school – added	

5.2 Data items with no values – amended – reference to 'AP type' and 'CSV' deleted

5.4 XML format submission – amended – 'UTF-8' and <Placementestablishment> added

5.5 XML header – amended – CBDS level 'School' added

5.6 Placement establishment XML message structure added

5.7 Pupil / child XML message structure – amended

- Data item 100471 <APType> - deleted
- Data item 100547 <SENtype> - added
- Data item 100080 <SENtypeRank> - added
- Data item 100513 <EntryDate> - added
- Data item 100617 <APPlacementReason> - added
- Data item 100616 <PrevURN> - added
- Data item 100619 <APAttendancePattern> - added
- Data item 100620 <APSessionsPerWeek> - added
- Data item 100514 <LeavingDate> - added | |

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 2018 census of pupils in alternative provision (AP) which will enable local authorities, 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:
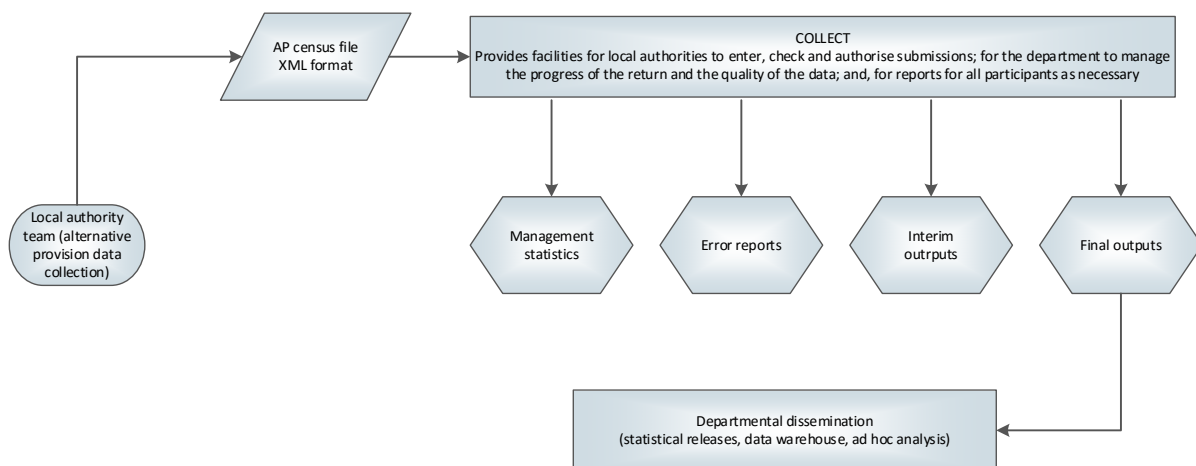
Figure 1 - High level data collection process

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 census that requires the return of individual pupil records. The census covers pupils attending a school not maintained by a local authority 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
- recorded on the individual learner record ILR

Pupils at non-maintained special schools may fall within the scope of the AP census where they are local authority funded (see paragraph 3.1(c) below for details).

The annual AP census has a 'census date' of the third Thursday in January. Unless otherwise stated, the terms 'census date' and 'census day' in this document refer to 18 January 2018.

1.3 Census period and data collection

The 'census period' is the time from the day after the previous census day to the current census day, inclusive. For the 2018 alternative provision census, the census period is from 20 January 2017 to 18 January 2018 inclusive.

Pupil records and data collected within the census period are included within the census return on census day.

However, it is appreciated that providers will not have had sufficient warning of this change to the way census data is collected for providers to facilitate the collection of this data over the complete census period.

As such, providers are requested to provide the latest / last information available to them on census day:

- where pupils are currently in alternative provision, this data is to be returned

- where a pupil has concurrent placements (at more than one provider) all open placements are to be returned
- for any pupils no longer in an active placement, the last placement on record within the census period is to be returned where possible

1.4 Structure of the alternative provision census

The 2018 AP census consists of pupil / child level data. This is comprised of one or more modules (each module being a subset of the pupil / child level data).

1.5 Changes from 2016 census

1.5.1 New data items

1.5.1.1 Pupil SEN type

Data item <SENtype> (100547) records the pupil's type of SEN, see paragraph 4.2.3.1 for full details.

1.5.1.2 Pupil SEN type ranking

Data item <SENtypeRank> (100080) records the pupil's SEN type ranking, see paragraph 4.2.3.2 for full details.

1.5.1.3 URN of previous school attended

Data item <PrevURN> (100616) records, where known, the EduBase URN of the pupil's previous educational establishment, see paragraph 4.2.6.7 for full details.

1.5.1.4 Primary reason for placement

Data item <APPlacementReason> (100617) records the primary reason the pupil has been placed into AP, see paragraph 4.2.6.1 for full details.

1.5.1.5 Date of entry into AP

Data item <EntryDate> (100513) records the pupils entry date into AP, see paragraph 4.2.6.2 for full details.

1.5.1.6 Date of leaving AP

Data item <LeavingDate> (100514) records the leaving date from AP, see paragraph 4.2.6.3 for full details.

1.5.1.7 URN

Data item <URN> (200635) records the EduBase URN, where available, of establishment where the pupil is placed, see paragraph 3.1 for full details.

1.5.1.8 UKPRN

Data item <UKPRN> (200917) records the UK provider register number (UKPRN) where available, of establishment where the pupil is placed, see paragraph 3.2 for full details.

1.5.1.9 Type of setting

Data item <APSettingType> (200918) records, where the URN is not available, the type of setting within which the pupil is placed, see paragraph 3.3 for full details.

1.5.1.10 Association

Data item <APAssociation> (100618) records details of any associated provision for the AP setting, see paragraph 4.2.6.4 for full details.

1.5.1.11 Attendance pattern

Data item <APAttendancePattern> (100619) records the pupil's planned attendance pattern, see paragraph 4.2.6.4 for full details.

1.5.1.12 Sessions per week

Data item <APSessionsPerWeek> (100620) records, where <APAttendancePattern> = 'PT', the pupil's planned number of sessions per week, see paragraph 4.2.6.6 for full details.

1.5.2 Deleted data items

1.5.2.1 AP type

Data item <APType> (100471) and the associated <Attendance> container is removed from this census as it is replaced by either the URN, UKPRN or type of setting data items.

1.6 Data privacy

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

- the right to know the types of data being held

- why it is being held, and

- to whom it may be communicated

A 'privacy notice' is a good way to be able to meet data subject's rights and the department strongly recommends that privacy notices are used to explain to pupils and staff how their data is being used in census collections (such as the alternative provision

and school census collections). The department has drafted template [privacy notices](#) that schools and local authorities may wish to use. However, the notices should be reviewed and amended as necessary to reflect local business need. Ideally, they should include [this link](#) to the gov.uk webpage that provides information on how the department collects and shares data.

It is recommended that the privacy notice be included as part of an induction pack for staff and be put on the school website for parents, as well as potentially featured on the staff notice board / intranet. Privacy notices do not need to be issued on an annual basis as long as new pupils and staff are made aware of the notices and they are readily available electronically or in paper format.
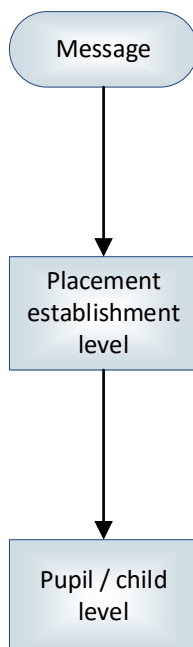
2. Message header

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' Description: Name of the data collection: APC
Survey term <Term> (800002) will be 'SPR' Description: SPR denotes that the collection is carried out in the spring term
Survey year <Year> (800003) will be '2018' Description: The year of the collection
Survey reference date <ReferenceDate> (800004) will be '2018-01-18' 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
Source level <SourceLevel> (800005) will be 'L' Description: Set to L for a local authority system
LA <LEA> (200001) is the LA number Description: Standard departmental three digit local authority number
Software code <SoftwareCode> (800006) a free format field that can be populated with whatever identifier the software supplier wishes to use Description: Software supplier reference
Release <Release>,(800008) a free format field that can be populated with whatever identifier the software supplier wishes to use to identify the release Description: A code/date (or combination) provided by the software supplier to assist in identification of the release
Serial No <SerialNo> (800007) will start at '001' and then be incremented by 1 each time a new file is prepared for submission Description: An incremented number, generated by a provider's software, enables data collection systems to identify re-submissions
Date / time <DateTime> (800010) is the date and time when the file was prepared or generated in CCYY-MM-DDThh:mm:ss format Description: Date and time of generation of the return
CBDS level <CBDSLevel> (800011) 'Pupil' should be provided Description: Shows which of the defined CBDS levels are present within a data return

3. Placement establishment level

The placement / establishment module records information on the provider of alternative provision. Such data is separate to the pupil level data and will only require reporting once within each census period.

```
        ┌───────────────┐
        │    Message    │
        └───────┬───────┘
                │
                ▼
        ┌───────────────┐
        │   Placement   │
        │ establishment │
        │     level     │
        └───────┬───────┘
                │
                ▼
        ┌───────────────┐
        │  Pupil / child │
        │     level     │
        └───────────────┘
```

3.1 URN

The 'URN' data item (200635) records the EduBase unique reference number (URN), where available, of establishment within which the pupil has taken up an alternative provision placement.

Please note: The URN and UKPRN are mutually exclusive. Where one is returned, the other is not. Where the provider is not registered on EduBase, this field is left blank.

However, where left blank, and no UKPRN is returned, the 'AP type of setting' (see paragraph 3.3 below) must be completed. Where URN is completed, type of setting is left blank.

3.2 UKPRN

The 'UKPRN' data item (200917) records the UK provider register number (UKPRN), where available, of establishment within which the pupil has taken up an alternative provision placement.

Please note: The UKPRN and URN are mutually exclusive. Where one is returned, the other is not. Where the provider is not registered with UKPRN, this field is left blank.

However, where left blank, and no URN is returned, the 'AP type of setting' (see paragraph 3.3 below) must be completed. Where this field is completed, type of setting is left blank.

3.3 Type of setting

The 'AP setting type' (200918) data item records, where either the URN or UKPRN are not available, the type of setting within which the pupil has taken up an alternative provision placement. Allowable values are shown in the table below:

Code	Description
NFE	Non-maintained further education college
OOT	One on one tuition
OTH	Other unregistered provider
WBP	Work based placement

Where type of setting is completed, URN and UKPRN must be blank. If URN or UKPRN are completed, type of setting must remain blank.

4. Pupil/child level

4.1 Overall description and scope

This section describes the pupil/child level element of the 2018 AP census.

Pupils in scope of the alternative provision census fall within one of the following categories:

    a) Independent school

    b) Hospital

    c) Non-maintained special school

    d) Not a school

(a) 'Independent school' refers to independent schools in England and Wales for whom the local authority is paying full or part tuition fees. This includes pupils attending independent schools within an authority and in another area for whom the full cost of tuition is paid for by the local authority wholly or in conjunction with social services and / or the health authorities. Do **NOT** include 'imported pupils', that is: those pupils attending an independent school in a local authority's area for whom another local authority is paying tuition fees.

(b) 'Hospital' refers to children who are in hospital and where the hospital is not a hospital school. For "hospital" and "non-maintained special schools" please include "exported" pupils, that is: those attending an establishment in another authority's area for whom your local authority is paying tuition fees. "Imported" pupils (those attending an establishment in your area for whom another local authority is paying the fees) are **excluded** from the return.

(c) 'Non-maintained special schools' comprises those pupils attending such schools in your area or another authority's area for whom your authority is paying full or part tuition fees. This includes 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 are **excluded** from the return.

(d) 'Not a school' covers pupils being educated otherwise than at school. This includes the following groups:

        o those educated in community homes or units (include pupils in independent residential homes - located either inside or outside your local authority area - 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

- pupils taught at home - only include those pupils who are receiving local authority 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

- 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

- pupils of compulsory school age (not registered at a school) who are being educated at further education colleges and for whom the local authority are financially responsible

- asylum seekers of compulsory school age attending further education colleges or with voluntary sector providers

4.2 Outline data content

The return contains five modules for each pupil as in Figure 2 below:
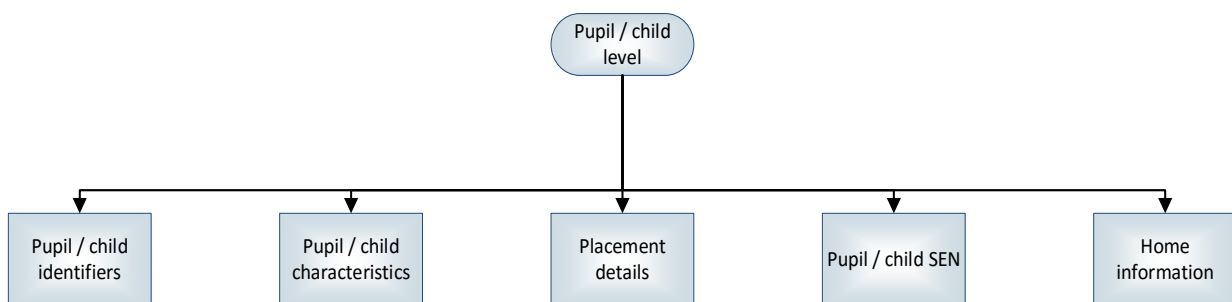
Figure 2 – Pupil / child level modules

Full descriptions of the data items in each of these modules are shown in the common basic data set (CBDS).

The paragraphs below contain guidance.

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

4.2.1   Pupil / child identifiers module

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

Where the pupil already has a UPN (many pupils in alternative provision have previously been in a mainstream school) then it is to be provided. Where a pupil has not previously been assigned a UPN, local authorities are required to generate one.

Unique learner number

Unique learner numbers (ULNs) are assigned to all students over the age of 14 in publicly funded education and training. The use of ULNs is mandatory within English schools. ULNs are allocated and managed by the Learning Records Service (LRS) and 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 local authorities with access the LRS system and 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.

4.2.2   Pupil/child characteristics module

4.2.2.1 Ethnicity

This module contains the pupil's ethnicity code (100563) and applies to all pupils in scope of the AP census. The CBDS code set (D00250) provided for the return contains the department's main codes and extended codes - these are the same as those specified for the school census. Local authorities that use extended codes for pupils in schools should also use them for alternative provision. Conversely, those that use only the main codes in schools should also use only the main codes for alternative provision.

4.2.2.2 Free school meal eligibility

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

Pupils may only be recorded as FSM eligible if they meet the FSM eligibility criteria (that is: in respect to family income) and make a claim.

For information on pupil premium eligibility, please see the conditions of grant documentation, which can be found here.

The pupil premium only covers periods of FSM eligibility experienced in England. Common transfer files (CTFs) received from schools or local authorities outside of England (for example, 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, such as 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 local authorities 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, that is: those with:

a) An FSM eligibility start date and a blank FSM eligibility end date (eligibility on-going on census day 18 January 2018); or

b) An FSM eligibility end date since the previous census - on or after 19 January 2017, and on or before the current census day, 18 January 2018.

The data returned reflects the position as at census day. Where 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, the returned version will include an FSM eligibility start date but no FSM eligibility end date. Similarly, FSM eligibility start dates returned in the census will 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 will not be returned.

Multiple FSM eligibility start and end dates falling within the period should be returned. For example, where a pupil had been eligible for FSM from 1 September 2015 until 31 October 2017 and then became eligible again from 1 December 2017 then the following would be returned:

For the first period of eligibility:

FSM eligibility start date of 2015-09-01 and FSM eligibility end date of 2017-10-31; and,

For the second period of eligibility:

FSM eligibility start date of 2017-12-01 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.

Please note: The pupil premium allocation from the alternative provision census is paid to the local authority. Local authorities must pass pupil premium funding to non-maintained special schools (who will be registered on EduBase) however, for other

providers, it is at the local authorities discretion on whether the provider receives this funding from the local authority or whether the local authority use the grant specifically on additional educational support to raise the standard of attainment for these pupils.

4.2.2.3 Early years pupil premium

The [early years pupil premium (EYPP)](#) is additional funding for early years settings to improve the education they provide for disadvantaged three and four year olds.

The data collected via the AP census will be used by the department to determine the early years pupil premium allocation which the department provides to local authorities to fund their early years providers.

Early years pupil premium data is required from all children aged 3 included on the AP census (those born between 01/09/2013 and 31/12/2014 (inclusive)). Children aged 4 at the start of the academic year are eligible for the school age pupil premium and therefore are not eligible for early years pupil premium funding.

Children will be eligible for EYPP, and should therefore be recorded with early years pupil premium eligibility equal to TRUE, if they are receiving any hours of government funded early education and either::

- meet the benefits related criteria for Free School Meals

- are in the care of the local authority (in England or Wales)

- have left care (in England or Wales) through:

   o adoption

   o special guardianship

   o child arrangement order (formally known as a residence order)

For those pupils eligible for the early years pupil premium, the reason why they are eligible is also required against the basis of eligibility field (100560). This should be recorded as follows:

- [EE] – eligible through economic reasons: where they are eligible via the benefits related criteria for FSM

- [EO] – eligible through other reasons: where they are eligible due to being in care or due to leaving care through adoption, a special guardianship order or a child arrangement order

- [EB] – eligible through both reasons: where they are eligible through both economic and other reasons

- [EU] – eligible through unknown basis: where the school or AP provider knows the child is eligible for EYPP (due to receiving funding from the local authority) but does not necessarily know the reason why they are eligible

4.2.2.4 Service children in education

The 'service children in education indicator' data item indicates whether a child has a parent(s) / guardian(s) 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 used to indicate no response given or other reason for no information.

Note that such children would not normally be expected to be eligible for free school meals and this is reflected in the validation.

4.2.2.5 Post looked after arrangements

This data item (100587) identifies those children on roll on census day who were looked after immediately before adoption or prior to being subject of a special guardianship order or child arrangement order. Those who have parental responsibility (adoptive parents, special guardians and carers) choose if they wish the local authority / provider to know their child's status and provide the necessary evidence, for example, a copy of the adoption order. The local authority / provider will be able to record the information using the following codeset; only one value will apply to each pupil:

Code	Post looked after arrangements
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 local authorities 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.

4.2.3   Pupil / child SEN module

 The Children and Families Act 2014 replaced 'SEN statements' with 'Education, Health and Care plans' (EHC plans).

During the transitional period - to April 2018 - providers will be able to record pupils as having either 'S' (statement) or 'E' (EHC plan). Providers may have some pupils with statements and some who have already moved to EHC plans but no individual pupil can have both. An EHC plan is not just the rebadging of a statement. To ensure that EHC plans are person-centred and focused on outcomes, an EHC plan must only be issued following a 'transfer review' – an EHC needs assessment. For further information see the statutory guidance chapter 6.

Code 'S' may be retained for existing pupils up to April - no new statements can be issued.

Code 'K' – SEN support – is also returned within the alternative provision census.

4.2.3.1 Pupil SEN type

The 'pupil SEN type' (100547) data item - returned where pupil SEN is 'S', 'E' or 'K' - records the nature (type) of the pupil's special educational need. Only two pupil SEN types may be returned in the alternative provision census. These are ranked using the pupil SEN type ranking (100080) – see paragraph 3.2.5(b) below.

Pupil SEN type codes are:

Code	Description
SPLD	Specific learning difficulty
MLD	Moderate learning difficulty
SLD	Severe learning difficulty
PMLD	Profound & multiple learning difficulty
SEMH	Social, emotional and mental health
SLCN	Speech, language and communication needs
HI	Hearing impairment
VI	Visual impairment
MSI	Multi-sensory impairment
PD	Physical disability
ASD	Autistic spectrum disorder
OTH	Other difficulty / disorder
NSA	SEN support but no specialist assessment of type of need

4.2.3.2 Pupil SEN type ranking

The 'pupil SEN type ranking' (100080) data item records the ranking of the pupil's special educational needs, as recorded in pupil SEN type. The most significant, or primary need, is ranked as '1' with any secondary need ranked '2'. Only two rankings are collected in the school census, with no two needs given the same ranking, that is, if there is more than one SEN type reported they cannot both have a ranking of '1'

4.2.4　　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 (where pupil address type (100102) = C).

Post code (100121) must be provided together with the remainder of the address in either BS7666 Version 1.4 or line address format. The unique property reference number (100586) should also be provided, where available.

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:

- SAON (secondary addressable object name) (100103)
- PAON (primary addressable object name) (100109)
- street (100115)
- locality (100116)
- town (100117)

23

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

Or, line address format:

- 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 (and UPRN where available) to be supplied regardless of format used.

4.2.5 Unique property reference number

The unique property reference number (100586) has been introduced on a voluntary basis. The 'UPRN' is defined by Ordnance Survey as: 'The unique identifier for every spatial address in Great Britain. It provides a comprehensive, complete, consistent identifier throughout a property's life cycle – from planning permission through to demolition'.

Where available within local authority systems, the 'UPRN' should be returned alongside the post code and full address in either BS7666 or address line format. However, where UPRN is not populated within systems, the data is not required to be submitted.

4.2.6 Placement module

The placement module record details of the pupil's alternative provision placement. Whilst the XML structure provides for multiple placements to be recorded, only the latest / last placement data is required for the 2018 census.

4.2.6.1 Primary reason for placement

The 'AP placement reason' (100617) data item records the primary (or main) reason for a pupil going into the alternative provision placement and why the placement into alternative provision has been commissioned. Allowable values are shown in the table below:

Code	Description
EHC	Setting named on EHC plan
MHN	Mental health need
NEW	New arrival without a school place
OTH	Other
PCC	Pregnancy / childcare
PEX	Permanent exclusion
PHN	Physical health need
YOI	Pupil in young offender institute / secure training centre

The primary reason for placement is recorded for each placement within the census period.

4.2.6.2 Date of entry into AP

The 'entry date' (100513) data item records the pupil's entry date into alternative provision. As pupils may enter into alternative provision more than once within a census period. Each placement is recorded and returned in the census.

4.2.6.3 Date of leaving AP

The 'leaving date' (100514) data item records the date the pupils leaves alternative provisions. As pupils may leave alternative provision more than once within a census period. Each placement is recorded and returned in the census.

4.2.6.4 Association

The 'AP association' (100618) data item records whether the placement is associate with any other services, that are not education, supporting the pupil. The default value should be set to 'NO'. Allowable values are shown in the table below:

Code	Description
YC	Yes – provision linked to a children's home
YH	Yes – provision linked to a healthcare setting
YO	Yes – provision linked to other service
NO	No – provision is not linked

4.2.6.5 Attendance pattern

The 'AP attendance pattern' (100619) data item records the pupil's planned attendance pattern at the alternative provision provider. As a pupil may attend more than one provider of alternative provision and, as such, this indicator is provider specific and records the attendance pattern at the reporting provider.

Allowable values are:

Code	Description
FT	Full time in alternative provision at this provider
PT	Part time in alternative provision at this provider

Where the pupil is in part time provision, the number of sessions must be provided.

4.2.6.6 Sessions per week

The 'AP sessions per week' (100620) data item records, where the pupil's attendance pattern is part time (PT) the pupil's planned number of sessions per week.

4.2.6.7 URN of previous school attended

The 'previous URN' (100616) data item records the EduBase unique reference number (URN) of the school that the pupil attended prior to entering into an alternative provision placement. As this is only recorded once in the record, this should be the latest previous URN on record held by the alternative provision provider.

4.3 Coverage and timing

Pupils should be aged between 3 (as at 31 December) and 18 (at 31 August) - those pupils born between 01/09/1998 and 31/12/2014. However, pupils aged 2 (as at 31 December 2017) can be included where they are funded by the local authority.

5. Data return format

Please note: example data shown in this section are for illustration purposes only.

5.1 Available format

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

For local authorities without a MIS that can output an AP census compliant XML file, the department provides a data entry spreadsheet which enables the input of file header and individual pupil record information. On completion the file is converted to XML format (using the spreadsheet) and uploaded to COLLECT. The data entry spreadsheet is provided on request.

5.2 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:

- o establishment

Values contingent on the content of other data items. These items are:

- o home address details (see paragraph 3.2.5)
- o free school meal (FSM) eligibility information is also not required for pupils who are not in school

Values which are described in this specification as optional, for example. These items are:

- o pupil / child middle names
- o pupil / child preferred surname
- o unique property reference number

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 would not show a tag. 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

27

<UKcountry> not being required, <FSMperiod> and <FSMeligibility> would also not be present.

5.3 Block entry

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

5.4 XML format submission

An XML submission is a single message consisting of:

A header

A repeating group containing the data for each pupil

Overall message structure
<?xml version="1.0" encoding="UTF-8"?>
<Message>
<Header> - see 5.5 below for details
<APplacementEstablishment> - see 5.6 below for details
<APpupilsChildren> - see 5.7 below for details
</Message>

5.5 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>2018</Year>
800004		<ReferenceDate>2018-01-18</ReferenceDate>
		</CollectionDetails>
		<Source>
800005		<SourceLevel>L</SourceLevel>
200001		<LEA>999</LEA>
800006		<SoftwareCode>Software Supplier Reference</SoftwareCode>
800008		<Release>1.4 2017-10-11</Release>
800007		<SerialNo>001</SerialNo>
800010		<DateTime>2018-01-18T11:14:05</DateTime>
		</Source>
		<Content>
		<CBDSLevels>
800011		<CBDSLevel>School</CBDSLevel>
800011		<CBDSLevel>Pupil</CBDSLevel>
		</CBDSLevels>
		</Content>
	</Header>	

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

5.6 Placement / establishment XML message structure

	Placement / establishment XML message structure	Cardinality *(Note: item level elements occur only once unless otherwise stated)*
	<APplacementEstablishment>	Each <Message> group contains one and only one <APplacementEstablishment> group.
200635	<URN>999999</URN>	
200917	<UKPRN>99999999</UKPRN>	Where <URN> is present, <UKPRN> is not required
200918	<APSettingType>WBP</APSettingType>	Where <URN> or <UKPRN> are present, <APSettingType> is not required
100618	<APAssociation>PEX</APAssociation>	
	</APplacementEstablishment>	

5.7 Pupil / child XML message structure

	Pupil / child XML message structure	Cardinality *(Note: item level elements occur only once unless otherwise stated)*
	<APpupilsChildren>	Each <Message> group contains one and only one <APpupilsChildren> group.
	<PupilChild>	Record returned for all pupils placed with the provider within the census period – that is: from the last census to the current census day
	<PupilChildIdentifiers>	
100001	<UPN>X1234567898765</UPN>	
100016	<UniqueLearnerNumber>1234567890</UniqueLearnerNumber>	
100003	<Surname>Familyname</Surname>	
100004	<Forename>Firstname</Forename>	
100006	<MiddleNames>Middlename</MiddleNames>	
100011	<PreferredSurname>Familyname</PreferredSurname>	
100292	<PersonBirthDate>1066-03-24</PersonBirthDate>	
100287	<GenderCurrent>2</GenderCurrent>	
	</PupilChildIdentifiers>	
	<PupilChildCharacteristics>	
100563	<Ethnicity>WBRI</Ethnicity>	
	<FSMeligibility>	Each <PupilChildCharacteristics> group contains 0..1 <FSMeligibility> group
	<FSMperiod>	Each <FSMeligibility> group contains 1..n <FSMperiod> groups
100484	<FSMstartDate>1087-10-09</FSMstartDate>	
100485	<FSMendDate>1087-11-16</FSMendDate>	May be missing in one and only one <FSMperiod> group
200634	<UKcountry>ENG</UKcountry>	
	</FSMperiod>	
	</FSMeligibility>	

100559	<EYPPE>Y</EYPPE>	Applies all pupils aged 3 ONLY
100560	<EYPPBF>EE</EYPPBF>	Applies all pupils aged 3 ONLY
100330	<ServiceChild>N</ServiceChild>	
100587	<PLAA>N</PLAA>	
	</PupilChildCharacteristics>	
	<SpecialEducationalNeeds>	
100580	<SENprovision>E</SENprovision>	
	<SENneeds>	Each <SpecialEducationalNeeds> group contains 0..1 <SENneeds> group
	<SENneed>	Each <SENneeds> group contains 1..2 <SENneed> groups
100547	<SENtype>SLD</SENtype>	
100080	<SENtypeRank>1</SENtypeRank>	
	</SENneed>	
	</SENneeds>	
	</SpecialEducationalNeeds>	
	<HomeInformation>	
100121	<PostCode>ZZ99 9XX</PostCode>	
100586	<UniquePropertyReferenceNumber>123456789102</UniquePropertyReferenceNumber>	
	<BS7666Format>	
100103	<SAON>2 Flat</SAON>	
100109	<PAON> 123</PAON>	
100115	<Street>Street Lane</Street>	
100116	<Locality>Localarea</Locality>	
100117	<Town>Townbury</Town>	
100118	<AdministrativeArea></AdministrativeArea>	
100119	<PostTown>Postaltown</PostTown>	
	</BS7666Format>	
	<LineAddressFormat>	
100128	<AddressLine1>123 Street Lane</AddressLine1>	
100129	<AddressLine2>Localarea</AddressLine2>	
100130	<AddressLine3>Townbury</AddressLine3>	
100131	<AddressLine4>Postaltown</AddressLine4>	

100132	`<AddressLine5>Countyshire</AddressLine5>`	
	`</LineAddressFormat>`	
	`</HomeInformation>`	
	`<PlacementDetails>`	Each `<PupilChild>` will have 1 `<PlacementDetails>` group
	`<PlacementDetail>`	Each `<PlacementDetails>` group will have 1..n `<PlacementDetail>` groups
100513	`<EntryDate>2017-03-03</EntryDate>`	
100617	`<APPlacementReason>EHC</APPlacementReason>`	
100616	`<PrevURN>999999</PrevURN>`	
100619	`<APAttendancePattern>PT<APAttendancePattern>`	
100620	`<APSessionsPerWeek>12</APSessionsPerWeek>`	Applies only where `<APAttendancePattern>` = PT
100514	`<LeavingDate>2017-05-03</LeavingDate>`	Left blank where pupil remains in AP placement
	`</PlacementDetail>`	
	`</PlacementDetails>`	
	`</PupilChild>`	
	`</APpupilsChildren>`	

5.7 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 '&#233'. 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 local authority number (the 3 digit serial number). The file extension is '.xml'. This will help users in selecting the correct file to upload to COLLECT.

6. 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 local authorities 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 (such as: 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 only

Follow us on Twitter:
@educationgovuk

Like us on Facebook:
facebook.com/educationgovuk