



Department  
for Education

# **School census: autumn 2014**

**User guide for the duplicate report: same  
UPN**

**September 2014**

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# 1. Introduction

The calculation of the schools block of the dedicated schools grant based on the 2014 autumn census data makes it more important than ever that the census data for all schools' are submitted promptly and accurately for all data providers. The 2014 autumn school census data will be used to finalise 2015-16 allocations, and therefore it is vitally important that you are content with the accuracy of your schools' returns before passing them on to the department and that they are returned by the prescribed timescales.

As the autumn school census is used to determine the 2015-16 dedicated schools grant, failure to resolve duplicate UPNs during the autumn census will have a direct impact on funding allocations. Consequently, the department will be expecting all **LAs, non-maintained special schools, academies (including free schools) and CTCs to work together to resolve all duplicate UPNs** during the 'live' census collection. This user guide is therefore intended to offer schools and LAs support to aid understanding of how the duplicate reports should be used and duplicates resolved.

## 2. Duplicate report – same UPN

### 2.1 What is a duplicate UPN?

A unique pupil number (UPN) is a number that identifies each individual learner in England. UPNs are allocated to learners according to a nationally specified formula on first entry to school (or in some cases earlier). Learners' UPNs are intended to remain with them throughout their school career regardless of any change in school or local authority (LA).

As a UPN is, by definition, unique to a particular learner, a duplicate UPN is one where more than one pupil registration shares the same UPN and the registrations sharing the UPN have an **invalid combination of enrolment statuses**. For example:

- A pupil where the same UPN is recorded against two registrations with a main registration ('M') at one school and a subsidiary registration ('S') at another school is NOT a duplicate UPN as main and subsidiary is a valid combination of enrolment status for dually registered pupils;
- A pupil where the same UPN is recorded against two registrations with a current sole registration ('C') at one school and a main registration ('M') at another school is classed as a duplicate UPN as sole and main is an invalid combination of enrolment status for dually registered pupils.

The table below describes valid and invalid combinations of enrolment status codes for pairs of duplicate UPNs:

#### Pupil Enrolment Status

Enrolment Status		Pupil 1		
		C	M	S
Pupil 2	C	x	x	x
	M	x	x	✓
	S	x	✓	x
	F	x	x	x
	O	x	x	x

✓ = valid combination, x = invalid combination

#### Pupil enrolment status

C – current (single registration at this school)

M - current main (dual registration)

S - current subsidiary (dual registration)

F – FE college

O – other provider

## 2.2 What pupils/schools are included in this report?

The duplicate UPN report will look for duplicates across all pupils on roll in the **2014 autumn school census only**. It will not look for duplicates between the school census and any other pupil level collections (e.g. AP census and early years census) as the autumn census is based on a snapshot as at census day (2 October 2014) and there are no other pupil level collections taking place at the same time.

## 2.3 What reports are available?

There are three '**duplicate report - same UPN**' reports available through COLLECT (2 reports for LAs and 1 report for individual schools):

### LA reports

The first LA report includes all pupils where a duplicate UPN has been identified within your own LA only and the second report is where a duplicate UPN has been identified across all LAs.

### School reports

Each individual school will be able to run a duplicate report showing all pupils within their school where a duplicate UPN has been identified looking across all other schools.

Further details on how to run these reports in COLLECT are contained in the section of this guide entitled '[Running the reports in COLLECT.](#)'

## 2.4 How will duplicates be identified?

Only pupils within schools with a data return status of 'submitted' or above will be included in this report. For each pupil included within a return (on roll pupils only) the report will:

- a. Check for another pupil record with the same UPN in the school census.
- b. Only UPNs where an **invalid combination of enrolment statuses** are identified will be included within the '**duplicate report - same UPN**'

## 2.5 What will the report look like?

An example of the '**duplicate report - same UPN**' is displayed in [Annex A](#).

For each duplicate UPN identified, the report will contain the following pupil identifiers: LA, estab, COLLECT blade (ie school census), school name, UPN, surname, forename, middlenames, enrol status, date of birth, gender, entry date, funded hours, school status, error description, and contribution.

### a.) Error description identifier

The error description identifier is the reason the UPN has been flagged as a duplicate. There are 15 reasons applicable to this report as given below:

Enrol status	Error no	Error message
C&C	1	A pupil cannot be solely registered at more than one school.
C&M	2	A pupil cannot be solely registered and have a main (dual registration).
C&S	3	A pupil cannot be solely registered and have a subsidiary (dual registration).
M&M	4	A pupil cannot have more than one main (dual registered) record.
S&S	5	A pupil would not normally have more than one subsidiary (dual registered) record.
M&S	6	A pupil if aged 2 or 3 should not have more than 15 funded hours across all registrations, or 25 hours if aged 4.
C&F	7	A pupil cannot have an enrolment status of 'F' and also be solely registered at another school.
C&O	8	A pupil cannot have an enrolment status of 'O' and also be solely registered at another school.
M&F	9	A pupil cannot have an enrolment status of 'F' and also have a main registration at another school.
M&O	10	A pupil cannot have an enrolment status of 'O' and also have a main registration at another school.
S&F	11	A pupil cannot have an enrolment status of 'F' and also have a subsidiary registration at another school.
S&O	12	A pupil cannot have an enrolment status of 'O' and also have a subsidiary registration at another school.
F&O	13	A pupil cannot have an enrolment status of 'F' and also have an enrolment status of 'O' at another school.
F&F	14	A pupil cannot have an enrolment status of 'F' at more than one school.
O&O	15	A pupil cannot have an enrolment status of 'O' at more than one school.

### b.) Contribution field for dedicated schools grant funding

As in previous collections used for school funding, a contribution field will appear on the duplicate report to show the contribution amount for that pupil which will carry through to the funding allocations for that school/LA. The contribution is calculated depending on how many pupils share the UPN, e.g. 2 pupils with the same UPN will give a contribution of  $\frac{1}{2}$  per pupil, 3 pupils with the same UPN will give a contribution of  $\frac{1}{3}$  etc. The other things taken into consideration when calculating the contribution field are as follows:

- All pupils are treated the same, regardless of age, year group or whether they are full time or part time.
- The contribution should only be calculated where at least one of the pair has enrolment status of C, M, F or O.

- c. The contribution amount should be split equally among C, M, F and O enrolment statuses only. Enrolment status of S or missing will be included in the duplicate pair (according to the general rules for invalid enrolment status combinations as seen in the table above) but do not count towards the contribution and will be shown as N/A.
- d. If one of the pair is C, M, F or O and the other is S or missing, contribution will be full for C, M, F or O and N/A for the S or missing.
- e. If there is more than a pair of the same UPN e.g. if 3 pupils with the same UPN have enrolment statuses of C, M, and S, then C and M split the contribution and get ½ each while the S gets none and is shown as N/A.

## 2.6 How do I run the duplicate reports in COLLECT?

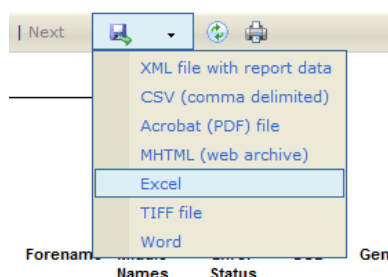
To run the reports click on the 'launch reports' button in the school census COLLECT blade and on the next screen there is a drop down box to select which duplicate report you require, either:

- duplicate report – same UPN;
- duplicate report – same person different UPN;
- duplicate report – same UPN 2 to 4 Yr olds (available to LAs only)

For LAs the next screen will indicate the type of report you require (schools can only run reports across all local authorities), either:

- within authority - this will match pupils within the selected authority;
- across all authorities - this will match pupils for the selected local authority against pupils in all other local authorities.

The report is then displayed on screen, but the option is also provided to download and save the report in various formats. Select the 'export' option and choose the format required.



### **Please note**

1. The duplicate reports will be run against a backup database and not the live database. Therefore, the duplicate reports will not be 'live' but on any given day will reflect the position from COLLECT as at close the previous working day.

2. If exporting to csv format, at the prompt save the file rather than opening it. Once in excel, open the file and a box will appear. Select 'delimited', put a tick next to 'comma' and remove any other ticks, click 'next' and then 'finish'.

If you have a large amount of duplicates and want to export the report to excel, we advise that the file is saved in .csv format and then opened in excel otherwise a time out error may occur.

When exporting reports files you may get an error message e.g. **'internet explorer can not download ...n=....'. 'internet explorer was unable to open this internet site'**

If you get this error you need to change your internet explorer's security settings to allow saving of encrypted pages. To do this in internet explorer follow these instructions:

- open your internet browser
- click on 'tools', then on 'internet options', and select the 'advanced' tab
- scroll down to the security section and untick option 'do not save encrypted pages to disk'
- click 'apply', then 'ok' to complete the process

Your files should now be able to be saved.



### 3. Resolving duplicate UPNs

#### 3.1 Do I need to resolve the duplicate UPNs identified in this report?

As the autumn school census is used to determine the schools block of the dedicated schools grant, failure to resolve duplicate UPNs during the autumn census will have a direct impact on funding allocations. Consequently, the department will be expecting all **LAs, non-maintained special schools, academies (including free schools) and CTCs to work together to resolve all duplicate UPNs** during the 'live' census collection.

#### 3.2 How should I go about resolving duplicate UPNs?

Prior to January 2012 academies and non-maintained special schools did not have the same facility as LAs to run duplicate reports within COLLECT and, consequently, the responsibility was placed on LAs to make first contact with the schools to try and resolve duplicate pupils. However from January 2012 onwards all schools now have the facility to run their own 'duplicate report – same UPN' and 'duplicate report – same person different UPN' from COLLECT and therefore we request that **academies, NMSS and CTCs take on the same responsibility which is placed on LAs with respect to resolving duplicates.**

Academies, CTCs and NMSS can be identified in the COLLECT duplicate reports by the prefix '**DfE**' appearing in the column before the LA number with schools that were LA maintained at the point of the census appearing in the duplicate report with this column blank. At a school level only academies, CTCs and NMSS are responsible for resolving their own duplicates and therefore all duplicates with LA maintained schools should continue to be resolved via the LA (ie LA maintained schools should not be contacted directly by other schools/LAs regarding duplicate pupils).

In order to assist LAs, academies, CTCs and NMSS with resolving their duplicates the DfE will provide a list of the duplicate contacts across all LAs.

Based on the above the department will not be resolving any duplicates on behalf of LAs and schools. All LAs, NMSS, academies and CTCs will be expected to work together to resolve all duplicate UPNs within their authority/school. Unfortunately departmental involvement in duplicate resolution is limited by the following advice provided from legal advisors:

*It is not the Department's role to arbitrate between schools in deciding pupils' enrolment status. Schools and Local Authorities are professional and intelligent organisations, capable of negotiating mutually satisfactory arrangements within the framework provided by the Education (Pupil Registration) (England) Regulations 2006.*

Hence in situations where schools and/or LAs are disputing a pupils registration all we can do is to offer some advice based on the information we have been provided but it is up to the parties involved whether or not they accept our advice (as we cannot force schools and/or LAs to make changes to pupil records on the school census). However the department should only be contacted using the contact details below where the relevant schools/LAs have first been in contact with each other and cannot agree.

If you have any queries specifically concerning the resolution of duplicate pupil disputes or queries related to school funding then please email [Funding.CENSUS@education.gsi.gov.uk](mailto:Funding.CENSUS@education.gsi.gov.uk) directly. All other school census queries should be directed to the data collection helpdesk using the '[data collections service request form](#)'.

**Please note:** we would like to take this opportunity to remind schools and LAs **not** to include any identifiable pupil level data in emails to other schools, LAs or the department.

### 3.3 Best practice for resolving duplicates

To correct duplicates, best practice would be to ask the school to do the changes on their school system and re-submit. This ensures the school's system reflects the position on COLLECT. However where a school, LA or the department have carried out a lot of error correction on a particular school, then it is acceptable to amend the pupil records directly in COLLECT rather than making a full resubmission. **However any changes made within COLLECT should always reflect the data within school systems** – i.e. if a change is made to an enrolment status within COLLECT then the same change should also be made to the data within the school MIS. This is important from an audit/inspection viewpoint and will avoid schools manually having to make the same changes every census.

From the 2013 autumn school census onwards, the 'edit' facility in COLLECT has been made available for all COLLECT users. This includes **ALL** schools regardless of type – previously the 'edit' functionality was only available to COLLECT users with a role of agent (i.e. LAs) or collector (i.e. DfE). Full instructions for editing returns within COLLECT are available within the [guide to editing data in COLLECT](#).

**Please note:** If a school re-submits, any prior error correction and data cleaning will be lost. To avoid prior notes being lost in the event of a resubmission, the **return level notes facility should be used**. These are not overwritten if a resubmission is made.

### 3.4 Possible actions for resolving duplicate UPNs

- Change the pupil's registration code to produce a valid combination of enrolment status (for dually registered pupils the only valid combination is to have a dual main registration with a dual subsidiary registration);

- Delete pupil record (**only if pupil has been entered in error**);
- Pupil record to be moved off roll to 'NoLongerOnRoll' with date of leaving provided;
- Pupil was permanently excluded - pupil record to be moved to 'NoLongerOnRoll' and date of leaving provided and create an exclusion record;
- Change of UPN (only if pupil UPN has been entered incorrectly).

### 3.5 Additional information

- **No longer on roll**

If it is found that the pupil recorded on census left the school before the census date, it is important for attendance data requirements that the pupil is not deleted but moved off roll to '**NoLongerOnRoll**'.

- **Pupil does not arrive on expected start date**

Please see the information provided in [Annex B](#) for schools where a pupil does not arrive on the expected start date and the effect on the 'other' school when it is found the pupil has started another school.

# ANNEX A – Report Layout

**Duplicate Pupils Report (Same UPN)**

**Report Date: dd/mm/2014**

**Local Authority: 111 – Example LA1**

	LA No	LA Name	COLLECT Blade	Estab	School Name	UPN	Surname	Forename	Middle Names	Enrol Status	DOB	Gender	Entry Date	Funded Hours	School Status	Category Description	Contribution
	111	Example LA1	School Census	2005	Example Primary	A123456789101	Bloggs	Joe		C	15/06/2010	M	15/06/2009	8	Approved	A pupil cannot be solely registered at more than one school	½
	222	Example LA2	School Census	2006	Example Primary	A123456789101	Bloggs	Joe		C	15/06/2010	M	16/08/2009	9	Submitted	A pupil cannot be solely registered at more than one school	½
	111	Example LA1	School Census	4000	Example Secondary	B123456789101	Doe	John		C	05/06/1998	M	15/06/2002		Approved	A pupil cannot be solely registered and have a subsidiary (dual registration)	1
DFE	333	Example LA3	School Census	4024	Example Academy	B123456789101	Doe	John		S	05/06/1998	M	16/08/2002		Submitted	A pupil cannot be solely registered and have a subsidiary (dual registration)	N/A

## ANNEX B – Pupil does not arrive on expected start date

- **Actions by schools where a pupil does not arrive on the expected start date and the effect on the ‘other’ school when it is found the pupil has started at another school**

Step	Event	School A (school expecting a pupil)	School B (school where pupil actually starts)
1.	Enrolment	Enters pupil on admission register with enrolment status of C, F or O	Enters pupil on admission register with enrolment status of C, F or O
2.	Attendance (prior to school A finding out where pupil is)	Marks pupil as absent, no reason given (Code N)	Marks pupil as present or absent in the normal way
3.		Make pupil a leaver from the date that the pupil is found registered at another school	
4.	Enrolment (once school A finds where pupil is)	Change enrolment status to S (Dual subsidiary) (from the date of enrolment to the date of leaving)	Change enrolment status to M (Dual main) (from the date of enrolment to the date agreed with school A that the pupil will be made a leaver at School A).  Enrolment status reverts to C, F or O from the date that the pupil is marked as a leaver from school A.
5.	Attendance (once school A finds where pupil is)	Mark any possible session as Code D. Therefore the pupil would be shown as dually registered with 0 possible sessions.	No changes need to be made to the attendance register at school B.

**NOTE:** Step 4 is the procedural change that takes place i.e. recognising that the pupil was registered at two establishments for the period in question. Schools, and their MIS systems, however, are not required to hold a ‘history’ for enrolment status. As a result, it may not be necessary for school B to make any change to the enrolment status for the period of the dual registration if that will not be stored in the MIS system. However, school B should keep a manual note to this effect.



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