



Department
for Education

SEN2 person level 2023

Technical specification v1.1

October 2022

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Version history

Version number	Update	Author, team and date
V0.1	General roll forward	Alan Brooks, DOT, May 2022
V0.2	<p>Updates follow internal QA and feedback from external partners.</p> <p>Please see 'main changes' section (para 1.6)</p> <p>Specification:</p> <p>'Definitions' and para 1.2 – amended to indicate a statutory collection.</p> <p>Section 1 (Introduction) – statutory and background information amended.</p> <p>Section 1.3 – summary of cases to be included: para 1.3.3, 1.3.4 and 1.3.7 information updated.</p> <p>Logical model updated with 'placements' (para 1.3 and 1.3.8) and a note</p> <p>Para 1.5.3 – 'responsible for information' link updated.</p> <p>Section 2.1 – person details – module composition information amended.</p> <p>Section 2.2 – requests for EHC needs assessment – module composition and cases to include information amended</p> <p>Section 2.3 – EHC needs assessments – information updated</p> <p>Section 2.4 – named plan – module composition information amended</p> <p>All through: modules and terminology have been rationalised.</p> <p>New items:</p> <p>A new item has been added to allow the return of 'other' establishments in Named Plan and Active Plan sections. This is a free text field. Please see the XML structure.</p> <p>Code sets for <RequestOutcome> (CS116), <SENSetting> (CS110) and <AssessmentOutcome> (CS109) have been amended.</p> <p>XML:</p> <p>Gender and ethnicity code set references have been added</p> <p><PlanPlacementDetail> has been renamed to <PlanDetail></p> <p><ResourcedProvisionIndicator> and <SENUnitIndicator> items have been moved into</p>	Alan Brooks, DOT, May 2022

	<p><PlanDetail> and <PlacementDetail> to link them to UPN/UKPRN.</p> <p>New free text field <SENSettingOther> has been added into the structure.</p>	
V1.0 (baseline)	<p>This is the base lined version of the specification.</p> <p>NB: the descriptions for codes in Code set CS110 (SEN Setting) have been further amended. This will be confirmed via a CBDS RFC and an updated specification will be issued when CBDS has been updated.</p>	Alan Brooks, DOT, August 2022
V1.1	<p>Updates have been agreed via CBDS RFC 1223:</p> <p>New data item; <SENSettingOther> CBDS Ref added; paragraph 3.2.2 'person XML message structure; and validation rules.</p> <p>Main changes paragraph 1.6.4 has been updated to include details of all changes agreed via CBDS RFC 1223. Section 2 modules have been noted for emphasis.</p>	Alan Brooks, DOT, September 2022

Assumptions made in creating this specification

Assumption number	Assumption description
A1	Each local authority will provide a single file containing all data
A2	The collection will use COLLECT (Collections On-line for Learning, Education, Children and Teachers) as the data collection mechanism
A3	The Department for Education (DfE) will only accept submissions in XML format

Definitions

EHC: Education, health and care plan, issued by a local authority.

MIS: Within this document the term MIS (management information system) is used in a generic sense as the source system, or systems, where the data are normally maintained and from where they are exported by the local authority. This may be the local authority's SEN or EHC plan electronic case management system.

Person: The child or young person for whom the EHC plan (or request) refers

The SEN2 person level return for 2023 is statutory and replaces the local authority aggregate level return. The aggregate level return for 2023 is not required. All EHC plans should be included in the data return

1. Introduction

SEN2 collects data about children and young people who the local authority is responsible for under section 24 of the Children and Families Act 2014. Local authorities must return their information on SEN2 in relation to every EHC plan maintained by the authority.

1.1 Purpose, scope and audience

This specification describes the person level SEN2 data collection. This data collection covers all local authorities in England and provides the only complete source of information on education, health and care plans (EHC plans).

The data collected is expected to cover all active education, health and care plans (EHC plans) as at January 2023, plans active during the calendar year but now ceased, requests and assessments handled by local authorities in the calendar year and current ongoing requests and assessments for EHC plans.

The data consists of person level information for those children and young people in scope and information about their requests for assessment, assessment process and their EHC plan if a decision to issue is reached. A local authority may continue to maintain an EHC plan for a young person until the end of the academic year during which the young person attains the age of 25.

The collection covers those children and young people with an EHC plan only. This collection should not be used to return information on school pupils with SEN support.

This document has been developed to support Department for Education (DfE) developers, local authorities and suppliers of local authority management information systems. It should be read in conjunction with:

- Common basic data set [CBDS](#) - a database comprising all levels, all data items and all code-sets within one spreadsheet. This spreadsheet makes use of filters and hyperlinks to navigate around. The filters make it possible to view extracts of the common basic data set for use in specific collections, including the SEN2 person level 2023 collection. All the items relating to this specification can be found by filtering on the column headed SEN2 2023 of the data definitions worksheet in the next version.
- Local authority guide
- Validation rules (Annex A)
- [Unique Pupil Number \(UPN\) Guidance](#)

1.2 Coverage and timings

This document specifies requirements for the 2023 SEN2 personal level data collection.

The 2023 person level collection is a statutory collection. Local authorities are requested to return all the specified data attributes for the 2022 calendar year and census date. Key dates are:

- The 2023 collection period will open on 19 January 2023 and the closing date will be the 16 March 2023. Further cleaning of data may occur following the submission date.
- The collection 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 19 January 2023.
- The 'collection year' is the calendar year preceding the census date. For the 2023 collection, the collection year is from 1 January 2022 to 31 December 2022 inclusive.
- Person level records and data collected within the collection year are to be included within the census return for census day.

1.3 Summary of cases to be included

The following cases are expected to be included.

Active EHC plans

- <StartDate> is populated and <CeaseDate> is not populated

Activity in the calendar year

- <ReceivedDate> is in calendar year, or
- <RequestOutcomeDate> is in calendar year, or
- <AssessmentOutcomeDate> is in calendar year, or
- <StartDate> is in calendar year, or
- <CeaseDate> is in calendar year

1.3.1 Active plans

Data should be returned for all EHC plans that are active at census date and any plans that were active during the collection year but have ceased. Modules 1 to 5 inclusive are expected to be completed.

1.3.2 Recently ceased plans

Data should be returned for all EHC plans that have ceased in the calendar year. Modules 1 to 5 are expected to be completed.

1.3.3 Work completed in calendar year, decision not to issue following assessment

Data should be returned for all assessments where a decision not to issue a plan has been reached. Modules 1 to 3 are expected to be completed. (Modules 4 and 5 may be completed in cases where the decision was later changed for any reason, including during mediation or over-turned at tribunal.)

Note: Completed assessments where a plan was issued are expected to be returned in active plans or ceased plans.

1.3.4 Work completed in calendar year, decision not to assess

Data should be returned for all requests to assess where a decision to not assess was reached during the calendar year. Module 1 and module 2 are expected to be completed. (Modules 3 to 5 may be completed in cases where the decision was later changed for any reason, including during mediation or at tribunal.)

1.3.5 Ongoing work – issuing stage

Data should be returned for all assessments where a decision to issue a plan has been reached but the plan has not yet been finalised. Modules 1 and 2 are expected to be complete. 'Assessment outcome - Decision to issue EHC plan' is expected to be complete as a minimum from module 3.

1.3.6 Ongoing work – assessment stage

Data should be returned for all ongoing assessments at the end of the calendar year, that is, following a decision to assess. Modules 1 and 2 are expected to be complete. 'Assessment outcome - Decision to issue EHC plan' is expected to be complete as a minimum from module 3.

1.3.7 Ongoing work – request stage

Data should be returned for all ongoing requests to assess that have yet to reach a decision to assess at the end of the calendar year. Module 1 is expected to be complete. Request outcome is expected to be complete as a minimum from module 2.

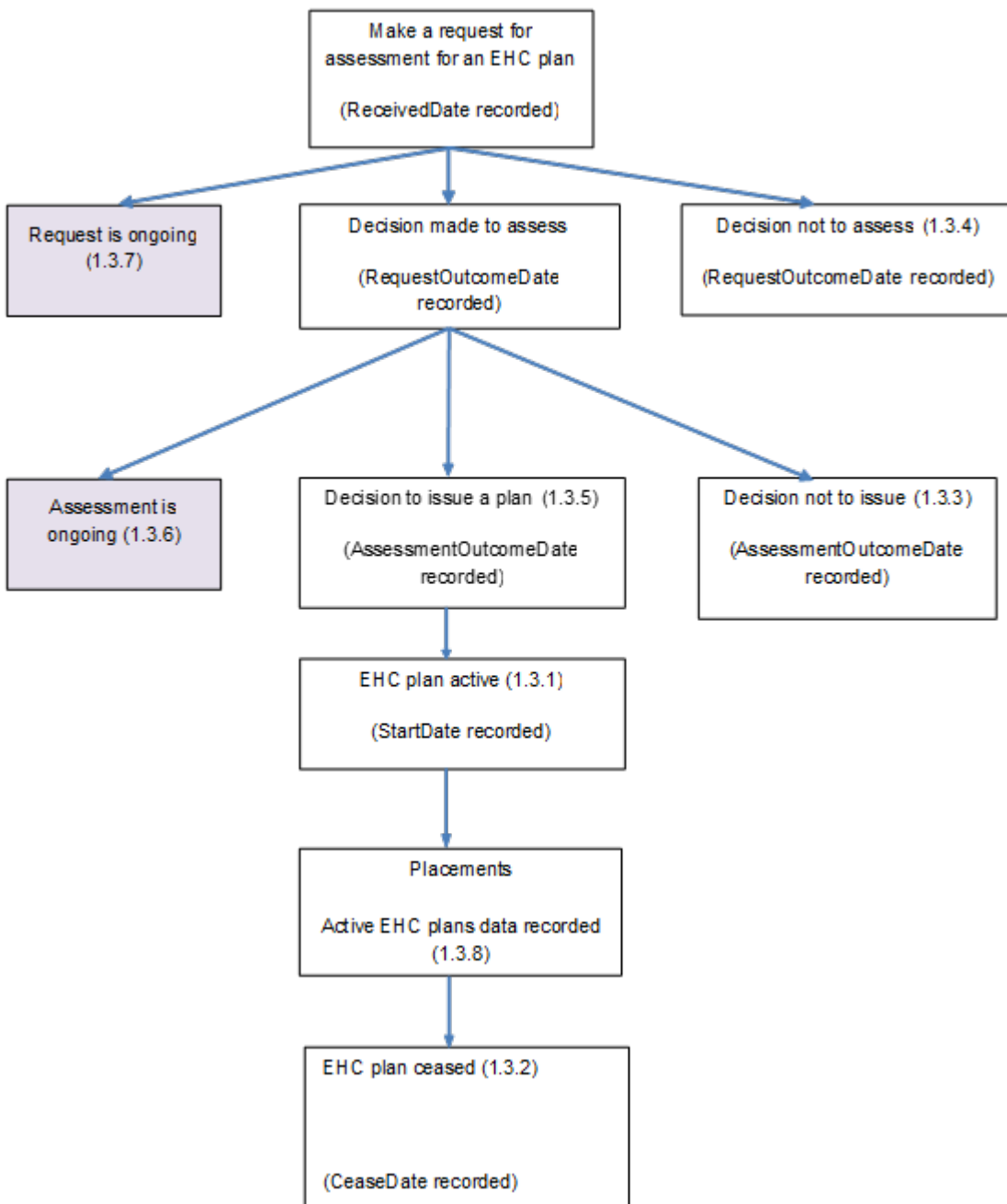
1.3.8 Placements

This active plans module should be completed for all active EHC plans on the census day and any plans that were active during the collection year but have ceased.

Logical Model

Note that it is possible for a Decision not to assess to lead to a decision on whether to issue a plan if the original decision is reconsidered, as it is also possible for a Decision not to issue a plan to lead to an EHC active plan if the original decision is reconsidered - however these are not shown on the model.

Figure 1: flow chart of the logical model



1.4 Data standards

It is the long-term strategy of DfE 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.

1.5 Data privacy

1.5.1 Data protection and data sharing

Data from which it is possible to identify children, parents and staff (in any medium, including within a MIS) is personal data.

The UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018) put in place certain safeguards regarding the use of personal data by organisations, including DfE, local authorities and schools. Both give rights to those (known as data subjects) about whom data is processed, such as children, their parents / carers and staff. This includes (amongst other information that the department is obliged to provide) the right to know:

- the types of data being held
- why it is being held
- to whom it may be communicated

As data processors and controllers in their own right, it is important that providers process all data (not just that collected for the purposes of the SEN2 data collection) in accordance with the full requirements of the UK GDPR. Further information on the UK GDPR can be found in the Information Commissioner's Office (ICO) overview of the [UK General Data Protection Regulation \(GDPR\)](#).

1.5.2 Legal duties under the UK General Data Protection Regulation and Data Protection Act 2018: privacy notices

Being transparent and providing accessible information to individuals about how you will process their personal data is a key element of UK GDPR and the DPA 2018. The most common way to provide such information is through a privacy notice. Please see the Information Commissioner's Office (ICO) website for [further guidance on privacy notices](#).

DfE provides suggested wording for [privacy notices](#) that local authorities may wish to use. However, where the suggested wording is used, the local authority must review and amend the wording to reflect local business needs and circumstances. This is especially important, as the local authority will process data that is not solely for use within departmental data collections.

It is recommended that the privacy notice is made available to data subjects via the internet as well as handed out in paper form or placed on an accessible noticeboard. Privacy notices do not need to be issued on an annual basis as long as new children, parents and staff are made aware of the notices and they are readily available electronically or in paper format.

1.5.3 Legal duties under the UK General Data Protection Regulation and Data Protection Act 2018: data security

Providers and local authorities have a (legal) duty under the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018 to ensure that any personal data they process is handled and stored securely. Further information on data security is available from the [Information Commissioner's Office](#).

Where personal data is not properly safeguarded, it could compromise the safety of individuals and damage your reputation. Your responsibility as a data controller extends to those who have access to your data beyond your organisation where they are working on your behalf; for example, where external IT suppliers can remotely access your information. The '[Responsible for information](#)' page provides further guidance and advice.

It is vital that all staff with access to personal data understand the importance of:

- protecting personal data
- being familiar with your security policy
- putting security procedures into practice

As such, you should provide appropriate initial and refresher training for your staff

1.6 Main changes

Please also see the version history section of this specification

1.6.1 Specification structure and terminology

All through main body of the specification: in 2022 the specification comprised of six modules. Following feedback, the specification and guide have been adjusted to enhance consistency and there are now five modules in the main body of the specification. LA details is now not a numbered module; Named Plan has been separated from Assessments; Ceased Plans is now included in Named Plan.

All through: terminology has also been adjusted to promote consistency within the specification and with other sources (for example the collection guide).

The Logical Model has been amended to include Placements.

1.6.2 New items

A new item has been added to allow the return of 'other' establishments in Named Plan and Active Plan sections. This is a free text field. Please see the XML structure.

An additional code has been added to the Request Outcome code set (CS116). This is W – Request withdrawn or ceased before decision to assess was made. Code T (Transferred to another LA before decision to assess) – has been removed.

An additional code has been added to the Assessment Outcome code set (CS109). This is W – Request withdrawn or ceased before decision to issue was made. Codes T (Transferred to another LA before plan issued) and S (Plan issued after assessment was completed by another LA) – have been removed.

Descriptions for codes in code set CS110 (SEN Setting) have been amended.

Please note: code sets will be updated on CBDS as soon as possible

1.6.3 XML

Gender and ethnicity code set references have been added

<PlanPlacementDetail> has been renamed to <PlanDetail>

<ResourcedProvisionIndicator> and <SENUndicator> items have been moved into <PlanDetail> and <PlacementDetail> to link them to URN/UKPRN.

New free text field <SENSettingOther> has been added into the structure.

1.6.4 Changes agreed vis CBDS RFC 1223

To confirm, the following changes were agreed via CBDS RFC 1223. The XML structure has been updated with the new CBDS reference number for <SENSettingOther> (paragraph 3.2.2) and modules in Section 2 have also been noted for emphasis. CBDS will be updated as soon as possible:

1 New data item <SENSettingOther>. This is a free text field. If returned, the maximum allowable number of characters is 4000. New CBDS reference is N00775

2 Request Outcome code set (CS116): Code W (Request withdrawn or ceased before decision to assess was made) has been added. Code T has been removed.

3 Assessment Outcome code set (code set CS109): W – Request withdrawn or ceased before decision whether to issue was made) has been added. Codes T and S have been removed.

4 SEN Setting code set (CS110). Descriptions have been amended so they now read as follows:

OLA – Other– arrangements made by the local authority in accordance with section 61 of the Children and Families Act 2014, (“education otherwise than at a school or post-16 institution etc”)

EHE – elective home education – alternative arrangements made by parents or young person in accordance with section 42(5) of the Children and Families Act 2014, for elective home education

EYP – Early years provider with no GIAS URN

OPA – Other – alternative arrangements made by parents or young person in accordance with section 42(5) of the Children and Families Act 2014, excluding those who are subject to elective home education

OTH – Other – Includes where a type of setting is specified in the EHC plan (e.g., special school for ASD) but no setting is named. Where this is used, the local authority will be prompted for further information in COLLECT

NEET – Not in education, training or employment (aged 16-25)

NIEC – Not in education or training – Notice to cease issued

NIEO – Not in education – Other – Where this is used, the local authority will be prompted for further information in COLLECT, for example, transferred into the local authority with an EHC plan and awaiting placement

5 LEA Name code set (CS003): Code ‘XXX’ description has been amended to read: ‘For CTF and SEN2 purposes where the LA is not known’.

2. Structure and guidance

The collection consists of five modules: person details, requests for EHC needs assessment, EHC needs assessments, named plan and placements.

Data recorded in modules 2 to 5 must correspond to a single person recorded in module 1 (Person details).

LA level return details

This summary contains any information at the local authority level that is to be collected.

This contains two questions about whether the local authority has a designated medical officer (DMO) or a designated clinical officer (DCO).

Data is not returned at a person level, but rather within the XML message header.

2.1 Module 1: Person details

Module description: Information required in order to identify the person and to provide basic demographic information. Standard identifiers are also included to enable further matching to data collections and the National Pupil Database (NPD).

Module composition: Includes identifiers and demographic information including postcode, date of birth, ethnicity (based on CBDS N00177) and gender (N00065). UPN (unique pupil number) and UKPRN (United Kingdom provider reference number) should be provided where possible.

Please note: the ethnicity code set on CBDS was updated via CBDS RFC 1171. 'White Northern Irish' was added to 'white British' as an extended code.

Where the child is under 6 years old the UPN is not required (but should be provided if available). However, children of compulsory school age are expected to have a UPN. Young people above school age may not have a known UPN if they have never attended a state-funded school or further education setting in England.

UPN unknown allows local authorities to include a reason for a missing UPN or ULN within the return preventing queries after the data has been submitted. This specification includes validation that will raise a query for every instance of both a missing UPN and ULN for a child or young person aged over 5 years old unless a UPN unknown reason is provided. Therefore, UPN unknown should not be completed if a UPN or ULN has been returned. Those local authorities not returning a UPN unknown reason should provide a return level note to explain why UPNs are missing.

Cases to include:

This module should be completed for each person for which an initial request for an EHC needs assessment is made, or an assessment is made, or the EHC plan was active at some point in the collection year, or for which an EHC plan is held at the census date. The same person should not be included more than once in this section. Revisions to this section may be required when the persons details change.

2.2 Module 2: Requests for EHC needs assessment

Module description: This module should be completed for all initial requests for assessment for an EHC plan, regardless of outcome, including requests which do not proceed to the assessment stage.

This allows DfE to continue to monitor the number of new initial requests for assessment received by local authorities, as in the aggregate level collection. Repeated requests for assessment corresponding to the same person should be recorded separately.

For all current and ceased EHC plans that were made prior to the collection year, the only data required in this module is to record the decision to assess (assessment request outcome) as 'H - Historic - Decision to issue was made before latest collection period'.

Module composition: This module contains information for all the initial requests for assessment that are completed in the collection year (including decisions to not assess) or are ongoing at the end of the collection year.

The date of the request should be recorded, which will count as day one in relation to the 20-week limit for assessment. The outcome of the request should be recorded. This includes an option to specify that an outcome has not been reached at the end of the collection year.

The date that the requestor was informed of the outcome of the local authority's decision to assess should be recorded for all cases. An error will be recorded whenever a date is recorded without an outcome, or where an applicable outcome is recorded without a date.

The use of mediation and tribunal should also be recorded in relation to the decision to assess. A query will be raised where tribunal occurs without mediation, this is a valid entry but requires a comment at return level confirming the number of cases where a mediation meeting did not take place and a tribunal subsequently occurred.

If the request for assessment was made while in relevant youth accommodation, this should also be recorded. Relevant youth accommodation corresponds to a young offender institution, a secure training centre or a secure children's home.

Cases to include: A person can make multiple requests for assessment in the year. This should include requests for assessment where the decision to assess has yet to be reached by the end of the collection year. A validation is included to flag an error where multiple open requests are specified for the same person.

If the initial request for assessment is refused, no information relating to that request is required in subsequent modules unless that decision is changed by the local authority for any reason, including during mediation or at tribunal. The initial refusal record should not be changed.

Requests information is not required where the request occurred prior to the collection period (that is, the plan is not new in the collection period) – apart from recording the ‘H (historic)’ outcome code. Requests information is also not required if a decision is yet to be made (code A) or the request is withdrawn or ceased before decision to assess was made’ (code W) (new category for 2023 onwards).

If the initial request for assessment is refused, no information is required in subsequent modules unless that decision is changed by the local authority for any reason, including during mediation or at tribunal.

Once a decision to assess has been reached, data in this section is not expected to be subject to revision by the local authority. Repeated requests for assessment corresponding to the same person should be recorded separately.

NB: Request Outcome (CS116) and LEA Name (CS003) code sets were amended as agreed via CBDS RFC 1223. Please also see main changes paragraph 1.6.4.

2.3 Module 3: EHC needs assessments

Module Description: This module should be completed for all cases where an initial request for assessment is agreed, regardless of assessment outcome, including those where a decision is made to not issue a plan.

This allows the department to continue to monitor the number of assessments carried out by local authorities. Repeated assessments corresponding to the same person should be recorded separately.

For all current and ceased EHC plans that were made prior to the collection year, the only data required in this module is to record the decision to issue an EHC plan as ‘H - Historic - Decision to issue was made before latest collection period’. The decision is also only required if a decision is yet to be made (code A) or the request is withdrawn or ceased before decision to assess was made’ (code W) (new category for 2023 onwards).

Module composition: This module contains information for all assessments that are completed in the collection year or are ongoing at the end of the collection year.

This section collects information on the decision to issue a plan (<NamedPlan>), including the date at which a plan (<NamedPlan>) was issued or the date at which the person was notified of decision not to issue a plan.

When a person transfers to another local authority before the assessment is completed, this can be recorded and no further information is required in this module.

If a 20-week exception applies to the assessment, this should be recorded. The reason for the exception is not required. Annex D of the collection guide provides further details on the exceptions applicable.

The use of mediation and tribunal must also be recorded. This should be recorded specifically in relation to the decision to issue a plan (<NamedPlan>). A query will be raised where a tribunal occurs without mediation, this is a valid entry but a comment should be provided at return level confirming the number of cases where a mediation meeting did not take place and tribunal subsequently occurred.

Cases to include: A person may have multiple assessments and multiple decisions to issue an EHC plan (<NamedPlan>) within a collection year. All assessments should be recorded separately. A validation is in place to flag an error when multiple assessments are recorded for a single person where no decision has been reached.

Each assessment is expected to have details of the initial request recorded in module 2. This is to ensure that the 20-week timeliness measure can still be calculated. If a child or young person transfers into the local authority's area during the assessment process before an EHC plan has been issued there is no right of transfer of decisions made by the originating local authority. Under good practice local authorities may decide to share information but the importing local authority must make its own decisions on whether to assess and whether to issue a plan.

Where a person with an existing EHC plan transfers into the local authority's area the assessment should be recorded as historical by the importing local authority, even if the EHC plan start date is within the collection year.

Assessment information is not required where the assessment occurred prior to the collection period (that is, the plan is not new in the collection period) – apart from recording the 'H (historic)' outcome code.

Where a decision is reached to not issue a plan (<NamedPlan>), the decision outcome, date and information on mediation and tribunal are required only. No further information is required in subsequent modules unless that decision is changed by the local authority for any reason, including during mediation or at tribunal. The initial refusal record should not be changed.

NB: Assessment Outcome code set (CS109) has been amended as agreed via CBDS RFC 1223. Please also see main changes paragraph 1.6.4.

2.4 Module 4: Named plan

Module description: <NamedPlan> collects information on the content of the EHC plan. It should be completed for all existing active EHC plans (including those made prior to the collection year) and any plans that ceased during the collection year. This section is expected to be completed once only for each request for assessment that is agreed.

Module composition:

The establishment(s) named on any plans which were active during the collection year (including any that have ceased) (<NamedPlan>) should be recorded. This should be the URN of the establishment if available, the UKPRN if available or another establishment type. Where Other is recorded from the list of establishment types a free text field should be provided to allow the establishments concerned to be recorded.

A secondary establishment type can be recorded. Only two options are available. In the event that more than two establishments are named on the plan (<NamedPlan>), the two that are will be attended most in a typical week or term should be recorded.

Where a person's placement is for the purpose of attending a SEN Unit or resourced provision, this should be specified. A SEN (special educational needs) unit or resourced provision must be approved by the local authority. For further details see Annex B of the collection guide

Where a residential setting is named on a plan, please record whether the placement is for 38 to 51 weeks or 52 weeks. Shorter durations need not be recorded.

If the plan (<NamedPlan>) specifies participation in work based learning activity then this must be recorded. It is expected that work based learning will be in conjunction with an education setting. This should therefore also be recorded in the establishment type.

Information on take up of personal budgets must be recorded, including whether organised arrangements are in place and the use of any direct payments (education, health, social care, combination).'

Case to include: Once completed, data in this section is not expected to be subject to revision by the local authority unless changes are made to the detail of the EHC plan (<NamedPlan>). It is possible that multiple plans may be recorded for a single person. For example, if an EHC plan has previously ceased and a further plan has later been issued following a new needs assessment. Changes may occur to this section from one year to the next for the same person, for example where an establishment named on the EHC plan is changed.

NB: SEN Setting code set (CS110) has been amended as agreed via CBDS RF 1223. Please also see main changes paragraph 1.6.4.

2.4.1 Ceased plans

The ceased plans section forms part of the <NamedPlan> module and collects information on when and why an EHC plan (<NamedPlan>) has ceased. Reasons are provided for selection.

For any EHC plans that have ceased up to census day, the date that the plan was ceased and reason for cessation are to be recorded. Cessation date will be used in producing the caseload as at the census date. After a plan ceases if a new EHC plan is later requested for the same person, this should be recorded as a new request for assessment.

Module Composition: This module should be completed for any EHC plans (<NamedPlan>) that have ceased. The date that the plan (<NamedPlan>) ceased and reason for cessation are to be recorded.

Local authorities must continue to maintain the EHC plan (<NamedPlan>) until the time has passed for bringing an appeal or, when an appeal has been registered, until it has been concluded. The date should reflect this appeal period and not correspond to the date a decision to cease was reached.

For those young people reaching age 25, it is expected that the plan (<NamedPlan>) will cease in July following their 25th birthday. A query will be raised at a record level where any plans (<NamedPlan>) are still active beyond July following the young person's 25th birthday.

Where the reason for cessation is recorded as 'other', a query will be raised to request more information.

Cases to include: This module is expected to be completed once per active EHC plan (<NamedPlan>) only, when the plan (<NamedPlan>) has ceased or transferred to another local authority during the census year.

Once completed, this section is not expected to be subject to revision by the local authority. If a new EHC plan is (<NamedPlan>) requested subsequently for the same person, this should be recorded as a new request for assessment.

2.5 Module 5: Placements

Module description: This module must be completed for all active EHC plans on the census day and any plans that were active during the collection year but have ceased. This module should be completed for all placements in the collection year for each person each year. This information will be used to produce the breakdown of the caseload as at the census date. This module records details of the latest placement of the individual, including start date, and any other placements the individual may have had during the collection period.

NB: LEA Name code set (CS003) was amended as agreed via CBDS RFC 1223. Please also see main changes paragraph 1.6.4.

Module composition: If the active EHC plan has been imported from another local authority, the 3-digit code (based on CBDS N00216) of the exporting local authority must be provided.

The establishment(s) attended must be recorded. Where a secondary establishment is also attended, this must be recorded also. There are options to record 'education elsewhere' or where the child or young person is not currently in education, which must be reported if applicable. A start date for the placement is required. The attendance pattern (full or part time) should also be recorded.

A secondary establishment type must be recorded where applicable. Up to two placements may be recorded for each person. If more than two placements are attended then please record the two that are typically attended most in an average week or term as applicable.

Placement rank must be recorded as follows: 1 – Primary placement; 2 – Secondary placement.

Any further placements in the collection period should also be recorded. It is not expected that multiple open placements with the same rank will overlap.

For placements, where a person is attending a SEN Unit or resourced provision associated to one of the establishments specified, this should also be recorded. A SEN unit or resourced provision must be approved by the local authority. For further details see Annex B of the collection guide.

Where a person is in a residential setting, please record whether this is for 38 to 51 weeks or 52 weeks. Shorter durations need not be recorded.

If the young person is participating in work based learning activity then this must be recorded. It is expected that work based learning will be in conjunction with an education setting. This must therefore also be recorded in the establishment type.

The primary and, if applicable, secondary type of need identified must be returned. Where multiple types of need are identified, this should be the types of need ranked 1 and 2. The types of need are consistent with the types of need specified in the CBDS.

The latest date that the person was informed of the outcome of an annual review must also be recorded. If a review has taken place but the person has yet to be informed of the outcome, previous review date where the outcome was known must be recorded. If a review has not occurred since the plan was made, no data should be returned.

Cases to include: This module must be completed for all persons with an active EHC plan and for any plans that were active during the collection year but have ceased. This

includes all plans where a decision to issue a plan was made, with a plan start date and no plan cease date. Plans where a notice to cease has been issued, but the time available for bringing an appeal has yet to expire must be included. Where an appeal has been lodged but has yet to reach an outcome, the plans must be included.

3. Local authority data returns

3.1 Data return formats

A person level SEN2 submission from a local authority should be provided in an XML file structure as defined below.

3.2 XML schema

An XML submission will be a single message consisting of:

- a header
- a series of repeated nodes containing data on one or more children or young people with a request for an ehc plan.

3.2.1 Header details

A standard XML message header is required for each return. The data items should be populated according to the guidance in Section 2. This includes the data items for LA summary, designated clinical officer (DCO) and designated medical officer (DMO).

The layout is as follows:

CDBS reference	
-	<Header>
-	<CollectionDetails>
N00600	<Collection>SEN2</Collection>
N00602	<Year>2023</Year>
N00603	<ReferenceDate>2023-01-19</ReferenceDate>
-	</CollectionDetails>
-	<Source>
N00604	<SourceLevel>L</SourceLevel>
N00216	<LEA>999</LEA>
N00605	<SoftwareCode>Supplier Reference</SoftwareCode>
N00607	<Release>1.4 2022-06-06</Release>
N00606	<SerialNo>001</SerialNo>
N00609	<DateTime>2022-02-01 11:10:51</DateTime>
N00692	<DMO>Y</DMO>
N00693	<DCO>Y</DCO>

CDBS reference	
-	</Source>
-	</Header>

3.2.2 Person XML message structure

CDBS reference		Cardinality (Note: item level elements occur only once unless otherwise stated)
-	<Persons>	Each <Message> group contains one and only one <Persons> group
-	<Person>	Record returned for all persons for which the local authority has been responsible for a request for assessment, assessment or an active EHC plan in the collection year
N00003	<Surname>FamilyName</Surname>	
N00004	<Forename>Firstname</Forename>	
N00066	<PersonBirthDate>2001-01-01</PersonBirthDate>	
N00065	<GenderCurrent>2</GenderCurrent>	CS002
N00177	<Ethnicity></Ethnicity>	CS080
N00037	<PostCode>AA11AA</PostCode>	
N00001	<UPN>X1234567898765</UPN>	
N00011	<UniqueLearnerNumber>1234567890</UniqueLearnerNumber>	
N00135	<UPNunknown></UPNunknown>	Where <UPN> or <UniqueLearnerNumber> are present, <UPNunknown> is not required

CDBS reference		Cardinality (Note: item level elements occur only once unless otherwise stated)
-	<Requests>	Each <Person> group contains 0..n <Requests> groups
N00694	<ReceivedDate></ReceivedDate>	
N00695	<RYA></RYA>	
N00696	<RequestOutcomeDate></RequestOutcomeDate>	
N00697	<RequestOutcome></RequestOutcome>	Code set CS116
N00698	<RequestMediation></RequestMediation>	
N00699	<RequestTribunal></RequestTribunal>	
N00700	<Exported></Exported>	Code set CS003
-	<Assessment>	Each <Requests> group contains 0..1 <Assessment> groups
N00701	<AssessmentOutcome></AssessmentOutcome>	Code set CS109
N00702	<AssessmentOutcomeDate></AssessmentOutcomeDate>	
N00703	<AssessmentMediation></AssessmentMediation>	
N00704	<AssessmentTribunal></AssessmentTribunal>	
N00705	<OtherMediation></OtherMediation>	
N00706	<OtherTribunal></OtherTribunal>	
N00707	<Week20></Week20>	
-	<NamedPlan>	Each <Assessment> group contains 0..1 <NamedPlan> groups

CDBS reference		Cardinality (Note: item level elements occur only once unless otherwise stated)
N00028	<StartDate></StartDate>	
-	<PlanDetail>	Each <NamedPlan> group contains 0..2 <PlanDetail> groups
N00278	<URN></URN>	
N00530	<UKPRN></UKPRN>	Where <URN> is present, <UKPRN> is not required
N00708	<SENsetting></SENsetting>	Where <URN> or <UKPRN> are present, <SENsetting> is not required. Code set CS110
N00775	<SENSettingOther></SENSettingOther>	Free text field
N00709	<PlacementRank></PlacementRank>	
N00022	<SENunitIndicator></SENunitIndicator>	
N00023	<ResourcedProvisionIndicator></ResourcedProvisionIndicator>	
-	</PlanDetail>	
N00710	<PlanRes></PlanRes>	
N00711	<PlanWBP></PlanWBP>	Code set CS111
N00712	<PB></PB>	
N00713	<OA></OA>	
N00714	<DP></DP>	Code set CS112
N00715	<CeaseDate></CeaseDate>	

CDBS reference		Cardinality (Note: item level elements occur only once unless otherwise stated)
N00716	<CeaseReason></CeaseReason>	Code set CS113
-	</NamedPlan>	
-	</Assessment>	
-	<ActivePlans>	Each <Requests> group contains 0..1 <ActivePlans> groups
N00717	<TransferLA></TransferLA>	Code set CS003
-	<PlacementDetail>	Each <ActivePlans> group contains 0..n <PlacementDetail> groups
N00278	<URN></URN>	
N00530	<UKPRN></UKPRN>	Where <URN> is present, <UKPRN> is not required
N00708	<SENsetting></SENsetting>	Where <URN> or <UKPRN> are present, <SENsetting> is not required Code set CS110
N00775	<SENSettingOther></SENSettingOther>	Free text field
N00709	<PlacementRank></PlacementRank>	
N00018	<EntryDate></EntryDate>	
N00019	<LeavingDate></LeavingDate>	
N00721	<AttendancePattern></AttendancePattern>	
N00022	<SENunitIndicator></SENunitIndicator>	

CDBS reference		Cardinality (Note: item level elements occur only once unless otherwise stated)
N00023	<ResourcedProvisionIndicator></ResourcedProvisionIndicator>	
-	</PlacementDetail>	
N00718	<Res></Res>	
N00719	<WBP></WBP>	Code set CS111
-	<SENneed>	Each <ActivePlans> group contains 1..2 <SENneed> groups
N00166	<SENtype></SENtype>	
N00024	<SENtypeRank></SENtypeRank>	
-	</SENneed>	
N00720	<LastReview></LastReview>	
-	</ActivePlans>	
-	</Requests>	
-	</Person>	
-	</Persons>	

3.3 Special notes on XML returns

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

Character	Entity reference
Ampersand (&)	&
Left Angle Bracket (<)	<
Right Angle Bracket (>)	>
Single Quote/Apostrophe (')	'
Double Quotes ("")	"

For special characters such as é use a character reference such as é. This produces a generic XML file which can be viewed as such in a suitable browser. Details of all such characters are found within the XML standard documentation; see, for example, [Extensible markup language \(XML\) 1.0 \(fifth edition\)](#) section 2.

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.

3.4 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.

4. Validation checks

An Excel workbook (Annex A) 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 relevant (such as: SEN unit indicator).

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 'OK-able' 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.



Department
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