



Department  
for Education

# **Children in need census 2016 to 2017**

**Business and technical specification  
version 1.2**

**December 2015**

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# 1 Introduction

## 1.1 Scope

This specification describes the children in need (CIN) census 2016 to 2017. This data collection covers all local authorities in England, who are expected to provide data on all cases and episodes for the period from 1 April 2016 to 31 March 2017.

The data consist of child-level information for those children in scope, showing their characteristics and information about their assessments. The majority of children in need will be up to 19 years old but there will be a few exceptions where children's social care are providing support to older persons. The collection covers the following groups:

- those children who are deemed to be 'in need' during the data collection period. This will include unborn children who have been identified as potential children requiring services;
- those children for whom there is a child protection plan at any time during the period;
- children who were referred to children's social care but for whom no further action is taken after initial consideration or assessment.

## 1.2 Audience and references

This document has been developed to support local authorities and their suppliers of local authority management information systems. It should be read in conjunction with:

- Common Basic Data Set (CBDS)
- [CIN 2016 to 2017 guide v1-0 – when available]
- [CIN-Census2017-v1-0.xsd – when available]
- [CIN 2016 to 2017 example census data v1-0.xml – when available]

The Common Basic Data Set (CBDS) can be accessed via the following link [CBDS](#). This is a database comprising all levels, all modules, all data items and all code-sets within the one spreadsheet. This spreadsheet makes use of filters and hyperlinks to navigate around. The filters make it possible to view extracts of the CBDS for use in specific collections, including CIN 2016 to 2017. All the items relating to this specification can be found by filtering on the column headed CIN census 2016 to 2017 of the data definitions worksheet in the next version.

The guide and example XML plus presentations and papers from workshops with local authorities and software suppliers, will be available electronically from the Department for Education (DfE) website at the following address: [.Gov.UK](#)

Following consultation the government's statutory guidance, [Working Together to Safeguard Children](#), has been revised and was published on 21 March 2013. The guidance came into effect from 15 April 2013.

An XSLT will be provided as a validation tool for use in management information systems. This will be sent to suppliers and is available on request.

## **1.3 Changes from the 2015 to 2016 specification**

### **1.3.1 Validation Rules (Annex A)**

Rule 8869 error amended (assessment factor 21 – no factors identified)

Rule 8871 has been removed (where assessment factor 21 used this must be the only assessment present)

New rule 8873 has been added (if there is only one assessment and assessment factor 21 has been used on completion – RC8 must be the only reason for closure.

Please note that changes made to v1.2 of the CIN 2015 to 2016 specification as advised this month, have been included in this specification (including notation changes for factors (data model and XML).

### **1.3.2 Advice about assessment factors changes**

Star Chamber have agreed to changes to the list of factors identified at the end of assessment in the 2016 to 2017 children in need census (as shown below). The CBDS RFC process has been completed and RFC 845 will be published on the web and notified to suppliers in the usual way. Feedback was received that indicated the re use of code 8A may cause difficulties for data providers and issues for some software systems. Therefore, the code set below replaces the one previously advised and will take effect from 1 April 2016. Local authorities will be advised that the 8A code should only be used from 1 April 2016 if the new break down codes are not yet available to them. Collect reports have a character limit so the full descriptions for the break down codes will be provided in local authority guide information, but the shorter descriptions will be in CBDS. Suppliers are free to select either or both descriptions for their purposes. The description for code 8A remains unchanged.

The new CBDS data item reference for the 2016 to 2017 census is 100582. The new code set reference is D00259. CBDS has been updated to show that these references will supersede the old ones from 1 April 2016 onwards. The XML structure has been updated, as have validation rules 8897, 8614, 8898, 8899Q, 8869, 8873. New codes 22A and 23A remain as stated in version 1.0 of the specification.

The finalised code set with long descriptions is as follows:

8A Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child.

8B Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child - Overseas children who intend to return

8C Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child - Overseas children who intend to stay

8D Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child - UK children in educational placements

8E Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child - UK children making alternative family arrangements

8F Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child – Other.

The finalised code set with truncated descriptions is as follows:

8A Privately fostered: concerns that services may be required or the child may be at risk as a privately fostered child.

8B Privately fostered: Overseas child who intend to return

8C Privately fostered: Overseas child who intend to stay

8D Privately fostered: UK child in educational placements

8E Privately fostered: UK child making alternative arrangement

8F Privately fostered: Other

There are also two additional factors identified at the end of assessment in the 2016 to 2017 children in need census. These are factor '22A – female genital mutilation' and factor '23A – abuse linked to faith or belief'.

### **1.3.3 Additional validation rule**

A new rule has been added for version 1-2 of the Annex A validation rules (8617Q – which checks the use of assessment factor code 8A). This was by agreement to RFC 853. Notes for COLLECT developers have also been added for rules 8820 and 8816.

## **1.4 Definitions**

**MIS:** Within this document the term MIS (management information systems) is used in a generic sense as the source system, or systems, where the data are normally maintained

and from where they are exported. In most cases this will be the authority's social care electronic case management system.

**Census year:** Within this document census year always refers to the period 1 April 2016 through 31 March 2017, inclusive.

## **1.5 Important note on this version**

Version 1.0 is the base-lined version of the 2016 to 2017 specification.

## **2 Assumptions**

Assumptions made in creating this specification:

- A1 Each LA will provide a single file containing all data.**
- A2 Where appropriate the data specification has used e-Gif data standards**
- A3 The census will use COLLECT as the data collection mechanism**
- A4 DfE will only accept submissions in XML format**
- A5 For most local authorities the electronic case management system will be the primary source of data**



### **3 Coverage and timings**

To achieve the above all local authorities will be required to capture the data attributes specified for the year from 1 April 2016 until 31 March 2017 inclusive. Submission of data to DfE will occur between 1 April and 28 July 2017. Local authorities will have a return loaded into Collect by 30 June 2017, however further cleaning of returns can continue until the end of July 2017.

## **4 Data standards**

It is the long-term strategy of the department to adopt the e-GIF standards to support the transfer of data across other public sector bodies and government departments. This specification has been developed with those standards in mind; where deviations occur explanation notes have been provided.

## **5 Structure and guidance**

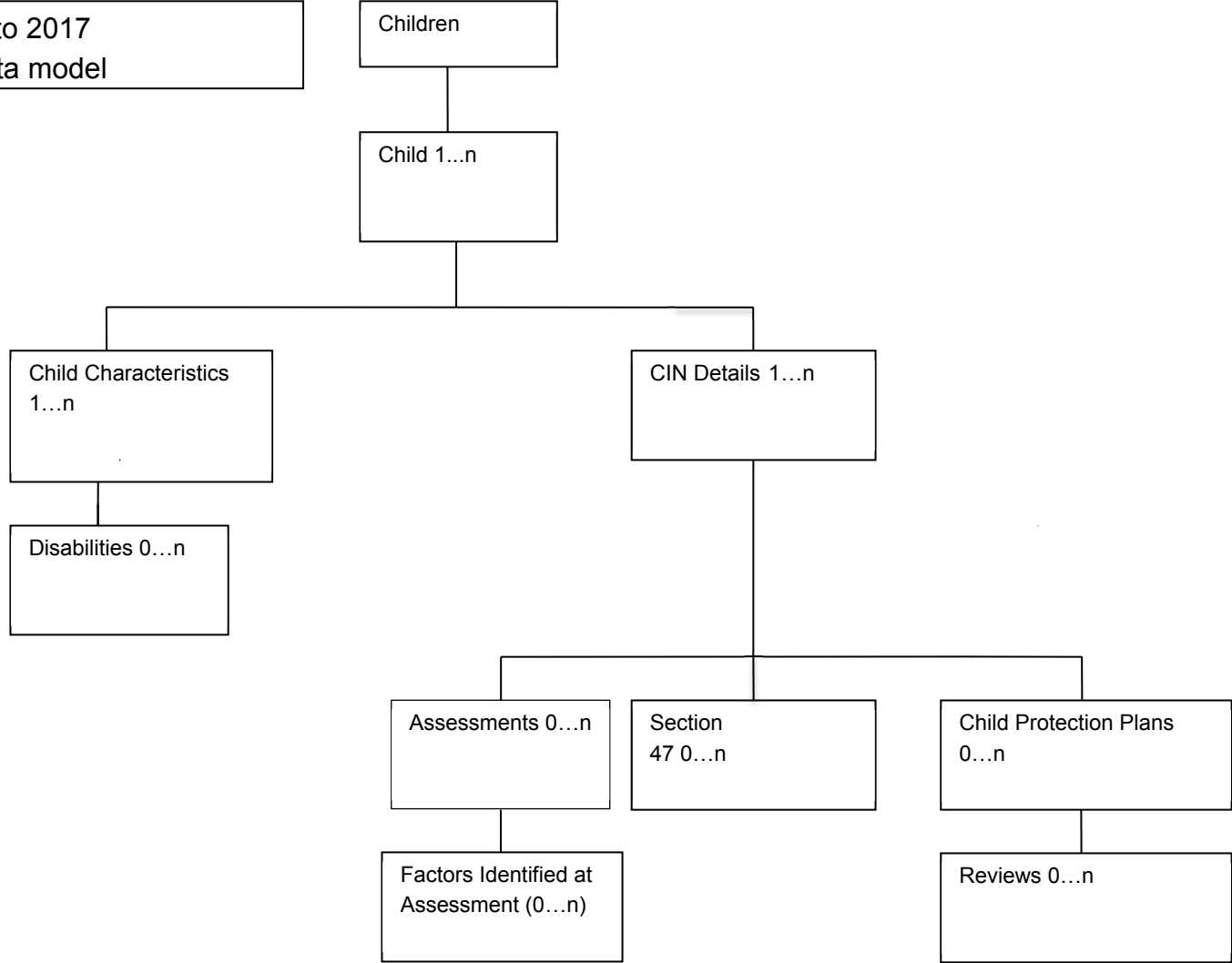
Data items have been included in the same containers (modules) as those used for CBDS and school census for consistency purposes. For example, gender conceptually belongs to the child identifiers module. So gender is one data item (amongst others) within the child identifiers module.

### **5.1 Child level**

The children in need census for 2016 to 2017 will contain the modules: child identifiers, child characteristics, children in need details, and child protection plans. Each module is described in the following paragraphs.

The number of instances of each module per child is shown in the following CIN 2016 to 2017 logical data model. (Please note that the instance numbering does not apply to the exceptions noted at 5.6.)

CIN 2016 to 2017  
Logical data model



## 5.2 Child identifiers

### Module description:

A set of standard identifiers, required to identify children and to match children from the CIN Census to the SSDA903 return (on children looked after) and to the National Pupil Database.

### Module composition:

This contains the standard identifiers (LAchild ID, UPN, DOB and gender). The UPN should be provided as well as the LAchild ID to provide a primary and secondary key (as the UPN will not be available for some children). The LAchild ID is as defined in SSDA903 (children looked after collection). It is unique within the return from one local authority.

Where the child is under 6 years old the UPN is not required (but may be provided if available). However children of school age are expected to have a UPN. The UPN is optional for referral no further action cases. UPN unknown is optional but allows local authorities to include a reason for a missing UPN within the return preventing queries after the data has been submitted. The specification includes validation that will show a query for every instance of a missing UPN for a child 6 years old unless a UPN unknown reason is provided. Those local authorities not returning UPN unknown reason should provide a return level note to explain why UPNs are missing.

**NB: UPN unknown information remains optional on the basis of evidence gathered from the 2010 to 2011 census.**

Date of birth is mandatory for all children born before 1 April 2017 and the expected date of birth is mandatory for unborn children (see paragraph 5.6 for more details). Please note that users may wish to retain the expected date of birth on their systems, but it must not be included within the census return if the date of birth is present, see also validation rule 8525 in section 6.4 below.

A date of death item is required (where applicable) as it shows where services continue to be provided after a child has died. The final case closure date should also be provided; this may be after the date of death if the case remains open for investigation and review procedures after the child dies.

### Cases to include:

Provide one record per child in scope.

## 5.3 Child characteristics

### Module description:

This module includes the child's ethnicity and disability.

**Module composition:**

The ethnicity data item uses the coding specified in the CBDS.

Children should be reported as disabled if they are disabled under the Disability Discrimination Act 2005. Multiple disabilities should be recorded if applicable. An entry of 'none' should be recorded if the child has no disability.

Feedback in the past has been that some local authorities have had difficulty providing the specific disability type, although MI systems should more easily be able to tell whether a child has a disability or not. If this is the case for your authority, as for 2015 to 2016 collection, we will continue to allow local authorities to record all children with a disability under the code 'DDA' (other DDA). If you do this, you need to make it clear in your COLLECT notes that this has been done so we can analyse the data appropriately.

**Cases to include:**

Provide one record per child.

## 5.4 CIN details

**Module description:**

This module contains information on all CIN episodes open during the census year including primary need code, referral and closure dates, and source of referral.

A child can have more than one episode of need in the year. This module, therefore, must include details for each of the CIN episodes active or reviewed during the period. This includes episodes that started prior to the data collection period, but that remained open at 1 April 2016. The section on 'cases to include' below provides full rules to identify all cases in scope.

**Module composition:**

For the minimum data required in this module, please see notes at the end of this section.

The data item, referral no further action, is included in this module. Where no action is taken the flag should be set to true or 1, otherwise set the flag to false or 0. Section 5.6 describes what should be included in other modules in this case.

Reason for closure code (RC8) is included for 'case closed after assessment, no further action'. This will allow local authorities correctly to categorise a case for children who they assess, but for whom they do not provide services and whose case is closed. (This is different from cases that were closed at the referral stage when the referral no further action flag is used – see previous paragraph. Code RC8 should not be used for cases that were closed prior to assessment).

For each new referral dated 1 April 2013 onwards, the source of referral must be recorded from a 'pick list' of sources codes. Only one category may be picked from the list. Where there is more than one referral for the same child on the same day, the first referral should be recorded and it is this referral source that should be recorded for the census. Sources of subsequent referrals should be recorded separately i.e. in relation to the specific referral. The data should be returned each year the episode remains open. In future censuses we would like to collect this data only in the year the referral was made, however we will need to monitor matching rates between CIN censuses until the matching rate is good enough for this to be done.

### **5.4.1 Assessments group**

The group consists of:

- Assessment actual start date
- Assessment internal review date (optional)
- Assessment authorisation date
- Factors identified at assessment

Local authorities carrying out continuous assessments can record their data appropriately in the assessment module. Any local authorities that are still carrying out initial and core assessments will have to adapt their data to fit the data structure of one assessment module. If only an initial assessment was conducted, the date the initial assessment started should be entered as the assessment actual start date, and the date the initial assessment was authorised as the assessment authorisation date.

If both an initial and core assessment were completed, the date the initial assessment started should be entered as the assessment actual start date and the date the core assessment was authorised as the assessment authorisation date.

If only a core assessment was completed with no prior initial assessment, the date the core assessment started should be entered as the assessment actual start date and the date the core assessment was authorised as the assessment authorisation date.

The assessment actual start date must be filled in for all assessments groups. If the assessment authorisation date falls after the end of the census year, it should be left blank.

The 'factors identified at assessment' module within the assessments module, allows for multiple contributing factors to be recorded per assessment. All parental or child factors that are known about at the end of the assessment which compromise the ability to parent, or are potential risk factors, should be recorded. This applies to all assessments completed within the 2016 to 2017 year. The information should be recorded at the end of the assessment (initial assessment, core assessment or continuous assessment

depending on the local assessment protocol) and all relevant factors should be reported from the list provided.

**Note:** The `factors` CBDS data item reference and associated code set have changed for the 2016 to 2017 census and beyond. Please see main changes paragraph 1.3.2.

**Note:** Assessments should be completed within 45 working days of referral. Internal review dates are optional and will be determined locally by the needs of the child and the nature and level of the harm being suffered.

### 5.4.2 Section 47 enquiries group

During section 47 enquiries an initial child protection conference, if held, should take place within 15 working days of the start of the section 47 enquiry.

The group consists of:

- Section 47 enquiry actual start date
- Initial child protection conference target date (optional)
- Date of initial child protection conference
- ICPC not required

Each section 47 group will comprise one of the following:

|  |  |
|--|--|
| <p>Either <b>type 1</b>:</p> <p>For a section 47 enquiry that does not lead to any further action</p>                  | <ul style="list-style-type: none"> <li>- the section 47 enquiry actual start date</li> <li>- the ICPC not required flag with a value of "true" or "1"</li> </ul>   |
| <p>or <b>type 2</b>:</p> <p>For a section 47 enquiry where the initial child protection conference has taken place</p> | <ul style="list-style-type: none"> <li>- the section 47 enquiry actual start date</li> <li>- the initial child protection conference target date (optional)</li> <li>- the date of initial child protection conference</li> <li>- the ICPC not required flag with a value of "false" or "0"</li> </ul> |



|  |   |
|--|---|
| <p><b>or type 3:</b></p> <p>For a section 47 enquiry that the ICPC has not yet taken place</p> | <ul style="list-style-type: none"> <li>- the section 47 enquiry actual start date</li> <li>- the initial child protection conference target date (optional)</li> <li>- the ICPC not required flag with a value of "false" or "0"</li> </ul> |
|--|---|

**Note:** The initial child protection conference target date (optional data) should be 15 working days after the section 47 enquiry start date.

**Note:** In the instance type 2 above, the date of initial child protection conference should only be completed in the section 47 group and not in the instance in the CIN details module. The instance in the CIN details module should **only** be used when a child who is the subject of an existing child protection plan transfers into your authority (see also section 5.6).

**Cases to include:**

The principle reason for including an episode is that it is active at some point during the census year.

The return must include at least one CIN details module per child. The following episodes should be included:

- a) if the episode is open at 1 April 2016; or
- b) if the referral date occurs within the census year:

For a) and b) include referrals where no further action was taken.

The items to populate for each episode vary depending on which of the above criteria has resulted in their inclusion, see notes below.

Where criteria a) or b) above mean that an episode is included, then all the dates that allow any relevant key indicators to be calculated must be included. This means that if:

- an assessment starts and/or ends within the census period, the assessments group must be completed
- a section 47 enquiry starts and/or ends within the census period, the section 47 enquiries group must be completed, including any dates prior to 1 April 2016.

Although the above groups may include dates prior to April 2016, they must not include dates after 31 March 2017 apart from target end dates and internal review dates.

**Notes:**

Primary need code N0 was devised to distinguish children whose case is closed after assessment and no further action taken, from children in need. However, local practitioners may assign a need code to children at the start of assessment and not change it (as the closure itself would indicate the child was not a child in need). For this reason, primary need codes other than N0 (not stated) are possible for RNFA cases and the validation will check for a valid or missing code.

The department’s guidance allows for referrals to be followed by more than one assessment , or more than one section 47 enquiry. For this reason, the assessment group may repeat within the census’s data structure so that multiple instances can be included. Please note however that these activities should not overlap, i.e. a second assessment should not be started if an extant assessment is in progress. The census will validate the data provided and query any overlaps that are included.

The department’s guidance allows for variations in process. The following is therefore the minimum valid content for one instance of the CIN details module.

In each instance, a ‘referral’ is a request for services from someone not currently in receipt of services from the local authority. Do not include new information received on already open cases as a referral.

|  |   |
|--|---|
| <p>either <b>option A:</b></p> <p>For a 2016 to 2017 referral that leads to further action</p>         | <ul style="list-style-type: none"> <li>- the referral date</li> <li>- the primary need code</li> <li>- one assessment actual start date,</li> <li>- the referral no further action flag with a value of “false” or “0”</li> <li>- source of referral</li> </ul> |
| <p>or <b>option B:</b></p> <p>For a 2016 to 2017 referral that does not lead to any further action</p> | <ul style="list-style-type: none"> <li>- the referral date</li> <li>- the referral no further action flag with a value of “true” or “1”</li> <li>- source of referral</li> </ul>  |

**Note:** for option B, a ‘no further action’ case is only where the initial consideration of the referral means that no action is taken. This is not the same as a case that is closed following assessment. These cases should use RC8 and set referral no further action flag to “false”.

**General notes on dates:**

'Actual start dates' are the date the assessment actually started and these can be any day (working or not).

The census only asks for dates, and not times.

Referral dates and CIN closure dates can be any day (working day or not).

Some MI systems allow local authorities to record extra statutory days (ESD) as additional holidays. The DfE should be informed of any ESD so that they can be taken into account in calculations and validations. These can be regarded as non-working days and excluded from any working day calculation, as long as the ESD is implemented locally as a non-working day across the authority. In those authorities where one or both of the ESDs are taken at the choice of individual members of staff, ESDs should not be taken into account.

**Additional information on target dates:**

The return of assessment target dates is no longer required due to the removal of initial and core assessment modules. The internal review point date in the assessments module remains optional as in 2015 to 2016. Return of ICPC target date also remains optional.

The majority of local authorities will expect their MIS to calculate target dates automatically either as part of the system's workflow or as a reporting function when extracting data for the census. In calculating target dates the following points should be taken into account:

- Non-working days such as bank holidays or extra statutory days are treated the same as weekends in any working day calculation;
- Working days are evaluated as whole days. This means that the target date does not take into account the time of day on which the activity started. Close of business on the target day is the time by which the activity would be expected to be completed;
- Some target dates will fall beyond the end of the census year. These should still be included.
- Internal review date on the assessment module should be the local authority's own locally set date.

The date of the child protection conference appears twice within the XML file. In most cases the conference will be held as part of a section 47 enquiry and the data should be shown within the section 47 group and should not be included at the CIN details level. For a 'transfer in' case, the date of initial child protection conference should appear at the CIN details level only and not within the section 47 group (see 5.6D note b).

The assessment authorisation date should be the date an assessment was authorised by the team manager and this can be any day (working or not). Assessments are deemed to be completed once the assessment has been discussed with the child's family (or carers) and the team manager has viewed and authorised the assessment.

## 5.5 Child protection plans

### Module description:

This module contains information on child protection plans (CPP). A child can have one, more than one or no child protection plans, but can only have one at a time. A child not in need cannot have a CPP.

### Module composition:

**a)** The CPP start date, the initial and latest category of abuse, the CPP end date, plan review date, seen by social worker, and the number of previous child protection plans.

**b)** The specification allows more than one plan review date to be provided. All reviews within the year should be included along with, for cases open at 1 April 2016, the last review date in 2015 to 2016. (The final review date in 2015 to 2016 is required to calculate whether all reviews in 2016 to 2017 were carried out within the required timescales.)

**c)** Initial category of abuse and latest category of abuse. If the case is closed, the latest category of abuse should be taken as when the case closed or if the case is ongoing, it should be as at 31 March 2017. The initial category of abuse records the assessment made at the time the plan commenced, and does not change. Both items use the same code set.

**d)** Seen social worker: For all child protection plans which were open at 1 April 2016 or which started on or after 1 April 2016, a record should be made of whether the child has been seen in accordance with the timescales specified within their plan, by the lead social worker. This should be recorded only once. Enter 1 (or true) if on all occasions during the year the child was seen in accordance with the timescales specified in the plan. Enter 0 (or false) if on some or all occasions the child was not seen in accordance with the timescales specified in the plan.

**e)** This module is repeatable.

### Cases to include:

This module is required where any of the following conditions apply:

- the child protection plan start date or end date fall within the census year

- the plan was already open at the start of the year, i.e. there is a child protection plan start date, even if it is outside the census year, and no child protection plan end date.
- If neither of the above applies the module may be omitted.

**Notes:**

A child can have more than one CPP, but these plans should not overlap, i.e. a second CPP should not be started if an extant CPP is ongoing. The census will validate the data provided and query any overlaps that are included.

The CPR3 return included numbers of children by placement code and legal status (part B, tables 3 & 4). These items only apply to looked-after children. DFE will replicate these aggregates by matching CIN data to the SSDA903 and hence these data items are not included in the CIN census.

## 5.6 Variations

The paragraphs above describe most records within the return. Providers are asked to note the following four variations in the requirement:

**A)** For an unborn child the following requirements apply:

- applicable data are LAchild ID; expected date of birth; gender; ethnicity; CIN details (all fields); child protection plans (all fields);
- Gender should = 0 (not known/unborn);
- Ethnicity should be NOBT (information not yet obtained);
- Disability information is not required;
- Please note that it is possible that there is more than one unborn child with the same details other than the LAchild ID.

**B)** If a looked after child is adopted during the collection year and the child remains a child in need, the local authority must submit two separate unlinked records for that child.

- The first (pre-adoption) record should record the child's CIN details as they were when they were a looked after child:
  - CIN closure date will match the date of the court's adoption order;
  - Reason for closure will contain code RC1 (adopted).
- The second (post-adoption) record for that same child must contain new child identifiers:
  - A new LAchild ID;
  - A new UPN which should have been assigned to the child by the school. Do not record the child's pre-adoption UPN under former UPN;

- Referral date will match the date of the court's adoption order.

**Notes:**

**a)** if a looked after child is adopted and at that point ceases to be a child in need then the second, post-adoption record is not necessary. If a child doesn't remain in need the CIN closure date can be up to a month after the adoption date;

**b)** the second (post-adoption) record-type could continue to be provided in subsequent years, if the child continues to remain in need.

**c)** If a referral is received about a child, but no action is taken, then the following requirements apply:

- The Child identifiers module should contain:
  - LAchild ID;
  - Date of birth or expected date of birth;
  - Gender
- The child characteristics module should contain:
  - Child ethnicity
- One CIN details module should be supplied containing:
  - Referral date;
  - Referral no further action flag with a value of "true" or "1".
  - Source of referral

There should be no other activities recorded in the CIN details module.

As with a referral that leads to action, if a single referral is about more than one child, then a separate record is required for each child.

**d)** If a child moves permanently into your authority, having been the subject of a child protection plan in another local authority (sometimes referred to as transfers in), the data requirements are:

- Apart from CIN details, all modules are required in full including details of the new CPP
- For the CIN details module, the following items only are required:
  - In all cases, referral date, primary need code, referral no further action with the value of "false" or "0"

- If the case was closed during the census year the CIN closure date and reason for closure are also required
- The initial ICPC date must be completed within the CIN details module, and not in the S47 module.

**Notes:**

**a)** The referral date should be the date on which formal notification is received from the originating local authority.

**b)** The receiving local authority should convene a child protection conference within 15 working days of being notified of the move (i.e. referral date). The date of this child protection conference should be recorded within the CIN details group and not within the section 47 group. This is to allow us to distinguish between conferences due to a child moving and other conferences.

**c)** if notification is received from another local authority of a child in need who has not been the subject of a child protection plan, then the case is treated as any other referral for the purposes of the CIN census, and information on assessments and section 47 enquires are required as described in section 5.4.

## **5.7 Summary of cases to be included**

This section provides a full summary of the inclusion criteria described above.

If a child is in scope then the child identifiers, child characteristics and children in need details modules must all be provided. A child is in scope if one or more of the following apply:

**a)** there are CIN episodes where:

- one or more of the key dates fall within the census year:
- the episode is open at start of year

**b)** the child is the subject of one or more child protection plans at any point during the year, i.e.

- the child protection plan start date or end date fall within the census year
- the plan is open, i.e. there is a child protection plan start date, even if it is outside the census year, and no child protection plan end date. This will include review dates.

(NB: if a child receives a service or is subject of a child protection plan, they must be in need for the duration of the service or plan)

c) the child was the subject of a referral, but after initial consideration no action was taken.



## 6 Local authority data returns

### 6.1 Data return formats

A submission file from a local authority should be provided in a XML file structure as described below. Within XML, an item or module that is omitted (e.g. UPN or child protection plan module) should not show any tags.

### 6.2 Header details

Section 6.3 describes formats for the return of the data in XML format. The data items required within the header are as follows. (The header follows the DFE standard header for data collections, although <Term> and <Estab> are omitted as not relevant to this census.)

**Collection Name** (<Collection>, 800001) will be 'CIN'; **Description: Name of the data collection, e.g. CIN.**

**Year** (<Year>, 800003) will be '2017' **Description: The year of the collection.**

**Reference Date** (<ReferenceDate>, 800004) will be '2017-03-31' **Description: The reference date is normally the day of the census or collection. It is used as the baseline date from which comparisons with other dates in the return can be made.**

**Source Level** will be 'L'; **Description: Should be set to L for a local authority system**

**LA** (<LEA>, 200001) is the LA Number. **Description: Three digit local authority number as used by education departments.**

**Software Code** (<SoftwareCode>) suppliers may use their own system name, or used a value of 'Local Authority'; **Description: Software product identification.**

**Release** (<Release>), optional free-text item which suppliers are requested to use if possible. In some cases it is useful to trace problems with returns back to specific software releases, e.g. where upgrades have been provided but not installed;

**Description: Software release number.**

**Serial No** (<SerialNo>) 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>) will be 'Child' **Description: Shows which of the defined CBDS levels are present within a data return.**

## 6.3 XML schema

### 6.3.1 XML format submission

An XML submission will be a single message consisting of

- a header;
- a series of repeated nodes containing data on one or more funded children

| <b>CIN census 2017 – overall message structure</b> |                                  |
|--|----------------------------------|
|  | <Message>                        |
|  | <Header> - see below for details |
|  | <Children>                       |
|  | </Message>                       |

### 6.3.2 XML header

A standard XML message header is required for each census file. The data items should be populated according to the guide in 6.2:

| <b>Children in need census 2017 - header structure</b> |  |
|--|--|
|  | <Header>                                     |
|  | <CollectionDetails>                          |
| 800001   | <Collection>CIN</Collection>                 |
| 800003   | <Year>2017</Year>                            |
| 800004   | <ReferenceDate>2017-03-31</ReferenceDate>    |
|  | </CollectionDetails>                         |
|  | <Source>                                     |
|  | <SourceLevel>L</SourceLevel>                 |
| 200001   | <LEA>201</LEA>                               |
|  | <SoftwareCode>Local Authority</SoftwareCode> |
|  | <Release>ver 3.1.17</Release>                |
|  | <SerialNo>001</SerialNo>                     |
| 800010   | <DateTime>2017-05-23T11:14:05</DateTime>     |
|  | </Source>                                    |
|  | <Content>                                    |
|  | <CBDSLevels>                                 |
|  | <CBDSLevel>Child</CBDSLevel>                 |
|  | </CBDSLevels>                                |

|  |            |
|--|------------|
|  | </Content> |
|  | </Header>  |

Standard CBDS header items <Term> and <Estab> are not shown above. These items are not required in this data collection and should be omitted by suppliers.

### 6.3.3 Child XML message structure

| Children in need census 2017 – child XML message structure |   |   |
|--|---|---|
| CBDS No  | XML element   | Cardinality / notes   |
|  |   | Note: This column contains notes on repetition. Item level elements can be assumed to occur once only, unless otherwise stated. |
|  | <Children>  |   |
|  | <Child>   | Each <Children> group contains 1..n <Child> groups  |
|  | <ChildIdentifiers>  | Each <Child> group contains one and only one <ChildIdentifiers> group   |
| 100379   | <LAchildID>AB9999</LAchildID>                                 |   |
| 100001   | <UPN> A123456789123</UPN>                                     |   |
| 100002   | <FormerUPN> X98765432123B </FormerUPN>                        |   |
| 100468   | <UPNunknown>UN3</UPNunknown>                                  |   |
| 100292   | <PersonBirthDate>1066-03-24</PersonBirthDate>                 | Should complete either Date of Birth or Expected Date of Birth but not both   |
| 100380   | <ExpectedPersonBirthDate>1066-04-13</ExpectedPersonBirthDate> | Should complete either Date of Birth or Expected Date of Birth but not both   |

| Children in need census 2017 – child XML message structure |   |  |
|--|---|--|
| CBDS No  | XML element                                   | Cardinality / notes  |
| 100287   | <GenderCurrent>1</GenderCurrent>              |  |
| 100400   | <PersonDeathDate>1080-10-08</PersonDeathDate> |  |
|  | </ChildIdentifiers>                           |  |
|  | <ChildCharacteristics>                        | Each <Child> group contains one and only one <ChildCharacteristics> group  |
| 100563   | <Ethnicity>WBRI</Ethnicity>                   |  |
|  | <Disabilities>                                | Each <ChildCharacteristics> group contains 0..1 <Disabilities> group <i>Note:</i> Only unborn children should have no Disabilities group |
| 100385   | <Disability>HAND</Disability>                 | Each <Disabilities> group contains 1..n <Disability> item. (NB: a single value of NONE appears if the child has no disabilities.         |
|  | </Disabilities>                               |  |
|  | </ChildCharacteristics>                       |  |
|  | <CINdetails>                                  | Each <Child> group contains 1..n <CINdetails> group  |
| 100386   | <CINreferralDate>1070-10-06</CINreferralDate> |  |
| 100505   | <ReferralSource>1A</ReferralSource>           | One and only one category  |
| 100387   | <PrimaryNeedCode>N4</PrimaryNeedCode>         |  |

| Children in need census 2017 – child XML message structure |   |   |
|--|---|---|
| CBDS No  | XML element   | Cardinality / notes   |
| 100388   | <CINclosureDate>1071-02-27</CINclosureDate>                             |   |
| 100389   | <ReasonForClosure>RC1</ReasonForClosure>                                |   |
| 100409   | <DateOfInitialCPC>1070-12-06</DateOfInitialCPC>                         | Only to be used in this module for 'Transfers In'   |
|  | <Assessments>   | Each <CINDetails> group contains 0..n <Assessments> groups  |
| 100529   | <AssessmentActualStartDate>1070-06-03</AssessmentActualStartDate>       |   |
| 100531   | <AssessmentInternalReviewDate>1070-06-22</AssessmentInternalReviewDate> |   |
| 100530   | <AssessmentAuthorisationDate>1071-07-18</AssessmentAuthorisationDate>   |   |
|  | <FactorsIdentifiedAtAssessment>   |   |
| 100582   | <AssessmentFactors>2A</AssessmentFactors>                               | Each <FactorsIdentifiedAtAssessment> group contains 0..n <AssessmentFactors> items. Note: New CBDS factors code set is D00259 |
|  | </FactorsIdentifiedAt Assessment>                                       |   |
|  | <Assessments>   |   |

| Children in need census 2017 – child XML message structure |  |  |
|--|--|--|
| CBDS No  | XML element  | Cardinality / notes  |
|  | <Section47>  | Each <CINdetails> group contains 0..n <Section47> groups             |
| 100499   | <S47ActualStartDate>1070-06-02</S47ActualStartDate>  |  |
| 100408   | <InitialCPCtarget>1070-06-23</InitialCPCtarget>      |  |
| 100409   | <DateOfInitialCPC>1070-06-17</DateOfInitialCPC>      | To be used in this module for all cases except 'Transfers In'        |
| 100410   | <ICPCnotRequired>>false</ICPCnotRequired>            |  |
|  | </Section47>   |  |
| 100411   | <ReferralNFA>>false</ReferralNFA>                    |  |
|  | <ChildProtectionPlans>                               | Each <CINdetails> group contains 0..n <ChildProtectionPlans> groups. |
| 100395   | <CPPstartDate>1070-02-17</CPPstartDate>              |  |
| 100414   | <CPPendDate>1071-03-14</CPPendDate>                  |  |
| 100412   | <InitialCategoryOfAbuse>PHY</InitialCategoryOfAbuse> |  |
| 100413   | <LatestCategoryOfAbuse>PHY</LatestCategoryOfAbuse>   |  |
| 100397   | <NumberOfPreviousCPP>10</NumberOfPreviousCPP>        |  |

| Children in need census 2017 – child XML message structure |   |   |
|--|---|---|
| CBDS No  | XML element                               | Cardinality / notes   |
| 100506   | <SeenSocialWorker>True</SeenSocialWorker> | Must be 1 or 0, True or False                                   |
|  | <Reviews>                                 | Each <ChildProtectionPlans> group contains 0..1 <Reviews> group |
| 100415   | <CPPreviewDate>1071-02-15</CPPreviewDate> | Each <Reviews> group contains 1..n <CPPreviewDate> items.       |
|  | </Reviews>                                |   |
|  | </ChildProtectionPlans>                   |   |
|  | </CINdetails>                             |   |
|  | </Child>                                  |   |
|  | </Children>                               |   |



### 6.3.4 Special notes for XML returns

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

| Character                     | Entity reference |
|-------------------------------|------------------|
| Ampersand (&)                 | &amp;            |
| Left Angle Bracket (<)        | &lt;             |
| Right Angle Bracket (>)       | &gt;             |
| Single Quote / Apostrophe (') | &apos;           |
| Double Quotes (“              | &quot;           |

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 <http://www.w3.org/TR/2004/REC-xml-20040204/>, section 2.2.

There is no naming convention for the XML file; however we recommend that the name should be meaningful to a user attempting to locate the file. Spaces in the file name are not a problem. The file extension should be .xml.

## 6.4 Data validation rules

This section specifies validation rules that are applied to the data by DFE, using COLLECT. 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. Validation rules are supplied in Annex A, which is an Excel spreadsheet provided alongside the main specification. 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 (e.g. child's UPN). The spreadsheet (Annex A) also shows which validations are errors and which ones are queries. An error is a failed validation check that must be corrected. A query is one which must be investigated, and potentially corrected, as it identifies data that would usually be invalid. Where a validation rule is identical to one that is specified for the school census or school workforce collections, the same sequence number is used. Otherwise, new sequence numbers are used.

Where an item occurs more than once for the same child suppliers must ensure that the validation checks against that item are applied to each instance. This should happen whether the item recurs multiple times within a single module, e.g., <Disability>, or the item is within a module that may occur more than once, e.g., <CINdetails>.

Syntax:

- Validation checks are expressed as conditions that must be true (errors) or that should be true (queries). The error message shows what is displayed if the condition fails
- data items are indicated using the XML tag with the CBDS number in parentheses, for example <LAchildID> (100379)
- data groups are indicated using the XML tag only, for example <Assessments>
- single dates or date ranges are sometimes defined in relation to <ReferenceDate>, which is from the XML header
- date ranges also use [Start\_of\_Census\_Year], which is not an item within the XML, but which has a constant value for this census of 2016-04-01. If this is calculated as (<ReferenceDate> minus one year plus one day) within MIS systems, then this will future proof some of the validation, since the reference date for CIN will always be the 31 March at the end of the census year.
- date ranges also use [Period\_of\_Census], which is not an item within the XML, but which has a constant value for this census of 2016-04-01 to 2017-03-31 inclusive.
- Notes, in italics, are explanatory and non-normative.

**NB: PLEASE NOTE THERE SHOULD BE NO NEGATIVE VALUES ALLOWED**

## 6.5 Re-submission guidance

When re-submissions are required the serial number in the header must be incremented by the provider's software. We have also assumed that the whole file will be re-submitted. Note that a re-submission will delete and replace all the data contained in the previous submission.

## Version history:

|      |  |   |
|------|--|---|
| V0-1 | <p>Initial QA version. Main changes are highlighted in yellow:</p> <p>Dates updated all through</p> <p>Annex A; data validation rules: Rule 8869 has been amended. Rule 8871 has been removed. New rule 8873 has been added.</p>   | Alan Brooks: DDU;<br>DfE – September 2015 |
| V1-0 | <p>Baselined version. Main changes are noted in section 1.3 (including for validation rules in Annex A).</p> <p>NB: Changes agreed via 2015-16 RFC 842 (plus the change to notation for factors) have been included in this specification.</p>   | Alan Brooks: DDU;<br>DfE – October 2015   |
| V1-1 | <p>This version has been updated in line with CBDS RFC 845.</p> <p>The changes are described in full in paragraph 1.3.2. They include the breakdown of the private fostering codes in the factors at assessment code set, and the addition of two new codes for new factors. The new CBDS data item reference (100582) has been provided in the XML structure (and in validation rules that are affected in Annex A: 8897, 8614, 8898, 8899Q, 8869, 8873). The new code set reference (D00259) has also been provided in the XML structure and validation rules.</p> | Alan Brooks: DDU;<br>DfE – November 2015  |
| V1-2 | <p>This version has been issued to keep main specification and validation versions in line, and to highlight that a new rule has been added for version 1-2 of the Annex A validation rules via RFC 853 (8617Q – which checks the use of assessment factor code 8A). Notes for COLLECT developers have also been added for rules 8820 and 8816.</p>  | Alan Brooks: DDU;<br>DfE – November 2015  |



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