

**Data Services Group**  
**2011 School Workforce Census**  
**Business and Technical Specification**

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## 1. Introduction

### 1.1 Background

This Business and Technical Specification describes those data items that will be collected in the School Workforce Census (SWF), in Autumn 2011.

There are three levels of collection in the annual collection: School Workforce Level (the collection of data on individual staff members) – see Sections 2 and 3 of this specification; School Level (the collection of headcount data for certain categories of information); and LA Level (the collection of headcount data for certain categories of staff) see Section 4 of this specification.

The Reference Date for the School Workforce Census will be the first Thursday in November 2011 (3<sup>rd</sup> November 2011).

### 1.2 This document and its relationship to other technical documentation

This 2011 School Workforce Census Business and Technical Specification details the technical requirements for those data items which need to be extracted from School Management Information Systems (MIS) and LA HR/Payroll systems, and consists of this specification and the associated CBDS items.

- This document contains a narrative, sample XML messages and validation relating to the Workforce data to be collected in Autumn 2011, and Annexes containing
  - a. Description of types of staff for whom data is collected,
  - b. A glossary,
  - c. A description of the COLLECT rules for matching and reconciliation,
  - d. Guidance on LA data submissions.
- This document contains greater detail on some data items but for details on all data items please consult the CBDS tables containing details of the School Workforce data items included in each module and related code sets.
- CBDS tables can be found at <http://www.education.gov.uk/schools/adminandfinance/schooladmin/ims/datamanagement/cbds>. Data items can be accessed by searching for the CBDS number shown in this document or by filtering the CBDS table using the column headed "School Workforce 2011". Any item used in this specification will be marked with a "1" in this column.

Further documentation will be provided separately consisting of

- Guidance notes,
- additional documentation relating to the XML based facilities which are to be made available (see Section 7 for a description of these),
- School Workforce summary specification for school MIS.

### 1.3 Business Rationale

The following factors are the business drivers behind the School Workforce Census:

- consistency with Departmental policy:
  - collect data once and use many times
  - collection of data should be automatic
  - data collected should be that which a well prepared school uses themselves or be justified with a clear business case
- it assumes that much of the data are already held in school MIS or LA HR/payroll systems ready for transfer during the collection period and so the need for data entry for the collection itself is kept to a minimum
- given that the majority of the data collected on the workforce are those which a well managed school or LA uses themselves, the data should be kept up to date on an event driven basis (ie data should be updated by the school or LA as soon as it is aware of any change or addition) and so the burden of collection by the Department should not be high
- all of data collected are as defined in the Common Basic Data Set (CBDS) - <http://www.education.gov.uk/schools/adminandfinance/schooladmin/ims/datamanagement/cbds>.
- The following surveys have been replaced by data collected in the School Workforce Census:
  - 618g, an annual survey of teachers in service and teacher vacancies in each LA. This took place for the last time in Spring 2010;
  - School Census staffing elements, the counts of teaching and support staff based at the school, provided by each school. These were included in the School Census for the last time in the Spring 2010;
  - the Secondary Schools' Curriculum & Staffing Survey (SSCSS), a survey on teacher qualifications and curriculum, last run in February 2007;
  - the Office of Manpower Economics (OME) survey of Teacher Pay, a survey that is sent to a sample of primary and secondary schools each September. Subject to a successful School Workforce Census in Autumn 2010, there are no plans to run this survey again;

- the annual survey of Teacher Resignations and Recruitment, a survey sent directly to all secondary schools and a sample of primary schools each January by the National Employers Organisation for School Teachers. Last run in Autumn 2010.

#### **1.4 Use of the data by the DfE and its education partners**

The DfE and its partners agreed a Data Sharing Protocol in February 2004. In keeping with the principle that data is collected once for use many times, the school workforce data is to be matched to other sources of data for statistical, research and policy purposes.

Individual records will be matched to records from the Database of Teacher Records (DTR), and other sources. This will enable analyses to be undertaken by status, length of service, and type and subject of initial teacher training qualification.

Matching teacher data to DfE school databases will enable analyses by school type, phase of education, and other school characteristics.

Further matches to other data sets may be made by the DfE from time to time for statistical, research and policy purposes.

All data will be held and processed in accordance with the provisions of the Data Protection Act 1998.

#### **1.5 Changes from 2010 Collection**

The following are the main changes have been made to the data requirements compared to the previous collection in Autumn 2010.

- Pay and hours data will now be collected for all categories of staff in regular service. Pay and hours data consists of; Pay Scale, Regional Spine, Spine Point, Total Pay, Safeguarded Salary, Additional Payment Type, Additional Payment Amount, Hours per Week, FTE Hours and Weeks per Year. Not all data items need to be returned for all staff members, please see notes on individual data items for more detail.
- Qualification data is now required for all categories of staff in regular service. Only NFQ level 4 (ie post A-Level) qualifications are required.
- Seven new subjects have been added to the codeset for qualification subject. These new subjects (*Science, Design & Technology, Modern Languages, Citizenship, Applied Science, Manufacturing and Geography*) have been added to cater for cases where it has proved difficult to match a person's qualification to the existing codeset,
- A set of five SEN qualification areas (*SEN – SENCO, SEN – Sensory impairments, SEN – Severe Learning Difficulties, SEN – Profound and Multiple Learning Difficulties and SEN – other*) has been added to the codeset for qualification subject. This is so that staff who have

qualifications relevant to teaching SEN pupils will be able to record that fact.

- A new code (*Not Applicable – change of contract*) has been added to the codeset for Origin.
- The code-set for QT status is now '1', '0', 'true', 'false'. Previously 'Yes' and 'No' had been accepted.

## **2. Guidance Section – School Workforce Level**

### **2.1 Overall description and scope**

The DfE expects that the majority of the data required at individual level will be generated from computer systems within schools and local authorities, rather than entered on purpose-built data entry screens.

The scope is described in detail below. When deciding on categories of teachers, support staff and schools in scope, the DfE has taken as its starting point that information which should be available for all members of the workforce who would be represented in the surveys that it is replacing.

The Census requirement varies according to a number of inter-related factors:

- Which types of schools are in or out of scope
- Who has the responsibility to ensure that data are returned
- How many records should be returned for each member of the workforce
- For which types of staff data are required

These factors are described in the following sections.

#### **2.1.1 Schools in and out of scope**

The scope of the 2011 School Workforce Census covers English schools in the maintained sector and includes Community, Foundation, Voluntary Aided and Voluntary Controlled schools. The requirement for participation is as follows:

In scope

- Primary Schools, Secondary Schools, Maintained Nursery Schools, Maintained Special Schools, CTCs and Academies (including Free Schools) are in scope;

Out of scope

- Returns are not expected from the following types of establishment: Early years settings, independent schools, Non-Maintained Special schools, sixth form colleges, PRUs, Alternative Provision, FE Establishments, Service Children's Education Schools and miscellaneous establishments;

#### **2.1.2 Data supply**

It is recognised that schools will not necessarily hold all workforce data as local authorities often hold data on behalf of the schools and it will be for schools and local authorities to agree at local level which data they should respectively

supply. (In some Authorities, existing arrangements may mean that **all** data can be provided from a central system.)

As with current data collections, it is a responsibility of local authorities to act as the collection point for data from maintained schools within the Authority, prior to the data being sent to the DfE. As part of this process, local authorities are expected to scrutinise the data for validity, completeness and credibility. The DfE has developed software (COLLECT) that will provide local authorities with help to fulfil this responsibility. Suppliers should also be making a school summary report available for schools.

Local authorities should take the lead (coordinating) role in the above considerations.

Academies will normally submit their file direct to COLLECT. However, academies are free to enter into data sharing arrangements with their LA. If an academy wishes to do this, they should inform the DSG Helpdesk, DSG.Helpdesk@education.gsi.gov.uk, and the necessary arrangements will be made.

If an academy, or federation/family of academies, wishes to provide their data from more than one source, eg a school MIS and an HR system, they should contact the DSG Helpdesk on 01325 392626 or by email DSG.Helpdesk@education.gsi.gov.uk to discuss how this might be facilitated.

For a federation of academies, the federation can be set up as a pseudo LA and will then be responsible for approving the data for all the academies in the federation or it can be given access to each of its academies' returns. The federation should contact the DSG Helpdesk if they wish to explore either of these options.

### **2.1.3 The minimum data set**

Unless all of a school's data is held by the LA, a school MIS must provide at least the following set of data items for each teacher or member of support staff for whom individual level data is required. This data is used for matching purposes:

- Teacher Number (CBDS Ref 400014), also known as GTC Number – required, where available, for all members of workforce who have QT Status, and to be supplied for others where available
- Family Name (CBDS Ref 400001)
- Given Names (CBDS Ref 400003) - where applicable
- Former Family Names (CBDS Ref 400010) - where applicable
- Date of birth (CBDS Ref 400007)
- NI Number (CBDS Ref 400013), except where not available.

#### **2.1.4 How many records should be returned for each member of the workforce**

It is recognised that details relating to an individual member of the school workforce may be held on more than one system.

Examples of this are:

- where the person works in more than one school at different times throughout the week. Examples include; a) a teaching assistant who works two days in one school and three in another, and b) a supply teacher who is working one day a week at one school and two at another. In both cases each school will be responsible for a record that reflects the time spent by the staff member in that school.
- where a person ceases working at one school and begins working at another school during the same collection period. In this case each school will be responsible for a record that reflects the time spent in that school.
- Where information on an individual member of staff is held on different systems e.g. qualifications on a school MIS, and contract information on an LA HR/Payroll system.

Any one school should only return a single set of modules for a member of the school workforce per collection. However it is recognised that the same person can have more than one role in the school, or can have more than one simultaneous contract with the same school, and to allow for this multiple Contracts/Service Agreements or Roles (as well as both old and current contracts) can be returned within the Contract/Service Agreement module.

So that the DfE can correctly interpret multiple records (i.e. from more than one school or local authority) a separate data item, “LA or School level”, is included in the Census definition. This item will be generated by software systems on extraction of the data, and rules for population are given in Section 2.3 (Note 10).

#### **2.1.5 Types of staff for which data are required**

Teachers and support staff are included in the Census if they are in regular service. This is defined as continuous service of twenty eight days or more, already undertaken or planned, either under a specific contract or under a service agreement (contract and service agreement are defined in more detail below).

The Census covers teachers and support staff employed both full- and part-time<sup>1</sup> in the maintained sector in England.

“**Support staff**”<sup>2</sup> comprises ...

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<sup>1</sup> Part-time staff who are normally present at the school, but work on days of the week other than the Census Reference Date should be included.

a) “Teaching Assistants”: Those support staff based in the classroom for learning and pupil support staff, e.g. HLTAs, teaching assistants, special needs support staff, nursery officer/assistant, minority ethnic pupils support staff and bilingual assistants;

b) “Other support staff”: Those support staff that are not classroom based e.g. matrons/nurses/medical staff, librarians, IT technicians, technicians, administrative officers/secretaries, bursars and other administration/clerical staff, premises and catering staff; and,

c) “Advisory Teachers”: These are often qualified teachers that carry out a range of duties including training staff, helping develop and implement school policy and classroom support.

**School workforce level data is not required for support staff, including teaching assistants, who work in schools but their contract is with another organisation. School level data is required for these support staff if they are in the school on Census day.**

Further details on the staff members for whom data is to be collected can be found in Annex A. These are split into school and LA staff for ease of reference.

### **2.1.6 When the Census is to be collected**

SWF Census data will be collected annually. The Reference Date for the School Workforce Census will be the first Thursday in November 2011 (3<sup>rd</sup> November 2011).

## **2.2 Snapshot and continuous data**

Much of the data to be collected represents some characteristic or status at a point in time. There are also continuous items which will capture data for a year; examples of these are absence records and some parts of contract data. Note these may legitimately include data for staff who have left school prior to the Census Reference Date.

Two modules of the school workforce census show data over a span of time:

- Contract details, which will include data on staff members who left, or whose contract ended, during the previous academic year; and
- Absence details, which will include absences occurring wholly or partly in the academic year prior to the Census Reference Date. (School Workforce Census absence is recorded differently from pupil absence, see details below)

Successive collections will thus build up a continuous picture of certain aspects of the school workforce. This picture is key to replacing some existing surveys, and thereby reducing burdens. Figure 1 illustrates the relationship between snapshot and continuous data.

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<sup>2</sup> The full code set provided in CBDS identifies all support staff posts for which data is expected.

Data	Nature of Data	Dates Covered
Staff Details	Snapshot	Date of data extraction (or leaving date for staff who have left).
Contract/Service Agreement	Snapshot	Contracts/Service Agreements that are open on Census Reference Date (if expected to span a period of 28 days) (ie for 2011 census all contracts/service agreements still open on 3 November 2011).
	Continuous	Contracts/Service Agreements that ended in the period 1 September of the previous year to census reference day (ie for 2011 census all contracts/service agreements ending in the period 1/9/2010 to 3 November 2011).
Absence	Continuous	Absences that started or finished in the period 1 September to 31 August of the previous academic year, including for staff who left during this period.
Curriculum	Snapshot	Census Reference Date
Qualifications	Snapshot	Date of data extraction
Headcounts and Vacancies	Snapshot	Census Reference Date

*Fig 1: Census returns over time*

**Resubmissions:** If data is resubmitted, i.e. the file has the same source establishment and software code, the original data will be overwritten. More details are given in Annex D, section 12.4.

### 2.3 Outline data content

The return will consist of a message header and a number of modules for each member of the school workforce within the school or employed centrally by the LA.

An outline of the structure of the data for one member of the school workforce is as follows:

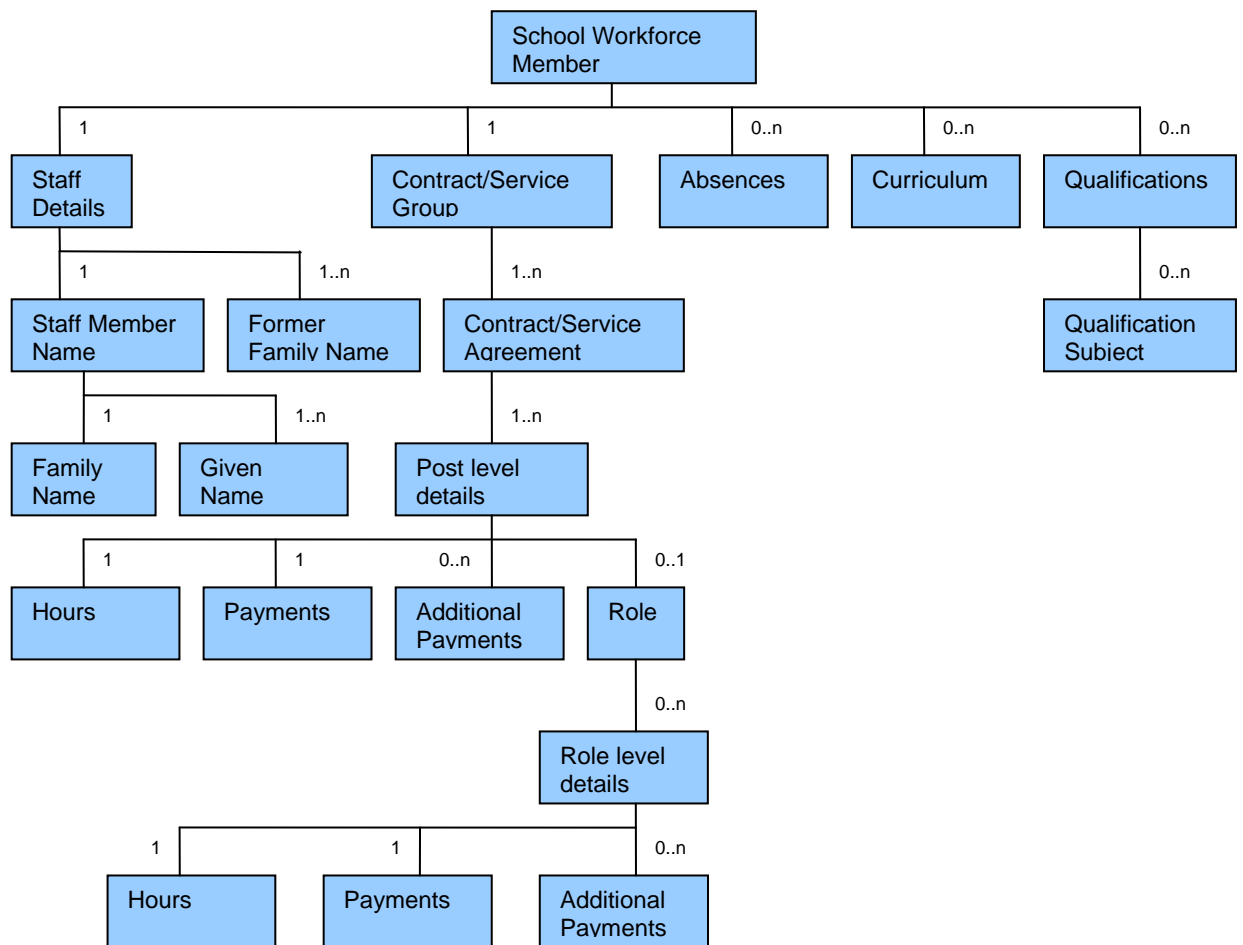


Fig 2: Outline modular structure of entry for one member of the School Workforce from one data provider

CBDS lists the data items for each of the above record-types.

Not all record-types shown above are required for every type of person. Section 3.2 shows how the data requirements vary between teachers, teaching assistants and other support staff.

### 2.3.1 Staff Details Module

This record consists of basic identifying details and characteristics.

**Note 1: NI Number (CBDS Ref 400013)**

DfE would prefer temporary NI numbers are not used. If a correct NI number cannot be obtained this field may be left blank or populated with a temporary number. Some systems may not allow the use of temporary NI numbers, in which case the field should be left blank.

**Note 2: Ethnic Code (CBDS Ref 400021)**

The full CBDS code set includes categories for Traveller of Irish Heritage and Gypsy / Roma which are not included in the 2001 National Population Census categories (for England and Wales). The 2001 National Population Census category list is the basis for all ethnic monitoring of staff. The additional CBDS categories, therefore, will not be available for the School Workforce.

**Note 3: Qualified Teacher Status (CBDS Ref 400047) and Teacher Number (CBDS Ref 400014)**

Qualified Teacher Status should be an entered field rather than a calculated one. It is possible for a person to have a Teacher Number without having Qualified Teacher Status. Temporary Teacher Numbers should not be used, if a permanent Teacher Number cannot be obtained this field should be left blank.

**Note 4: QTS Route (CBDS Ref 400049)**

This field is required for all teachers working towards QTS. A new item has been added to the codeset for 2011, "OTTN – Overseas Trained Teacher, not yet on the programme". This code should be used for overseas trained teachers who have not yet signed up to the Overseas Trained Teacher Programme. For those who have signed up to the programme the code "Overseas Trained Teacher Programme" should be used.

More information on the Overseas Trained Teachers Programme can be found at <http://www.education.gov.uk/schools/careers/careeropportunities/overseas-trainedteachers/b0011031/overseas-trained-teachers/>.

**2.3.2 Contract / Service Agreement Module**

**NB** No data is required in this module for third party support staff.

This record contains details of either;

- the **contract** between the person and the school or LA. This will provide details of the type of employment and other related terms and conditions.

or, if the school providing the data does not have a contractual arrangement with the person,

- the **service agreement** covering the teacher's employment by the school. This will enable the school to provide details where the person has a contract with either an Agency or the LA, if the LA is acting like a teacher supply agency.

Types of record are either:

- Contract records, which are identified by three categories (Permanent, Fixed Term and Temporary). A Permanent contract is defined as one with no end date (unless the contract has been closed and the date is in the past). A Temporary contract normally has no end date but is designed for short-term situations, e.g. cover. A Fixed term contract by definition is for an agreed length of time and has a fixed end date

or:

- Service Agreement records (ie those with Contract Type of SLA, SAG or SOT). Service agreement records are not required for centrally employed staff visiting schools regularly. Service agreement records are however required for agency teachers in regular service, including those supplied by a LA if the LA is acting like a supply agency.

One Contract/Service Agreement record should be supplied for each contract that fulfils both of the following conditions:

- Has or had a duration of twenty eight days or more (including contracts with a planned duration of 28 days or more where fewer than 28 days have elapsed from the commencement of the contract),
- Is either a) current on the census Reference Date, or b) has ended during the period 1 September of the academic year prior to the census Reference Date to Census Reference Date (eg for the census Reference Date 3 November 2011 this would mean any contract finishing during the period 1/9/2010 to 3/11/2011).

**Note 5: Date of Arrival in School (CBDS Ref 400094)**

Required only of teachers and teaching assistants. This should be the start of the current period of continuous service in the school. Long term absences, whether for sickness, maternity or paternity, should not cause this date to change, neither should factors such as spine point progression or passing the Threshold. However a career break, which might be an extension of maternity leave, would be followed by a new date. This data item is not required for centrally employed staff.

For staff that began their current period of continuous service some time ago, it may not be possible to accurately provide this information. If this is the case the Department would prefer no date to be entered and for a note to be written against the query which will be generated to say that the Date of Arrival in School is not known.

Date of Arrival in School should however be provided for all teachers and teaching assistants that started their current period of continuous service with the school during the last two academic years, ie from 1 September 2009.

**Note 6: Destination (CBDS Ref 400097)**

This field will be updated when a person concludes their contract. It will be captured as an update by the census following their departure. (Where contract renewal results in a new Contract/Service Agreement record for the same person in the same post, then a special destination code Not Applicable – Change of Contract (NAPPCH) should be used on the closed record.) This data is not required for agency teachers.

**Note 7: Origin (CBDS Ref 400334)**

Origin should be captured for all new contracts for teachers and teaching assistants from 1 September 2009. This data may be provided for contracts starting earlier than these dates but is not required. (Where contract renewal results in a new Contract/Service Agreement record for the same person in the same school, a new code of “Not Applicable – Change of Contract” should be used. This code should also be used where staff move from a service

agreement to a contract (ie from contract type SLA, SAG or SOT to PRM, FXT or TMP). This data is not required for agency teachers.

**Note 8: Establishment (CBDS Ref 200002)**

Data Item Establishment from the Header is repeated within the XML message as part of the Contract, Absence, Curriculum and Qualification modules. For school MIS returns, and for most returns from LA central systems, this will be a copy of the value from the Header, and the same value for each person's contract record(s). For modules in LA returns which are for service across the Authority and therefore not associated with any one school, this item should be left blank.

**Note 9: LA or School Level(CBDS Ref 400117)**

Data item LA School Level. School systems should enter S in this field. LA systems should use S if they are generating data on behalf of a school, and L if they are providing central records, e.g. records that provide pay details supplementing data provided by schools. For centrally employed staff (e.g. for an Advisory teacher) this should also be L.

The above points are summarised in the following table:

Data Source	Single / multiple Estab return?	Which <Estab> (200002) should be populated?	Value of <LASchoolLevel> (400117)	Value of <SourceLevel> (800005)
School system	Single	All instances	S	S
LA system	Either single Estab, or LA Central staff	For single Estab submissions, all instances. For central staff submissions, this should not be provided.	S (for school return from an LA central system) OR L (for central return)	L

**Note 10: Pay Scale (CBDS Ref 400321) and Regional Spine (CBDS Ref 400131)**

Indicates the scale and regional spine under which a member of staff is paid. Please note that; 1) Teachers without QT Status should be paid under the Pay Scale 'UT-Unqualified teachers from Sept '08' and 2) some pay scales do not have equivalent spine points in CBDS (eg 'Soulbury', 'National Joint Council' and 'Other').

In a change from previous years schools/LAs are asked to provide pay data for all staff, not just teachers and teaching assistants. This data is not required for staff paid via a daily rate.

Pay data is only required for contracts current on Census Reference Date.

**Note 11: Spine Point (CBDS Ref 400131)**

Indicates the spine point under which a member of staff is paid. Where provided this must be appropriate to the payscale. Please note that some pay scales do not have equivalent spine points in CBDS (eg 'Soulbury', 'National

Joint Council' and 'Excellent Teachers'). Therefore Spine Point data cannot be provided for support staff. This means that Total Pay will have to be provided for these staff (See Note 12 below). This data is not required for staff paid via a daily rate.

**Note 12: Total Pay (CBDS Ref 400135)**

In a change from previous years schools/LAs are asked to provide pay data for other support staff as well as teachers and teaching assistants. Total Pay is not required for staff paid by a daily rate.

This field need only be supplied if complete details of pay scale, regional pay spine and spine point are not supplied. Where full information on Pay Scale, Regional Pay Spine and Spine Point is provided then Total Pay is not mandatory but can still be supplied and will still be accepted if supplied. Total pay should only need to be supplied for: a) Excellent Teachers, b) Teaching Assistants, c) other support staff and d) teachers who are not on national pay scales, eg teachers in academies. Please note that if an employee is on a payscale for which there are no spine points in CBDS, then Total Pay will have to be provided.

Total Pay should reflect the annual salary of a member of staff as at the Census Reference Date. It should not include the annual amount of any additional payments or allowances (see Note 14). The pay of part-time or term-time only staff should not be adjusted upwards to the pay of a full-time equivalent member of staff. It should not be adjusted downwards for a member of staff who started work part way through the year. Please note that if any elements of the salary are safeguarded these should also be reflected in the total pay.

Example 1: A member of staff works full time through out the year and earns a salary of £30,000 plus additional payments of £2000. Total Pay = £30,000.

Example 2: Two members of staff job share the post described in example 1, each working 0.5 FTE time through out the year and share additional payments of £2000 between them. Total Pay for each of the job sharers = £15,000.

Example 3: A member of staff takes up the post described in example 1 in June 2010 and then works full time. Total Pay = £30,000.

Please note that within the Contract / Service Agreement module, there are repeating groups of data items for Role, Payment, Additional Payment and Hours. This means the data has the following structure:

- A Contract / Service Agreement equates to a single Post
- Each Contract / Service Agreement may contain data on a number of Roles, of which there must be at least one
- Each Contract / Service Agreement may contain data on a number of Payments, Additional Payments and Hours. These may be shown at the contract level, or be shown separately for different Roles within the

contract. For any particular contract, Payments can be held either under Post or under Role but not split between Post and Roles. Similarly for Additional Payments and for Hours.

For more details of this data, please see Section 5, XML Message Structure.

**Note 13: Safeguarded Salary (400138)**

This data item indicates if any element of a teacher's salary is subject to safeguarding. For further information about safeguarding see the Local Government Employer's website -

<http://www.lge.gov.uk/lge/core/page.do?pageld=119339>

**Note 14: Additional Payments: Payment Type (CBDS Ref 400142) and Payment Amount (CBDS 400143)**

Additional payments should include all payments earned since the previous census reference date, ie all additional payments from 5/11/2010 to 3/11/2011.

Example 1: A member of staff receives an Inner London Weighting payment of £200 per month from 1 September 2010 to 31 August 2011. This is replaced by a payment of £220 per month from 1 September 2011. When assessing payments for the 2011 census return there are 12 disbursements to consider, 10 of £200 each (November 2010 through August 2011) and 2 of £220 each (September and October 2011). These can be reported as; 1) one payment of £2440, OR 2) as one payment of £2000 AND one payment of £440. [This is assuming that the payment for each month is made later than the 4<sup>th</sup> of each month. If payments were made on the 1<sup>st</sup> of each month then the November 2010 payment would not count - as it preceded the 2010 census reference date – and the November 2011 payment would be included as it would come before the 2011 census reference date.]

Example 2: A member of staff receives a one-off recruitment incentive in September 2010 and a one-off retention payment in September 2011. Only the payment in September 2011 should be reported.

Example 3: A member of staff receives several one-off payments for out of school activities. The dates and amounts are: December 2010 £100, January 2011 £200 and September 2011 £500. For the 2011 SWF census these could be reported as three separate payments or as one payment of £800.

NB the payment amounts and categories quoted in these examples have been chosen to give clarity to the Department's requirements and are not intended to be representative of the actual amounts that would or should be paid.

In a change from previous years schools/LAs are asked to provide pay data for other support staff as well as teachers and teaching assistants.

**Note 15: FTE Hours per week (CBDS Ref 400100) and Weeks per year (CBDS Ref 400101)**

These fields are to contain the hours which a full time employee in this post or role would work and the weeks per year that the employee is paid for and will allow the DfE to calculate FTE ratios consistently.

For teachers, the standard contractual week is 32.5 hours. Part time teachers now have to be paid on the basis of the proportion of the school time table week (STTW) which they work whereas support staff are generally still paid on a standard hours basis. Typically the full STTW will be about 25 hours and standard support staff hours about 37 hours. These values can be used as defaults or auto-fills in data entry screens, although they may be edited.

As long as the FTE hours and actual hours worked are entered on the same basis for a particular contract, either STTW or contractual hours can be used. The calculated FTE Ratio will be calculated using these fields and the Weeks per year field (400099) and it is the FTE ratio that is important. Please note that some posts or roles may be intrinsically part time. The FTE hours for these posts/roles should be the same as the standard hours for support staff (about 35). FTE hours will flag a query if the value is lower than 24 or greater than 40.

The 'weeks per year' is the number of weeks for which a person is paid, including any paid holiday. For example, a full-time teacher would be paid for 52 weeks per year whereas a full-time, term time only teacher would be 39 weeks per year. Some term time only staff may be contracted for more than 39 weeks under local arrangements. It is the number of weeks that the employee is contracted for that is important, regardless of whether payment is spread over all 52 weeks of the year or not.

In a change from previous years schools/LAs are asked to provide this data for all staff, not just teachers and teaching assistants.

**Note 16: Hours Per Week (CBDS Ref 400099)**

The number of hours worked in a normal week is required for each role or post, for staff whether full-time or part-time. Hours can be recorded against either post or role, but not both, though where an employee has more than one role the DfE would prefer that hours are recorded against each role.

Where there is more than one role attached to the post, hours should be assigned to the roles roughly according to the time spent on them, eg a teacher could spend 27.5 hours per week in a role as classroom teacher and 5 hours per week as a head of year; a person on a full time contract who works three days per week as a classroom teacher, and two days per week providing minority ethnic support should have two separate entries with separate hours shown for the Census.

However, part-time teachers now have to be paid on the basis of the proportion of the school timetable week (STTW) which they work. Teaching assistants are generally still paid on a standard hours' basis. Typically the full STTW will be about 25 hours for teachers and standard support staff hours about 37 hours. As long as the hours worked per week and the FTE hours are entered on the same basis for a particular contract, this should not be a problem as the information collected in these two fields will be combined to calculate the FTE ratio.

### 2.3.3 Absence Module

This module **does not** apply to centrally employed staff.

Absence data are only required for Teachers, and Teaching Assistants in regular service working for schools through a contract, not an agency agreement(see section 3.1). Absence data are not required for Agency/Service Agreement Teachers, other support staff or centrally employed staff.

Absences are not just sickness absences, but also various types of absence for secondment, unpaid leave and maternity/paternity leave. This absence information assists the DfE in its overall monitoring of and planning for the costs and supply of teachers and teaching assistants. Absence due to training is not required.

Absence records are required for the previous academic year. More precisely, absence records will be required to cover any absence commencing or concluding in the period from the 1<sup>st</sup> September to 31<sup>st</sup> August, inclusive, of the academic year before the Census Reference Date. Absences which commenced before the 31 August prior to the Reference Date should be reported on even if the absence ended in the current academic year or is still ongoing at the Reference Date. For anyone with an absence that is ongoing at the time of the Census, the MIS system will not have an entry in Last Day of Absence. This is permissible and such Absences are required to be included in the Census.

#### **Note 17: Working Days Lost (CBDS Ref 400202)**

**This data item relates to sickness absence only** for full and part time teachers and teaching assistants. If schools or LAs wish to record working days lost for types of absence other than sickness then they are free to do so. However, they need to be aware that the data may be extracted from their systems and submitted to the DfE as part of the census, but it will not be reported on.

Working days lost is reported in days and should be to the nearest half day. For example a full-time teacher who is off from midday on Friday to the end of Monday, would be shown as being absent for 1.5 days. In instances where a member of staff is contracted to work less than half a day, the absence should still be recorded and if it is for sickness absence, the working days lost should be recorded as 0.5.

#### **Note 18: Absence Category (CBDS Ref 400205)**

“Absence” is not just sickness absence, for the purpose of the workforce Census *Absence* refers to any activity or circumstance that takes a member of staff away from normal duties with their usual employer for half a day or more, except for training. Absence of less than half a day does not need to be recorded. Please note, if morning and afternoon sessions are unequal each session should be regarded as half a day. Where a staff member is contracted to work for less than half a day absence should still be recorded, see Note 17.

Only required for Contracted Teachers and Contracted Teaching Assistants in regular service working for schools (see section 3.1). Absence data are not required for Agency/Service Agreement Teachers, other support staff or centrally employed staff.

### **2.3.4 Curriculum Module**

Curriculum data is expected from Secondary schools and middle deemed secondary schools, with computerised timetable systems, where those systems interface to their MI systems. Similarly, all-through schools with computerised timetable systems, where those systems interface to their MI systems should supply this data for NC year groups 5 and above. This data is required for all teachers and teaching assistants, where these are timetabled. For each Staff Details record there may be one or more Curriculum records. Please note that PPA time and Registration should be excluded from the return.

#### **Note 19: Subject Code (CBDS Ref 400220)**

Please note that the General Subject code set within the CBDS includes some categories that should only be used where necessary for the census. Where possible the specific learning code should be used for the Curriculum field. e.g. In the case of MFL, this code may be used for the Vacancy field, but we would request that it is not used for the Curriculum field. These codes are:

- MFL – Modern Foreign Languages. Where possible the specific language code (or “Other Language Subject” [OLA]) should be used
- SCI – Science. Subject codes for Biology, Chemistry and Physics are provided, together with separate codes for Combined Science. SCI should be used for Key Stage 3 Science, otherwise data providers are asked to avoid using SCI unless individual lessons cannot be categorised under one of the three sciences
- DAT – Design and Technology. Where possible schools are requested to use one of the more specific codes (Design and Technology – Electronics, Design and Technology – Food Technology, Design and Technology – Graphics, Design and Technology – Resistant Materials, Design and Technology – Systems & Control, Design and Technology – Textiles).
- NAP – Not Applicable and PRI – Primary Curriculum. These codes should only be used for Vacancy Subject <200322>

Please also note that the following eight subject codes apply to GCSEs in a vocational subject (or other vocational qualification) only (Applied art and design, Applied business, Engineering, Health and social care, Applied ICT, Leisure and tourism, Manufacturing and Applied science).

#### **Note 20: Subject Hours (CBDS Ref 400221)**

The number of hours in a typical week (or the equivalent of a week averaged over your Timetable cycle) that the Teacher/Teaching Assistant is timetabled to teach the Subject at the NC Year Group level. If a school operates a six day week then the total over the six days should be entered. If the school operates

a timetable cycle covering two or more weeks an average figure over that period should be entered. If the school timetable is structured so that an average is not readily obtainable then a figure to represent a typical week may be entered.

**Note 21: Year Group (CBDS Ref 400222)**

The CBDS provides the full NC Year Group code set. NC year groups for primary schools (year 4 and below) are not applicable here. (Years 5 and 6 are provided for some Middle deemed Secondary Schools and for those secondary schools that include occasional periods for Junior School pupils, as well as for all through schools).

**2.3.5 Qualification Module**

In a change from previous years schools/LAs are asked to provide qualification data for other support staff as well as teachers and teaching assistants. All qualifications graded at NQF level 4 or above (ie post A-level qualifications) should be included.

For teachers we expect, as a minimum, their ITT qualifications. For teachers with a PGCE, we are also requesting data on prior degrees. For each member of staff, there may therefore be a number of Qualification records.

In previous years some teacher qualification data was obtained from GTCE, however this organisation has now been proposed for abolition, therefore schools and LAs are asked to provide all the qualification data for these members of staff directly.

**Note 22: Subject Code 1 & 2 (CBDS Ref 400335 & 400336)**

The code set provided in CBDS is based on the “Joint Academic Council (JACS) Principal Subjects” code set. Schools and software suppliers may use the extended JACS codes if desired, and schools should be able to supply a detailed JACS code if the person’s coding is known to the school, i.e. if it is shown on the degree certificate. For further information on JACS codes, please see the HESA web site at [www.hesa.org.uk/jacs](http://www.hesa.org.uk/jacs).

The JACS codeset represents the courses on offer currently and may not match those available in the past. Therefore there will be some cases where it is not possible to find an exact match between the qualifications of a staff member and one of the JACS codes. To accommodate these cases extra subjects (Z101 – *Science*; Z102 - *Applied Science*. Z103 - *Citizenship*. Z104 - *Design & Technology*. Z105 - *Geography*. Z106 - *Manufacturing* and Z107 - *Modern Languages*.) have been added to the CBDS codeset to represent subject areas commonly taught in schools. If a qualification does not match one of the JACS codes then it should be matched to the subject which the qualification most closely matches.

A set of five SEN qualification areas has been added to the subject codeset in CBDS. Staff who have qualifications relevant to teaching SEN pupils will be

able to use these subjects to record that fact. The SEN qualification areas are Z201 - *SEN – SENCO*; Z202 - *SEN – Sensory impairments*; Z203 - *SEN – Severe Learning Difficulties* ; Z204 - *SEN – Profound and Multiple Learning Difficulties*;Z205 - *SEN – other*.

### 3. Data items required in the School Workforce Census

#### 3.1 Determining categories of person

The table in Section 3.2 shows which data items are expected for each category of person. The derivation of these categories is based on the contract information supplied, and Contract/Service Agreement Type, Post, Start Date, End Date and Role Identifiers are required. Where these items are present, the school/LA software will need to determine the category for each contract and use this to derive the person category. These categories can then be utilised both to decide which items to extract for each person and also within the validation.

Usually a person will have only one contract or multiple contracts of the same category, and in this case the contract category and the person category will be the same. However some people will have multiple contracts of differing categories e.g. a person may have a teaching contract and also a support staff Contract (e.g. where they also work as a bursar). In such cases the person category needs to be derived based on the ‘highest ranking’ contract according to the business rules below, which need to be evaluated in sequence.

It is recognised that some schools will only supply a minimum set of information (see Section 2.1.3 for details of the minimum set) and the local authority will provide the remaining contract information. Hence it will not always be possible to derive the categories within the school software, and the validation section has been written to allow for both where minimum and detailed contract information is supplied by the school.

The definition of the categories of person is summarised in the table below.

		Contracted Teacher	Agency/SA Teacher	Contracted Teaching Assistant	Other Contracted Support Staff	
Contract Type (400090)	Contracts	PRM, FXT, TMP	n/a	PRM, FXT, TMP	PRM, FXT, TMP	
	Service Agr'mts	n/a	SLA, SAG, SOT	n/a	n/a	
Length of Contract		=> 28 days		=> 28 days	=> 28 days	
Post (400322)		Any value other than SUP/TAS/AVT		TAS	SUP	AVT

**NB** In 2010 DfE accepted returns which have a role of TASS or HLTA with a “SUP” post. For 2011 Roles of “TASS” or “HLTA” should be associated with a post of “TAS”.

Please also note that no workforce level data is required for Agency Support Staff.

Centrally employed non-teaching staff such as Education Welfare Officers, cleaners, ICT Support and catering staff - should be regarded as Other Support Staff. Teaching assistants should be assigned the post of TAS along with any suitable role such as Behaviour Manager/Specialist, Bilingual Support

Assistant, Cover Supervisor, Language Support, Learning Support Assistant (for SEN pupils) or one of the two roles previously available, Teaching Assistant and Higher Level Teaching Assistant. Teaching Assistants who have already been assigned the post of SUP will be accepted but all new entries should be given the post of TAS. Please see Annex A for background on Advisory Teachers

The table can be formally expressed using the following business rules, which need to be evaluated in sequence:

- a) 'Contracted Teacher' will be one where any of his/her contracts have
  - i) Contract/Service Agreement Type (CBDS Ref 400090) = 'PRM' and Post (CBDS Ref 400322) not = ('SUP' or 'TAS' or 'AVT') **or** Contract/Service Agreement Type = 'FXT' and End Date (CBDS Ref 400092) – Start Date (CBDS Ref 400091) greater than or equal to twenty seven days and Post not = ('SUP' or 'TAS' or 'AVT') **or**
  - ii) Contract/Service Agreement Type = 'TMP' and End Date provided and End Date – Start date greater than or equal to twenty seven days and Post not = ('SUP' or 'TAS' or 'AVT') **or**
  - iii) Contract/Service Agreement Type = 'TMP' and End Date not provided and Reference Date (CBDS Ref 800004) – Start date greater than or equal to twenty seven days and Post not = ('SUP' or 'TAS' or 'AVT') **otherwise an**
- b) 'Agency/Service Agreement (SA) Teacher in Regular Service' will be one where any of his/her contracts have
  - i) Contract/Service Agreement Type provided and not = 'PRM' and not = 'FXT' and not = 'TMP' and End Date provided and End Date – Start Date greater than or equal to twenty seven days and Post not = ('SUP' or 'TAS' or 'AVT') **or**
  - ii) Contract/Service Agreement Type provided and not = 'PRM' and not = 'FXT' and not = 'TMP' and End Date not provided and Reference Date – Start date greater than or equal to twenty seven days and Post not = ('SUP' or 'TAS' or 'AVT') **otherwise a**
- c) 'Contracted Teaching Assistant' will be one where any of his/her contracts have:
  - i) Post = 'TAS' and Contract/Service Agreement Type = 'PRM' **or**
  - ii) Post = 'TAS' and End Date provided and End Date – Start Date greater than or equal to twenty seven days **or**

- iii) Post = `TAS' and End Date not provided and Reference Date – Start Date greater than or equal to twenty seven days **otherwise**  
an
- d) 'Other Support Staff' will be one where any of his/her contracts have:
  - i) Post = 'SUP' and Contract/Service Agreement Type = 'PRM' **or**
  - ii) Post = 'SUP' and End Date provided and End Date – Start Date greater than or equal to twenty seven days **or**
  - iii) Post = 'SUP' and End Date not provided and Reference Date – Start Date greater than or equal to twenty seven days **or**
  - iv) Post = 'AVT' and Contract/Service Agreement Type = 'PRM' **or**
  - v) Post = `AVT' and End Date provided and End Date – Start Date greater than or equal to twenty seven days **or**
  - vi) Post = `AVT' and End Date not provided and Reference Date – Start Date greater than or equal to twenty seven days.

### 3.2 Data items expected for each category

The following table shows which data items are expected for each category of person in regular service. This table identifies which data items are mandatory, optional or not expected. An item may be mandatory but not included in the minimum data set. Some items, such as Contract End Date, are marked as mandatory but may not be applicable in certain circumstances. The circumstances in which it is mandatory may be determined from the validation rules. For further details please see the associated CBDS tables.

	Contracted Teachers	Agency/SA teachers	Contracted Teaching Assistants	Other contracted support staff	Notes
<b>1. Staff Details</b>					
Teacher Number	√	√	√	√	Required for non teachers, if applicable
Family Name	√	√	√	√	
Given Name	√	√	√	√	
Former Family Names	√	#	√	#	
NI Number	√	√	√	√	
Gender	√	√	√	√	
Date of birth	√	√	√	√	
Ethnic Code	√	√	√	√	
Disability	√	√	√	√	
QT Status	√	√	√	#	
HLTA Status	√	#	√	√	
QTS Route	√	√	#	#	Required for those working towards QTS
<b>2. Contract/Service Agreement</b>					
Contract/Service Agreement Type	√	√	√	√	
Start Date	√	√	√	√	
End Date	√	√	√	√	
Post	√	√	√	√	
Date of Arrival in School	√	√	√	#	Not applicable for centrally employed staff. Only required for teachers and teaching assistants who joined the school from 1/9/2009.
Pay Scale	√	√	√	√	Not required if "Daily Rate" = 'Y'. NB: Daily rate only applies to Agency/SA Teachers
Regional Pay Spine	√	√	X	X	
Spine Point	√	√	X	X	

	Contracted Teachers	Agency/SA teachers	Contracted Teaching Assistants	Other contracted support staff	Notes
Total Pay	√	√	√	√	Not mandatory if 1) Pay Scale, Regional Pay Spine and Spine Point are provided, OR 2) If "Daily Rate" = 'Y'. NB: Daily rate only applies to Agency/SA Teachers
Safeguarded Salary	√	X	X	X	
Daily Rate <sup>3</sup>	X	√	X	X	Not required for centrally employed staff
Destination	√	#	√	#	
Origin	√	#	√	#	Required for contracts starting from 1/9/2009
Role Identifier	√	√	√	√	
Hours worked per week	√	√	√	√	Not required if "Daily Rate" = 'Y'. NB: Daily rate only applies to Agency/SA Teachers
FTE Hours per week	√	√	√	√	
Weeks per year	√	√	√	√	
Category of Additional Payment	√	√	√	√	
Additional Payment Amount	√	√	√	√	
<b>3. Absence</b>					
First Day	√	#	√	#	Not required for centrally employed staff
Last Day	√	#	√	#	
Working Days Lost	√	#	√	#	
Absence Category	√	#	√	#	
<b>4. Curriculum</b>					
Subject Code	√	√	√	X	Not required for centrally employed staff
Hours	√	√	√	X	
NC Year Group	√	√	√	X	
<b>5. Qualification</b>					
Qualification code	√	√	√	√	
Subject Code 1	√	√	√	√	
Subject Code 2	√	√	√	√	

**Notes:**

Pay and Hours data are now required for all staff in regular service. Pay and hours data consist of: Pay Scale, Regional Spine, Spine Point, Total Pay, Safeguarded Salary, Additional Payment Type, Additional Payment Amount, Hours worked per week, FTE Hours per week and Weeks per year. In some cases one or more of these data items may be irrelevant, please see notes on individual data items.

<sup>3</sup> When Daily Rate applies pay and hours data are not required.

'√' indicates that this data item is required for this category of staff.

'#' indicates optional data items – schools/LAs may wish to hold on their MIS, but software suppliers should endeavour to filter out from returns where possible. These data items are not required by DfE but will be used if supplied.

'X' indicates that this data item is not applicable and would not be expected to be held on a MIS, or returned.

### **3.3 Coverage and timing**

The following Table details the rules relating to when the various Workforce Level modules, or individual data items, are to be collected. Most data will be Snapshot data (ie, collected as at Census Reference Date or date of data extraction); but some data will be from the previous academic year, to provide a picture over time (i.e. continuous data).

## Breakdown of snapshot and continuous data

(this table should be read in conjunction with table in Section 3.2)

	SNAPSHOT	CONTINUOUS
<b>Staff Details</b> module	<p><u>All items</u><sup>4</sup> for</p> <ul style="list-style-type: none"> <li>• All staff in regular service at schools or LAs on Census Reference Date, plus,</li> <li>• Any additional teachers or teaching assistants for whom the MIS will generate absence data for the previous academic year, plus,</li> <li>• Any additional staff in schools and LAs, who had been in regular service and whose contract/service agreement finished in the period from 1 September of the previous academic year to 3 November (Census Reference Date).</li> </ul>	
<b>Contract/Service Agreement</b> module	<p><u>All items</u> for all current Contract/Service Agreement records for all members of staff in regular service on Census Reference Date.</p>	<p><u>Non-pay items</u><sup>5</sup> for any further Contract/Service Agreement records with an End Date in the period 1 September of the previous academic year to census reference date. (ie for 2011 school workforce census 1 September 2010 to 3 November 2011).</p>
<b>Absence</b> module	none required	Any Absence records where the First Day or Last Day of absence falls in the period 1 September to 31 August (inclusive) of the previous academic year. This could include absences on-going on census day.
<b>Curriculum</b> module	<p><u>All items</u> for all records for all teachers and teaching assistants in regular service for whom data is supplied by the timetable system.</p>	none required
<b>Qualification</b> module	<p><u>All items</u> for all records for all Teachers, teaching assistants and support staff in regular service<sup>6</sup>.</p>	none required

<sup>4</sup> "All Items" i.e. all items that are required for the type of person, as specified in Section 3.2.

<sup>5</sup> Non-pay items required from the Contract/Service Agreement module are Contract/Service Agreement Type, Start Date, End Date, Post, Date of Arrival in School, Destination and Origin, Role Identifier, Hours per week, FTE Hours and Weeks per Year. No Additional Payments items are required.

<sup>6</sup> Schools/LAs are required to populate Qualifications for teachers, service agreement/agency teachers, teaching assistants and other support staff in regular service. This is a change from previous years.

#### **4. Guidance Section – School Level (Teacher Vacancies & Staff Information Modules); and LA Level (Educational Psychologists).**

##### **4.1 Outline data content – School Level**

The data items included in the Teacher Vacancies and Staff Information Modules are shown in the CBDS tables.

##### **4.1.1 Teacher Vacancies Module**

The Secretary Of State has a legal responsibility (Section 10, 1994 Education Act) in relation to teacher supply in England. The information is used to plan teacher recruitment and judge success of teacher supply strategies. This information was previously collected from local authorities but it is now intended to collect this from schools.

For each qualified teacher post (permanent or a contract of one or more terms, where a term is one third of an academic year) that is vacant or temporarily filled on census Reference Date, the school must complete a vacancy record. A vacant or temporarily filled post is where:

- a) the vacant post is not covered, or
- b) the post is covered temporarily by other staff within the school, or
- c) the post is covered by a teacher on a contract of less than one term (ie one third of an academic year), or
- d) the post is covered by a teacher on a contract of at least one term (ie one third of an academic year) and no more than three terms (except if the incumbent is on recognised long term absence such as sick leave, maternity leave, other paid leave, training or secondment).

The school should include

- posts the school has tried to fill but were not filled on census Reference Date
- posts where an appointment has been made but was not in post on census Reference Date
- posts for all types of qualified teachers from classroom teachers to head teachers

and exclude

- posts not becoming vacant until after census Reference Date (e.g. where teacher has resigned but is serving notice).

If a school has no vacancies then the whole module can be omitted from the return.

##### **Note 23: Vacancy Post (CBDS Ref 200628)**

This identifies the type of teaching post that is vacant.

Note that support staff, teaching assistant and advisory teacher are included in the Post codeset but schools do not need to provide information about any vacancies for these posts. Information is only required for vacant teacher posts in the codeset: executive head, head teacher, deputy head, assistant head, classroom teacher, advanced skills teacher and excellent teacher.

**Note 24: Vacancy Subject (CBDS Ref 200322)**

The subject of the vacant post within the school. For Head, Deputy Head and Assistant Head posts subject is not relevant and so the code of “Not Applicable” can be used for these vacancies. For vacancies in Primary or Special schools choose the most appropriate subject code, or if the vacancy is not for a specific subject, choose “Primary Curriculum” or, for special schools choose “Not Applicable” or Primary Curriculum as appropriate.

**Note 25: Vacancy Tenure (CBDS Ref 200323)**

This item identifies whether the post is part-time or full time.

**Note 26: Vacancy Temporarily Filled (CBDS Ref 200324)**

A post temporarily-filled on census day is where the post is covered by a teacher on a contract of at least one term (a third of an academic year) and no more than three terms (except if the incumbent is on recognised long term absence, eg sick leave, maternity leave, other paid leave, training or secondment).

**Note 27: Vacancy Advertised (CBDS Ref 200325)**

This item indicates whether or not the post has been advertised.

#### **4.1.2 Staff Information Module**

A count of various categories of staff in service on Census Reference Date is required in order to provide a complete picture of staffing levels at schools. Collection of individual level data on these staff would be too burdensome. e.g. for supply teachers who may only be in service for as little as a day, or for support staff provided by third parties – where it would be very difficult for schools to obtain detailed information.

For teachers, a simple count of Occasional Teachers in school on census Reference Date, split by categories of Qualified/Unqualified/Not Known is required.

A count is required for each category of Occasional Teacher and zero counts should also be returned.

For 3<sup>rd</sup> party support staff, ie support staff **not directly employed by a school or local authority** (e.g. cleaners employed by a contract cleaning company), a count of staff working at the school on census Reference Date is required, split by their role as defined in the role code list.

Zero counts are not required against roles for which no third party staff are employed.

## 4.2 LA Level – Educational Psychologists

The third level of the SWF collection is an LA Level collection of information on Educational Psychologists.

The data required is a headcount of Educational Psychologists in regular service in post, by:

- Full Time (CBDS Ref 300026)
- Part-Time (number i.e. Headcount) (CBDS Ref 300027)
- Part-Time FTE (rounded to one decimal place e.g. 95.0, 28.4) (CBDS Ref 300028). This is the FTE for all the part time Educational Psychologists added together. Eg if there are three part time Ed Psychs with FTEs of 0.2, 0.3 and 0.4 the Part time FTE will be  $(0.2+0.3+0.4)=0.9$ .

Note: LAs who contract Educational Psychologists from other authorities should count them as part-time, and show the relevant FTE. The LAs from whom the Educational Psychologists have been contracted, should deduct the equivalent FTE from their return.

Educational Psychologists employed through agencies, should be included if they are in post on Census Reference Date.

## 5. XML Message Structure

### 5.1 Note on the XML Message for the School Workforce Census

The XML message structure described below has the following features:

- The Header follows the standard DfE Census Header, derivation rules are provided in Section 6;
- Within the Contract / Service Agreement module, there are XML groups / fragments for three areas of data; Payments, Additional Payments and Hours. These groups are shown at two levels. They can be contained at Contract / Service Agreement level, within the <PostLevelDetails> group. Alternatively they can be contained within the Role, using the group <RoleLevelDetails>. Suppliers can choose to implement either one of these options in their systems, or they can implement both and provide user choice, but any one of these fragments must not appear at both levels, i.e. For any particular contract Hours may be shown either within the <PostLevelDetails> group, or within the <RoleLevelDetails > group but not within both;
- Note that the minimum set of data items should be supplied with any of the other modules for identification and matching purposes;
- The order of xml tags within each module should be as specified;
- Please ensure that date and time are supplied in the correct format;
- Empty xml tags should not be returned.

## 5.2 Overall XML Message Structure

School Workforce Census 2011 - Overall Message Structure	
	<Message>
	<Header>
	( See 5.3 below for details)
	</Header>
	<SchoolWorkforceMembers>
	(See 5.4 below for details)
	</SchoolWorkforceMembers>
	<School>
	(See 5.5 below for details)
	</School>
	<LA>
	(See 5.6 below for details)
	</LA>
	</Message>

### 5.3 XML Header Message Structure

School Workforce Census 2011 - Header Message Structure	
	<Header>
	<CollectionDetails>
800001	<Collection>School Workforce Census</Collection>
800003	<Year>2011</Year>
800004	<ReferenceDate>2011-11-03</ReferenceDate>
	</CollectionDetails>
	<Source>
800005	<SourceLevel>S</SourceLevel>
200001	<LEA>303</LEA>
200002	<Estab>3001</Estab>
	<SoftwareCode>ABC</SoftwareCode>
800008	<Release>2</Release>
800009	<Xversion>1.5</Xversion>
800007	<SerialNo>001</SerialNo>
800010	<DateTime>2011-11-04T11:14:05</DateTime>
	</Source>
	<Content>
	<CBDSLlevels>
800011	<CBDSLevel>Workforce</CBDSLevel>
800011	<CBDSLevel>School</CBDSLevel>
800011	<CBDSLevel>LA</CBDSLevel>
	</CBDSLlevels>
	</Content>
	</Header>

## 5.4 Workforce XML Message Structure

The data within the XML tags in the structure below is intended to demonstrate the type of data that should be returned for each item. Note that the full set of data in this structure would not be a valid return as, for example, hours and payments can not be assigned to both Post and Role.

School Workforce Census 2011 – Workforce XML Message Structure	
	<SchoolWorkforceMembers>
	<SchoolWorkforceMember>
	<StaffDetails>
400014	<TeacherNumber>0154321</TeacherNumber>
	<StaffMemberName>
400001	<PersonFamilyName>Smith</PersonFamilyName>
	<GivenNames>
	<GivenName>
400002	<PersonGivenName>Daphne</PersonGivenName>
	</GivenName>
	</GivenNames>
	</StaffMemberName>
	<FormerFamilyNames>
400010	<PersonFamilyName>Jones</PersonFamilyName>
	</FormerFamilyNames>
400013	<NINumber>EB123456C</NINumber>
400008	<GenderCurrent>2</GenderCurrent>
400007	<PersonBirthDate>1953-09-17</PersonBirthDate>
400021	<Ethnicity>MWBC</Ethnicity>
400320	<Disability>REFU</Disability>
400047	<QTStatus>>true</QTStatus>
400051	<HLTASStatus>>false</HLTASStatus>
400049	<QTSTRoute>GTPR</QTSTRoute>

School Workforce Census 2011 – Workforce XML Message Structure	
	</StaffDetails>
	<ContractOrServiceGroup>
	<ContractOrService>
400090	<ContractType>PRM</ContractType>
400091	<ContractStart>2006-01-03</ContractStart>
400092	<ContractEnd></ContractEnd>
400322	<Post>TCH</Post>
400094	<SchoolArrivalDate>2006-01-03</SchoolArrivalDate>
400139	<DailyRate>N</DailyRate>
400097	<DestinationCode>OTHSEC</DestinationCode>
400334	<Origin>1STAFT</Origin>
400117	<LASchoolLevel>S</LASchoolLevel>
200002	<Estab>3003</Estab>
	<PostLevelDetails>
	<Payments>
400321	<Scale>TE</Scale>
400131	<RegionSpine>EW</RegionSpine>
400333	<SpinePoint>M6</SpinePoint>
400135	<TotalPay>24321.45</TotalPay>
400138	<SafeguardedSalary>>false</SafeguardedSalary>
	</Payments>
	<AdditionalPayments>
	<AdditionalPayment>
400142	<PaymentType>WEL</PaymentType>
400143	<PaymentAmount>450.50</PaymentAmount>
	</AdditionalPayment>
	</AdditionalPayments>
	<Hours>
400099	<HoursPerWeek>25</HoursPerWeek>
400100	<FTEHours>25</FTEHours>
400101	<WeeksPerYear>52</WeeksPerYear>

School Workforce Census 2011 – Workforce XML Message Structure	
	</Hours>
	</PostLevelDetails>
	<Roles>
	<Role>
400323	<RoleIdentifier>TCHR</RoleIdentifier>
	<RoleLevelDetails>
	<Payments>
400321	<Scale>TE</Scale>
400131	<RegionSpine>EW</RegionSpine>
400333	<SpinePoint>M6</SpinePoint>
400135	<TotalPay>24321.45</TotalPay>
400138	<SafeguardedSalary>>false</SafeguardedSalary>
	</Payments>
	<AdditionalPayments>
	<AdditionalPayment>
400142	<PaymentType>WEL</PaymentType>
400143	<PaymentAmount>450.50</PaymentAmount>
	</AdditionalPayment>
	</AdditionalPayments>
	<Hours>
400099	<HoursPerWeek>25</HoursPerWeek>
400100	<FTEHours>25</FTEHours>
400101	<WeeksPerYear>52</WeeksPerYear>
	</Hours>
	</RoleLevelDetails>
	</Role>
	</Roles>
	</ContractOrService>
	</ContractOrServiceGroup>
	<Absences>
	<Absence>

School Workforce Census 2011 – Workforce XML Message Structure	
400200	<FirstDayOfAbsence>2010-09-03</FirstDayOfAbsence>
400203	<LastDayOfAbsence>2010-09-30</LastDayOfAbsence>
400202	<WorkingDaysLost>20</WorkingDaysLost>
400205	<AbsenceCategory>SIC</AbsenceCategory>
200002	<Estab>3003</Estab>
	</Absence>
	</Absences>
	<Curriculums>
	<Curriculum>
400220	<Subject>MUS</Subject>
400221	<SubjectHours>15</SubjectHours>
400222	<YearGroup>8</YearGroup>
200002	<Estab>3003</Estab>
	</Curriculum>
	</Curriculums>
	<Qualifications>
	<Qualification>
400223	<QualificationCode>BEDO</QualificationCode>
	<Subjects>
400335	<QualificationSubject>A100</QualificationSubject>
	</Subjects>
	<Subjects>
400336	<QualificationSubject>B700</QualificationSubject>
	</Subjects>
200002	<Estab>3003</Estab>
	</Qualification>
	</Qualifications>
	</SchoolWorkforceMember>
	</SchoolWorkforceMembers>

## 5.5 School (Vacancies & Staff Information) XML Message Structure

School Workforce Census 2011 – School (Vacancies) XML Message Structure	
	<School>
800004	<ReferenceDate>2011-11-03</ReferenceDate>
200002	<Estab>3001</Estab>
	<Vacancies>
	<Vacancy>
200628	<VacancyPost>TCH</VacancyPost>
200322	<Subject>CHM</Subject>
200323	<Tenure>F</Tenure>
200324	<VacancyTemporarilyFilled>>true</VacancyTemporarilyFilled>
200325	<VacancyAdvertised>>true</VacancyAdvertised>
	</Vacancy>
	</Vacancies>
	<StaffInformation>
	<Occasionals>
200602	<OccasionalsQTS>2</ OccasionalsQTS>
200603	<OccasionalsNOTQTS>0</ OccasionalsNOTQTS>
200604	<OccasionalsNOTKNWN>1</ OccasionalsNOTKNWN>
	</Occasionals>
	<AgencyTPsupport>
	<AgencyTPsupportCount>
200567	<AgencyTPsupportCategory>CLNR</AgencyTPsupportCategory>
200568	<SupHeadCount>11</SupHeadCount>
	</AgencyTPsupportCount>
	</AgencyTPsupport>
	</StaffInformation>
	</School>

**5.6 LA Level (Headcount Information) XML Message Structure.**

School Workforce Census 2011 – LA (Headcount) XML Message Structure	
	<LA>
	<EducationalPsychologists>
300026	<EdPsychsFT>100</EdPsychsFT>
300027	<EdPsychsPT>100</EdPsychsPT>
300028	<EdPsychsFTE>28.4</EdPsychsFTE>
	</EducationalPsychologists>
	</LA>

## 6. Validation Checks

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 LAs prior to loading the data onto the COLLECT system and any issues resolved. Those data items included in the Tables but not appearing in the validation rules - that is, those not shown in the validation rules as "must be present" - should be supplied where available. The table 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 an item occurs more than once for the same member of staff, 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., <PersonGivenName>, or the item is within a module that may occur more than once, e.g., <ContractOrService>.

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. Please note that in the interests of making the collection as practicable as possible it will be necessary in some cases to allow returns containing errors to be submitted.
- data items are indicated using the XML tag with the CBDS number in parentheses, for example <TeacherNumber > (400014)
- the first occasion on which an item appears, it is shown in bold. This is to aid the eye in navigating the tables only, and has no other significance
- single dates or date ranges are sometime defined in relation to <ReferenceDate>, which is from the XML Header (see section 5.3)
- Notes, in italics, are explanatory and non-normative

## 6.1 Message Header Derivation

Seq Number	Validation/Derivation Rules	Error message (if validated)
<b>School Workforce Header</b>		
10	<b>&lt;Collection&gt; (800001)</b> must be 'School Workforce Census'	Census Name invalid, should be 'School Workforce Census'
30	<b>&lt;Year&gt; (800003)</b> must be 2011	Year out of range
40	<b>&lt;ReferenceDate&gt; (800004)</b> must be provided and be in the format CCYY-MM-DD	Reference Date, i.e. Census Reference Date, must be provided
50	The combination <b>&lt;ReferenceDate&gt; (800004)</b> and <b>&lt;Year&gt; (800003)</b> must be <u>2011-11-03, and 2011</u>	Census Reference Date and/or year are incorrect
60	<b>&lt;SourceLevel&gt; (800005)</b> must be S if the data within the file is from a school MIS, and therefore contains data from one school only. Must be L if the data is from a central LA source whether it represents one or more schools	Source level is invalid
70	<b>&lt;LEA&gt; (200001)</b> is the LA Number	LA Number is invalid
80	<b>&lt;Estab&gt; (200002)</b> is the DfE Establishment Code. For a return from an LA containing data for centrally employed staff, this may be omitted	

Seq Number	Validation/Derivation Rules	Error message (if validated)
85	<b>&lt;Estab&gt; (200002)</b> Where present must be in valid range	Estab Number in header is not valid
90	<b>&lt;SoftwareCode&gt;</b> must be the code for the MIS or LA system agreed between DfE and the supplier	
100	<b>&lt;Release&gt; (800008)</b> This item is optional and can take any format.  Note: Suppliers can populate this with a version number or other information as they choose and are encouraged to do so.	
110	<b>&lt;SerialNo&gt; (800007)</b> start at 001 and increment by 1 each time a file is generated	
120	<b>&lt;DateTime&gt; (800010)</b> the date and time when the file is generated in the format CCYY-MM-DDThh:mm:ss	
130	<b>&lt;CBDSLevel&gt; (800011)</b> must be 'Workforce' or 'School' or 'LA'	

## 6.2 Workforce Level Validation

As mentioned in Section 2.1.2 above it is recognised that schools will sometimes only supply a minimum set of information, and where this is the case it will not be possible to apply all validation. A column 'Applicable To Min Set' indicates those validations, which apply to the minimum set.

Seq Number	Validation Check	Error Messages	Applicable To Min Set
	<b>Staff Details</b>		
	<i>Note: The School Workforce Details validation below is dependent on there being a corresponding Staff Details Node.</i>		
4100Q	<b>&lt;TeacherNumber&gt; (400014)</b> Should be provided where <QTStatus> (400047) is equal to true or 1.	Please check: Qualified Teacher with Teacher Number missing	No
4105	If present, the <TeacherNumber> (400014), must be seven digits.  <i>Note: If an 8 digit (Welsh) number is entered the number will be truncated, ie the last digit will be removed by COLLECT.</i>	Teacher number is not 7 digits.	Yes
4110	<b>&lt;PersonFamilyName&gt; (400001)</b> must be provided and be validly formatted. For field format and/or allowed values please see associated CBDS entry.	Family Name is missing or has two or more consecutive spaces.	Yes

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4120	<b>&lt;PersonGivenName&gt; (400002)</b> must be provided and be validly formatted. For field format and/or allowed values please see associated CBDS entry.	Given Name is missing or has two or more consecutive spaces.	Yes
4140	<b>&lt;PersonFamilyName&gt; (400010)</b> (Former Family Name) Where provided, must have field format as in associated CBDS entry.	Former Family Name has two or more consecutive spaces.	Yes
4150	Where Provided <b>&lt;NINumber&gt; (400013)</b> must be 9 characters, where first 2 characters must be alpha, next 6 characters must be numeric and final character can be A, B, C, D or space. Also first character must not be D,F,I,Q,U or V and second characters must not be D, F, I, O, Q, U or V.	NI Number has invalid Format	Yes
4155Q	First 2 characters of <NINumber> (400013) should not be GB, BG, NK, KN, TN, NT or ZZ.	Please check: Appears to be a temporary or non-standard NI Number. This should be resolved or removed	Yes
4160Q	<NINumber> (400013) should be provided	Member of workforce with missing NI Number	Yes
4180	<b>&lt;GenderCurrent&gt; (400008)</b> must be provided For field format and/or allowed values please see associated CBDS entry.	Gender is missing	No
4190	<b>&lt;PersonBirthDate&gt; (400007)</b> must be provided and be in a valid format For field format and/or allowed values please see associated CBDS entry.	Date of Birth missing or has invalid format. Format should be CCYY-MM-DD.	Yes

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4200	<PersonBirthDate> (400007). Calculate age. Age must be over 15 and under 100	Person's age must be between 15 and 100 years	Yes
4220	<b>&lt;Ethnicity&gt; (400021)</b> Where provided, field format and/or allowed values must match associated CBDS entry	Ethnicity is invalid	No
4225	<b>&lt;Disability&gt; (400320)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Disability is invalid	No
4228	If <Post> (400322) not = ('AVT' or 'SUP' or 'TAS') then <QTStatus> (400047) must be present	QT Status is missing for a teacher	No
4230	<b>&lt;QTStatus&gt; (400047)</b> If provided must be 'true' or 'false' or '1' or '0' For field format and/or allowed values please see associated CBDS entry.	QT Status is invalid	No
4235Q	If <QTStatus> (400047) = 'true' or '1' then <PersonBirthDate> (400007) should be 21 years or more prior to the <ReferenceDate> (800004)	Person is not expected to have QT status and be under 21 years of age on <ReferenceDate>.	No
4238	If <Post> (400322) = 'TAS' then <b>&lt;HLTASStatus&gt; (400051)</b> must be present	HLTA Status is missing for a Teaching Assistant	No
4240	<HLTASStatus> (400051) If provided must be true or 1 or false or 0 For field format and/or allowed values please see associated CBDS entry.	HLTA Status is invalid	No
4245	If <HLTASStatus> (400051) = true or 1 then <PersonBirthDate> (400007) must be 18 years or more prior to <ReferenceDate>	Person cannot be shown as having HLTA status and be under 18 on <ReferenceDate>	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4250	<b>&lt;QTSRoute&gt; (400049)</b> If provided must be a valid value For field format and/or allowed values please see associated CBDS entry.	QTS Route is invalid	No
	<b>Contract / Service Agreement</b>		
	<i><b>Note:</b> The Contract/Service Agreement validation is applicable whenever a Contract node is supplied.</i>		
4280	<b>&lt;LASchoolLevel&gt; (400117)</b> must be provided and must be equal to S or L	LA or School Level indicator missing or invalid	No
4310	<b>&lt;ContractType&gt; (400090)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Contract/Service Agreement Type is invalid	No
4350	<b>&lt;ContractStart&gt; (400091)</b> Must be provided For field format and/or allowed values please see associated CBDS entry.	Contract/Service Agreement Start Date is missing	No
4355	<ContractStart> (400091) must be less than or equal to <ReferenceDate>.	Contract/Service Agreement Start Date can not be in the future.	No
4357	<ContractStart> (400091) should be equal to or less than 50 years prior to the <ReferenceDate> (800004)	Contract/Service Agreement Start Date more than 50 years ago.	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4360	Contracts/Service agreements either must have <ContractEnd> (400092) in the period from 1 <sup>st</sup> September of preceding calendar year to <ReferenceDate> (inclusive) OR must have <ContractEnd> not present or else equal to or after <ReferenceDate>.	Contract has invalid dates for this Census.	No
4370	<b>&lt;ContractEnd&gt; (400092)</b> If provided must be a valid date For field format and/or allowed values please see associated CBDS entry.	Contract End Date is invalid	No
4375	If provided, <ContractEnd> (400092) must be at least 27 days after <ContractStart> (400091) of the same <ContractOrService>.	Contract/Service Agreement end date must be at least 27 days after the start date for this type of contract or agreement	No
4376	If <ContractEnd> (400092) not provided, <ContractStart> (400091) must be at least 27 days before <ReferenceDate> (800004).	Contract/Service Agreement has not lasted 28 days	No
4377Q	If <ContractType> (400090) is not equal to FXT then if provided, <ContractEnd> (400092) should be prior to or equal to <ReferenceDate> (800004)	Contract/Service Agreement end date should be on or prior to Census Reference Date for this type of contract or agreement	
4380	If <ContractType> (400090) is equal to FXT <ContractEnd> (400092) must be provided	Contract/Service Agreement Type is Fixed Term therefore End Date must be specified.	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4385	Where <ContractType> (400090) = ('PRM' or 'FXT' or 'TMP') and <Post> (400322) not = ('SUP' or 'AVT') and <ContractEnd> (400092) is provided and not after <ReferenceDate> (800004) or equal to <ReferenceDate> (800004) then <DestinationCode> (400097) must be provided	Destination code must be provided for completed contracts	No
4390Q	If <DestinationCode> (400097) is provided <ContractEnd> (400092) should be provided	Please check: Destination code has been provided therefore contract End Date must be specified	No
4400	Where provided <ContractEnd> (400092) must be greater than or equal to <ContractStart> (400091)	Contract End Date cannot be before contract Start Date	No
4410	<b>&lt;Post&gt; (400322)</b> Must be provided For field format and/or allowed values please see associated CBDS entry.	Post is missing	No
4413	If <Post> (400322) = 'EXH' then one of the child <Role> elements should contain <RoleIdentifier> (400323) of 'EXHT'	Post shown as Executive Head. One of the associated Roles must also be Executive Head	
4414	If <Post> (400322) = 'HDT' then one of the child <Role> elements should contain <RoleIdentifier> (400323) of 'HDTR'	Post shown as Head Teacher. One of the associated Roles must also be Head Teacher	No
4415	If <Post> (400322) = 'DHT' then one of the child <Role> elements should contain <RoleIdentifier> (400323) of 'DPHT'	Post shown as Deputy Head. One of the associated Roles must also be Deputy Head	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4416	If <Post> (400322) = 'AHT' then one of the child <Role> elements should contain <RoleIdentifier> (400323) of 'ASHT'	Post shown as Assistant Head Teacher. One of the associated Roles must also be Assistant Head	No
4417Q	If <Role> (400323) is equal to 'HLTA' then <HLTAStatus> (400051) should be true or 1	If role is HLTA then HLTA Status is expected to be true	No
4420	<b>&lt;SchoolArrivalDate&gt; (400094)</b> Where present please see associated CBDS entry, for field format and/or allowed values	Date of Arrival in School is invalid	No
4425Q	<SchoolArrivalDate> (400094), if provided, should be less than 50 years prior to the <Reference Date> (800004)	Please check: Date of Arrival in School is more than 50 years ago	No
4430Q	Where <Post> (400322) not = ('SUP' or `AVT'), and <LASchoolLevel> is equal to S, then <SchoolArrivalDate> (400094) should be supplied	Please Check: Date of Arrival in School has not been supplied	No
4440Q	Where <Post> (400322) not = ('SUP' or `AVT'), then <SchoolArrivalDate> (400094), if present, should not be later than <ContractStart> (400091)	Please check: Date of Arrival in School should not be later than the start of the contract	No
4460	<Scale> (400321) Where provided, field format and/or allowed values must match associated CBDS entry.	Pay Scale is invalid	No
4470	Where <Scale> (400321) is equal to LD, TE, TU, EX or AS then <QTStatus> (400047) must be equal to 'true' or '1'	Qualified Teacher Status inconsistent with Pay Scale type	No
4480	Where <Post> (400322) is equal to SUP or TAS then <Scale> (400321) cannot be equal to LD, TE, TU, EX or AS	The Pay Scale supplied is not valid for a support staff or teaching assistant Post	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4490	Where <ContractEnd> (400092) not present or after Reference Date (800004) or equal to Reference Date (800004) and <DailyRate> (400139) is equal to N or is blank and <Post> (400322) is equal to HDT, DHT or AHT then <Scale> (400321) must be equal to LD or OT.	Pay Scale is invalid for the given Post. Head teachers, Deputy Heads and Assistant Heads must be paid under the "Leadership Pay Scale" or an "Other Pay Scale".	No
4500	Where <ContractEnd> (400092) not present or after Reference Date (800004) or equal to Reference Date (800004) and <DailyRate> (400139) is equal to N or is blank and <Post> (400322) is equal to AST then <Scale> (400321) must be equal to AS or OT.	Pay Scale is invalid for the given Post. Advanced Skills Teachers must be paid under the "Advanced Skills Teachers Pay Scale" or an "Other Pay Scale".	No
4505	Where <ContractEnd> (400092) not present or after Reference Date (800004) or equal to Reference Date (800004) and <DailyRate> (400139) is equal to N or is blank and <Post> (400322) is equal to EXL then <Scale> (400321) must be equal to EX or OT.	Pay Scale is invalid for the given Post. Excellent Teachers must be paid under the "Excellent Teachers Pay Scale" or an "Other Pay Scale".	No
4570	<b>&lt;DailyRate&gt; (400139)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Daily Rate is invalid	No
4580	<b>&lt;DestinationCode&gt; (400097)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Destination code is invalid	No
4600	<b>&lt;Origin&gt; (400334)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Origin is invalid	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4610Q	Where <Post> (400322) not = ('SUP' or `AVT') AND <ContractType> (400090) = ('PRM' or 'FXT' or 'TMP'), then if <ContractStart> (400091) is greater than 2009-08-31 then <Origin> (400334) should be provided.	Please check: Origin should be provided.	No
<b>Payments</b>			
4515	For each <ContractOrServiceGroup>, where <ContractEnd> (40092) not present or else equal to or after <ReferenceDate> (800004) and <DailyRate> (400139) is equal to N or is blank, then at least one Payments Node should exist in either the <PostLevelDetails> node or in the <RoleLevelDetails> node.	No Payment information has been provided	
4510	<b>&lt;RegionSpine&gt; (400131)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Regional Pay Spine is invalid	No
4520	<b>&lt;SpinePoint&gt; (400333)</b> Where provided, field format and/or allowed values must match associated CBDS entry. Note that ETMIN and ETMAX are not allowed in SWF though they are in CBDS.	Spine Point is invalid	No
4530	<b>&lt;TotalPay&gt; (400135)</b> Where Total Pay is present and not zero, please see associated CBDS entry for field format and/or allowed values.	Total Pay is in an invalid format. Format must be 999999.99	No
4540	If <ContractEnd> (400092) not present or after <ReferenceDate> (800004), and <DailyRate> (400139) is blank or is equal to N, and <TotalPay> (400135) not present or equal to zero, then Pay Scale (400321), Spine Point (400333) and Regional Pay Spine (400131) must be provided.	If Total Pay is not provided and staff member is not paid by a Daily Rate then Pay Scale, Spine Point and Regional Pay Spine must all be provided	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4550	Where <ContractEnd> (400092) not present or after Reference Date (800004) and <DailyRate> (400139) is equal to Y then <TotalPay> (400135) must not be provided	Total Pay must not be provided where Daily Rate is Y	No
4555	A <Payments> node cannot be provided in both the <PostLevelDetails> node and the <RoleLevelDetails> node under the same contract.	Total Pay must not be provided for both Post and Role for the same Contract / Service Agreement	No
4560	<b>&lt;SafeguardedSalary&gt; (400138)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Safeguarded Salary is in an invalid format. Format should be '1' or '0' or 'true' or 'false'	No
<b>Role</b>			
4700	The Role validation below is applicable to all Role nodes. At least one Role Node should be supplied for the associated Contract Node.	No Role details have been supplied	No
4710	<b>&lt;RoleIdentifier&gt; (400323)</b> Must be provided  For field format and/or allowed values please see associated CBDS entry.	Role Identifier is missing	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4720	Where <Post> (400322) is equal to (SUP or TAS) then the following <RoleIdentifier> (400323) values are invalid: ADVT ASHT DPHT EXHT HDTR MISC MUSC PERI SPLY TCHR TMIS TNON TPRU	Post is inconsistent with Role Identifier	No
4725	Where <Post> (400322) is equal to (SUP) then the following <RoleIdentifier> (400323) values are invalid: TASS HLTA	Role of TASS (Teaching Assistant) or HLTA (Higher Level Teaching Assistant) should be linked to post of TAS (Teaching Assistant)	
<b>Hours</b>			
4730	<b>&lt;HoursPerWeek&gt; (400099)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Hours worked per week is in an invalid format. Format must be 99.99.	No
4735	An <Hours> node cannot be provided in both the <PostLevelDetails> node and the <RoleLevelDetails> node under the same contract.	Hours worked per week must not be provided for both Post and Role for the same Contract / Service Agreement	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4740	Where <DailyRate> equals N or is blank, then <HoursPerWeek> (400099) must be provided. <u>Note</u> - this should be evaluated against both Post and Role details.	Hours worked per week is missing	No
4750	<b>&lt;FTEHours&gt; (400100)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	FTE Hours per week is invalid	No
4760	Where <DailyRate> equals N or is blank, then <FTEHours> (400100) must be provided. <u>Note</u> - this should be evaluated against both Post and Role details.	FTE Hours per week is missing	No
4765Q	Where provided <FTEHours> (400100) should not be less than 24 or more than 40	FTE hours normally expected to be at least 24 and no greater than 40	No
4770	<b>&lt;WeeksPerYear&gt; (400101)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Weeks per year is invalid	No
4780	Where <DailyRate> equals 'N' or is blank, then <WeeksPerYear> (400101) must be provided. <u>Note</u> - this should be evaluated against both Post and Role details.	Weeks per year is missing	No
<b>Additional Payments</b>			
<i><b>Note:</b> The Additional Payments validation below is dependent on there being a corresponding Additional Payments node.</i>			
4800	<b>&lt;PaymentType&gt; (400142)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Category of Additional Payment is invalid	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4810	Where <PaymentAmount> (400143) is provided the <PaymentType> (400142) must also be provided	Where Additional Payment Amount is provided the Category of Additional Payment must also be provided	No
4820	<b>&lt;PaymentAmount&gt; (400143)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Additional Payment Amount is in an invalid format. Format must be 999999.99.	No
4830	Where <PaymentType> (400142) is provided the <PaymentAmount> (400143) must also be provided	Where Category of Additional Payment is provided the Additional Payment Amount must also be provided	No
<b>Absence</b>			
	<i><b>Note:</b> The Absence validation below is dependent on there being a corresponding Absence node.</i>		
4900	<b>&lt;FirstDayOfAbsence&gt; (400200)</b> For field format and/or allowed values please see associated CBDS entry.	First Day of absence is invalid	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4910	Where <LastDayOfAbsence> (400203) or <WorkingDaysLost> (400202) or <AbsenceCategory> (400205) is provided <FirstDayOfAbsence> (400200) must also be provided	First Day of absence is missing	No
4920	<FirstDayOfAbsence> (400200) must be before the 1st September prior to the <ReferenceDate> (800004)	First Day of absence must be in the academic year before <ReferenceDate>	No
4930	<b>&lt;LastDayOfAbsence&gt; (400203)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Last Day of absence is in an invalid format. Format must be CCYY-MM-DD.	No
4935Q	<LastDayOfAbsence> (400203) Where <LastDayOfAbsence> (400203) is not provided checks should be made to ensure absence is ongoing.	Last Day of absence is missing – please check absence is ongoing	No
4936	<LastDayOfAbsence> (400203) Where <LastDayOfAbsence> (400203) is provided, it must be on or after 1st September of the preceding calendar year.	Last Day of absence must be in the current or preceding academic year	No
4940	Where <LastDayOfAbsence> (400203) is provided, it must be greater than or equal to <FirstDayOfAbsence> (400200)	Last Day of absence cannot be before First Day of absence	No
4945Q	Where <LastDayOfAbsence> (400203) is provided, and Absence Category (400205) not equal to “MAT”, then last day of absence should not be after <ReferenceDate> (800004)	Please check: Last Day of absence is not expected to be after <ReferenceDate>, except in cases of maternity or paternity leave.	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
4950Q	There should be no more than one Absence node for the associated Staff Details Node where the <LastDayOfAbsence> is missing	Please check - more than one absence record without an end date	No
4960Q	For a set of Absence Nodes for the Staff Details Node there should be no more than one Absence node covering the same day or days i.e. there should be no two Absence Nodes with (<FirstDayOfAbsence> less than or equal to <LastDayOfAbsence> of any other node) and (<LastDayOfAbsence> greater than or equal to <FirstDayOfAbsence> of the same other node)	Please check - more than one absence record with Absence Category of Sickness covering the same date(s)	No
4980	<b>&lt;WorkingDaysLost&gt; (400202)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Working Days Lost is in an invalid format. Format must be 999.9.	No
4990	Where <LastDayOfAbsence> (400203) is provided and <AbsenceCategory> (400205) is equal to SIC then <WorkingDaysLost> (400202) must also be provided	Where Last Day of a sickness absence is provided then the number of Working Days Lost must also be provided.	No
5000	<b>&lt;AbsenceCategory&gt; (400205)</b> Where provided, field format and/or allowed values please see associated CBDS entry. Note that TRN absences are not required in SWF though they are contained in CBDS.	Absence Category is invalid	No
<b>Curriculum</b>			
<i><b>Note:</b> The Curriculum validation below is dependent on there being a corresponding Curriculum node.</i>			

Seq Number	Validation Check	Error Messages	Applicable To Min Set
6000	<b>&lt;Subject&gt; (400220)</b> For field format and/or allowed values please see associated CBDS entry.	Subject Code is invalid	No
6100	Where <SubjectHours> (400221) or <YearGroup> (400222) is provided then <Subject> (400220) must also be provided	Subject Code is missing	No
6110	<b>&lt;SubjectHours&gt; (400221)</b> For field format and/or allowed values please see associated CBDS entry.	Subject Hours is invalid	No
6120	Where <Subject> (400220) or <YearGroup> (400222) is provided then <SubjectHours> (400221) must also be provided	Subject Hours is missing	No
6130	<b>&lt;Year Group&gt; (400222)</b> should be one of 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, M or X	Year Group (NC Year Group) is invalid	No
6140	Where <Subject> (400220) or <SubjectHours> (400221) is provided then <YearGroup> (400222) must also be provided	Year Group is missing	No
6145	For a set of Curriculum Nodes within the Staff Details Record there should be no more than one Curriculum Node covering the same Subject/Year Group combination i.e. there should be no two Curriculum Nodes within the same Staff Details Record which share both <Subject> (400220) and <YearGroup> (400222)	Two or more curriculum records with the same Subject/Year Group combination	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
	<b>Qualifications</b>		
	<i><b>Note:</b> The Qualification validation below is dependent on there being a corresponding Qualification node. Where &lt;QualificationCode&gt; is provided the entire node must be provided.</i>		
6200	<b>&lt;QualificationCode&gt; (400223)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Qualification Code is invalid	No
6210	Where <QualificationSubject> (400335) or <QualificationSubject > (400336) is provided then <QualificationCode> (400223) must also be provided	Qualification Code is missing	No
6220	<b>&lt;QualificationSubject&gt; (400335)</b> See Note 22 which states that the detailed JACS code can be used if known. The validation rule below is based on the detailed JACS codes. Where provided, <QualificationSubject> (400335) must be 4 characters, where first character must be alpha and one of A, B, C, D, F, G, H, J, K, L, M, N, P, Q, R, T, V, W, X, Z and next 3 characters must be numeric in the range 100 – 990 inclusive.	Subject Code 1 is invalid	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
6240	<p><b>&lt;QualificationSubject&gt; (400336)</b>            See Note 22 which states that the detailed JACS code can be used if known. The validation rule below is based on the detailed JACS codes.            Where provided, &lt;QualificationSubject&gt; (400336) must be 4 characters, where first character must be alpha and one of A, B, C, D, F, G, H, J, K, L, M, N, P, Q, R, T, V, W, X, Z and next 3 characters must be numeric in the range 100 – 990 inclusive.</p>	Second qualification Subject Code 2 is invalid.	No
6245	Where provided, the second <QualificationSubject> (400336), must not be the same as the first <QualificationSubject> (400335).	Qualification Subject Code 1 and Subject Code 2 cannot be the same.	No
<b>Generic Validation</b>			
<i><b>Note:</b> the following Generic Validation can only be applied where a complete set of data is provided</i>			
6500	There should not be more than one record with the same <TeacherNumber> (400014)	There is more than one record with the same Teacher Number	Yes
6510Q	There should not be more than one record with the same <NI Number> (400013)	Please Check: There is more than one record with the same NI Number	Yes

Seq Number	Validation Check	Error Messages	Applicable To Min Set
6520Q	<p>Where a person has a single Role, the FTE ratio for the Role (where the FTE ratio is calculated by dividing the Hours Per Week (400099) by FTE Hours (400100)) should not be greater than 1.2 and must be less than or equal to 1.5.</p> <p>A person may have more than one Role, either because there is more than one current Contract on &lt;ReferenceDate&gt; (800004), or because one or more Contracts current on &lt;ReferenceDate&gt; (800004) contains multiple Roles. In these cases the total FTE ratio for all Roles (where total FTE ratio for all Roles is calculated by accumulating the FTE ratio for each role, and the FTE ratio for each role is calculated by dividing the Hours Per Week (400099) by FTE Hours (400100)) should not be greater than 1.2 and must be less than or equal to 1.5. (Note: Current Contracts on &lt;ReferenceDate&gt; (800004) are where &lt;ContractEnd&gt; after &lt;ReferenceDate&gt; or &lt;ContractEnd&gt; not supplied).</p> <p>This test should only use Contract/SA records where the Contract/Service Agreement Type (CBDS ref 400090) is one of PRM, TMP or FXT.</p>	Please Check: The same person has a total Full Time Equivalent ratio greater than 1.2 and less than or equal to 1.5	No

Seq Number	Validation Check	Error Messages	Applicable To Min Set
6530	<p>Where a person has a single Role, the FTE ratio for the Role (where the FTE ratio is calculated by dividing the Hours Per Week (400099) by FTE Hours (400100)) must not be greater than 1.5.</p> <p>A person may have more than one Role, either because there is more than one current Contract on &lt;ReferenceDate&gt; (800004), or because one or more Contracts current on &lt;ReferenceDate&gt; (800004) contains multiple Roles. In these cases the total FTE ratio for all Roles (where total FTE ratio for all Roles is calculated by accumulating the FTE ratio for each role, and the FTE ratio for each role is calculated by dividing the Hours Per Week (400099) by FTE Hours (400100)) must not be greater than 1.5. (Note: Current Contracts on &lt;ReferenceDate&gt; (800004) are where &lt;ContractEnd&gt; after &lt;ReferenceDate&gt; or &lt;ContractEnd&gt; not supplied).</p> <p>This test should only use Contract/SA records where the Contract/Service Agreement Type (CBDS ref 400090) is one of PRM, TMP or FXT.</p>	The same person has a total Full Time Equivalent ratio greater than 1.5	No
6540Q	Across the data return from a single school, i.e. if at least one Contract/SA has <LASchoolLevel> equal to S, then at least one <SchoolWorkforceMember> node should contain a <RoleIdentifier> (400323) of 'HDTR'	At least one staff record in this school's return should show a role of Head Teacher	No

### 6.3 School Level Validation (Vacancies & Staff Information)

Seq Number	Validation Check	Error Messages
	<b>Vacancies</b>	
7000	<b>&lt;VacancyPost&gt; (200628)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Vacancy Post is invalid
7010	If <VacancyPost> (200628) = HDT, DHT, EXH, or AHT then <Subject> (200322) must not be provided unless <Subject> = NAP (Not applicable)	Vacancy Subject not required for this Vacancy Post
7020	If <VacancyPost> (200628) not = HDT, DHT, EXH, or AHT then <Subject> (200322) must be provided.	Vacancy Subject required for this Vacancy Post
7030	<b>&lt;Subject&gt; (200322)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Vacancy Subject is invalid
7040	<b>&lt;Tenure&gt; (200323)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Vacancy Tenure is invalid
7050	<b>&lt;VacancyTemporarilyFilled&gt; (200324)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Vacancy Temporarily Filled is invalid
7060	<b>&lt;VacancyAdvertised&gt; (200325)</b> Where provided, field format and/or allowed values must match associated CBDS entry.	Vacancy Advertised is invalid

<b>Seq Number</b>	<b>Validation Check</b>	<b>Error Messages</b>
7070	Where <VacancyPost> (200628) is provided, <Tenure> (200323), <VacancyTemporarilyFilled> (200324) and <VacancyAdvertised> (200325) must be provided	Vacancy Tenure, Vacancy Temporarily Filled and/or Vacancy Advertised is missing

	Staff Information	
7100	One occurrence of <Occasionals> details must be provided containing three separate elements of <OccasionalsQTS>, <OccasionalsNOTQTS> and <OccasionalsNOTKNWN> each of which must occur once and once only	Some Occasional Teacher Count details are missing or invalid
7110	<OccasionalsQTS> must be a non-negative whole number (can be zero)	Number of Qualified Occasional Teachers present on Census Reference Date: value must be a non-negative whole number
7111	<OccasionalsNOTQTS> must be a non-negative whole number (can be zero)	Number of Unqualified Occasional Teachers present on Census Reference Date: value must be a non-negative whole number
7112	<OccasionalsNOTKNWN> must be a non-negative whole number (can be zero)	Number of Occasional Teachers where not known if qualified or not and who are present on Census Reference Date: value must be a non-negative whole number
7120Q	<OccasionalsQTS> should be fewer than 40	Please check: Number of Qualified Occasional Teachers present on Census Reference Date is unexpectedly high (40 or more).

7121Q	<OccasionalsNOTQTS> should be fewer than 10	Please check: Number of Unqualified Occasional Teachers present on Census Reference Date is unexpectedly high (10 or more).
7122Q	<OccasionalsNOTKNWN> should be fewer than 10	Please check: Number of Teachers where not known if qualified or not and who are present on Census Reference Date is unexpectedly high (10 or more).
7210	<SupHeadCount> (200568) must be a non-negative whole number (can be zero)	Number of Agency / Third Party support staff present on Census Reference Date: value must be a non-negative whole number.
7220Q	<SupHeadCount> (200568) should be fewer than 50	Please check: Number of Agency / Third Party support staff present on Census Reference Date is unexpectedly high (50 or more).

7230	<AgencyTPsupportCategory> (200567) must not be any of ADVT ASHT DPHT EXHT HDTR MISC MUSC PERI SPLY TCHR TMIS TNON TPRU	Count of Agency/Third Party support staff must not include any Teaching Roles
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6.4 LA Level Validation (Educational Psychologists)

Educational Psychologists		
8000	<EdPsychsFTE> (300028) should be less than <EdPsychsPT>(300027)	It is expected that part time headcount would be greater than FTE.

## **7. XML/XSLT Features**

As mentioned in Section 1.2 a number of XML based facilities are to be made available. The use of these by Software Suppliers is optional but it is believed that if these are utilised the effort required to generate the Census will be reduced.

These facilities include an XSLT Transformation which will process the School Workforce Census XML file to produce a human readable Error Report (i.e. in HTML) and a further XSLT Transformation which will process the School Workforce Census XML file to produce a machine readable Error Report (i.e. in XML).

## **8. General Notes**

### **8.1 Missing or blank values**

There are two scenarios when values do not need to be returned. These are:

- Values contingent on the contents of other tags (e.g. Working Days Lost is only required where Absence Category = 'SIC')
- Values which are not defined as mandatory in Section 3.2 or CBDS (e.g. Former Family Name).

Note that if there is no data in these cases (i.e. the XML tag is empty) then no XML tag should be returned.

### **8.2 Selected Time on Census Reference Date**

Unlike the pupil/school levels of the school census, there is no particular time on which the census is required to be based.

### **8.3 Special Characters**

The XML convention should be followed for special characters which is to use &amp; for &, &gt; for >. 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.

It is expected that all numeric data will be supplied as non-negative numbers. No negative data should be included in the return, whether in numeric fields, Boolean fields or others.

### **8.4 XML File Generic Naming Conventions**

The following file naming conventions apply:

- The 'live' file extension will be XML
- The file name shall be constructed from the following components:
  - Origin Identifier (7 digits)
  - Survey/Data Extraction Type (3 characters)
  - Destination Identifier (7 characters)
  - Serial Number (3 digits)
- The components should be separated by underscore characters (" \_ ")
- An example of a School Workforce file sent from a school to its local authority would be:

8012000\_SW3\_801LL11\_001.XML

Where 'SW3' indicates that it is a School Workforce Census File containing School Workforce data; and '11' are the last two digits of the year.

The total file name length = 27 characters

- For files not yet authorised by the school the file extension should be changed from 'XML' to 'UNA'.

## 9. Annex A - Types of staff for which data are required

This section to be read in conjunction with section 2.1.5

### School Staff

School workforce (individual) level data is required for teachers and support staff that work for schools if they are in **regular service**. Staff are said to be in regular service if they have completed service of 28 days or more with the school or are expected to do so before the end of their contract or service agreement.

Each member of the school workforce for whom school workforce level data is required should be engaged to work within a school under arrangements that must be recordable as either a contract or a service agreement. A contract record represents the situation where the arrangement is directly between the member of the workforce and the school where the member of staff works. A service agreement record applies where the member of staff is working in a school but their contract is with another organisation, eg an agency or another school.

If supply teachers are provided by a LA acting like a supply agency and are in regular service at a school, then a service agreement record will be required to reflect the amount of time worked in that school. However, service agreement records are not required for any other staff centrally employed by the LA that work in schools, eg peripatetic music teachers, cleaners and catering staff. Information on these staff will be provided by the LA.

To be included in the School Workforce Census, a member of the school's staff should:

- be employed by the school via a current contract that has lasted, or is expected to last, for 28 days or more on the Census Reference Date, whether they are present or absent, or
- be employed by the school via a current service agreement with a third party on the Census Reference date, whether they are present or absent, or
- have been employed by the school via a contract or service agreement for 28 days or more during the period 1 September 2010 to 31 August 2011 inclusive.

There is an increasing trend for members of the workforce to have more than one contract, or to work in a number of schools. There is no limit to the number of simultaneous contract/service agreement records that can be provided as part of the School Workforce Census.

To be included in the School Workforce Census, there should also be a role identifier code that equates to a member of staff's job within the school. For

example, the role identifiers of executive head or head teacher would be appropriate for the principal of an academy.

The following, if they are in **regular service**, are examples of those for whom school workforce level data should be returned:

- teachers employed by the school, both with and without QTS
- support staff employed by the school
- teachers working at the school who have been supplied by an agency or a LA if the LA is acting like a supply agency
- staff on paid or unpaid absence, whether long or short term
- teachers on the Graduate Teacher programme (GTP), the Registered Teacher programme (RTP), the Overseas Trained Teacher Programme (OTTP) and the Teach First programme

School workforce level data does **not** need to be returned for the following:

- temporary staff with service of less than 28 days and who are not expected to complete service of 28 days or more
- casual staff without contracts employed on an ad hoc basis
- trainee teachers on teaching practice
- trainee teachers on a School-Centred Initial Teacher Training (SCITT) programme
- staff working in extended school service provision, eg breakfast and after school clubs, Surestart and children's centres. Note that staff engaged in the normal running of the school, such as cleaners, should be included regardless of when they work, eg before, after or during the normal school day
- staff employed by the LA that provide support to schools eg peripatetic music teachers, advisory teachers, educational psychologists, educational welfare officers (information on these will be submitted by the LA)
- teachers only engaged in the One to One Tuition Programme
- governors and voluntary staff
- staff for whom there is no role identifier code that equates to the function they carry out, eg clerk to governors, school crossing patrol staff and SIPs

If a member of staff works at two establishments, one which is in scope for the School Workforce Census and one which is not, then information should be returned for their activity which falls within scope of the School Workforce Census only. For example, a nursery assistant might work at a Surestart centre and a maintained nursery and individual level data would need to be returned for the portion of time they are working in the maintained nursery only.

If schools are unsure about which staff they should include in the School Workforce Census they should check first with their LA. The school or the LA, if they are still unsure, should then check with the DSG Helpdesk,

[DSG.Helpdesk@education.gsi.gov.uk](mailto:DSG.Helpdesk@education.gsi.gov.uk), 01325 392626. Academies should contact the DSG Helpdesk direct.

## **LA Staff**

School workforce (individual) level data is required for all centrally employed teachers and advisory teachers, and for those centrally employed support staff that spend the majority of their time in schools. The majority of their time means they spend more than half the time they work, ie more than 50%, in schools. Only those in **regular service should be included**. Staff are said to be in regular service if they have completed service of 28 days or more with the LA or are expected to do so before the end of their contract.

Each member of staff employed by the LA for whom school workforce level data is required should be engaged to work for the LA under a contract. A contract record represents the situation where the arrangement is between the member of staff and the LA. If the member of staff is not employed directly by the LA, but via a third party, then they should not be included in the return from the LA. Service agreement records are not required for centrally employed staff.

Specifically, the following staff employed direct by the LA should be included:

- teachers. This includes
  - peripatetic teachers - teachers who normally cover a number of schools each week on a regular timetable, usually because they possess some specialist knowledge
  - teachers working in pupil referral units (PRUs)
  - teachers working in other non-school education, for example teachers providing education by reason of SEN under Section 319 of the Education Act 1996, staff employed as teachers in institutions other than schools and PRUs, eg teachers in hospitals or centres run by social services, or those providing home tuition
  - if the LA acts like a supply agency providing teachers to schools on a fixed term or temporary basis, then the LA should submit contract records for those teachers that have been in regular service during the previous academic year
- advisory teachers - often qualified teachers that carry out a range of duties including training staff, helping develop and implement school policy and classroom support. For the purposes of the School Workforce Census, advisory teachers should be treated as support staff rather than teachers in terms of the data items that need to be provided. This is regardless of whether or not they are on Teacher's Pay and Conditions
- support staff, including teaching assistants, who spend the majority of their time in schools and whose role is one of those listed in the role code

set, eg cleaners, catering staff, and ICT technicians. Staff working in extended school service provision should be excluded from the School Workforce Census but staff engaged in the normal running of the school, such as cleaners, should be included regardless of when they work, eg before, after or during the normal school day.

Individual level data is not required for:

- educational psychologists – legal advice has indicated that as educational psychologists do not spend the majority of their time in schools and do not provide or support the provision of education directly then it is not appropriate for the Department to collect individual level data on them. Headcount information will be collected on educational psychologists.
- teachers only engaged in the One to One Tuition Programme. This is a new initiative to help children gain more confidence and understanding in English and maths. It complements classroom teaching by addressing barriers to learning that are personal and particular to each child, and it can take place at the child's school or in a town centre location such as a library.
- staff paid according to teachers' pay and conditions but not falling in any of the categories above. The fact that someone is paid according to Teacher's Pay and Conditions does not automatically mean they should be included in the School Workforce Census. An example might be a former teacher now working as a senior manager with the LA.
- If LAs are unsure about which staff they should include in the School Workforce Census they should check with the DSG Helpdesk, [dsg.helpdesk@education.gsi.gov.uk](mailto:dsg.helpdesk@education.gsi.gov.uk), 01325 392626.

## 10. Annex B – Glossary

<b>CBDS</b>	Common Basic Data Set. A set of data definitions that the DfE, partners, local authorities, and software suppliers use for consistency of data storage and ease of transfer. There are CBDS Levels for Pupil, School, LA and School Workforce. Each CBDS Level contains a number of modules, for example for Staff Details, for Contracts or Qualifications. Latest CBDS definitions can be found on the Department's website <a href="#">here</a> <sup>7</sup> .
<b>COLLECT</b>	A system developed and made available by the DfE that facilitates the data collection process. It enables the transfer of census data between schools, local authorities and the DfE. It supports the management of the collection process, with various reports that monitor the quality and completeness of the return. Validation checking and error reporting is also built into COLLECT.
<b>CTC</b>	City Technical College
<b>DTR</b>	The Database of Teacher Records. A database containing personal characteristics and service details for all teachers who have qualified teacher status, and also for any unqualified teachers who participate in the Teachers' Pension Scheme.
<b>GCSE in a vocational subject</b>	Introduced in September 2002, the GCSEs in vocational subjects are designed to introduce learners to a broad sector of industry and business and encourage understanding of the sector, key concepts and theories prevalent in it. Those taking the GCSE will also develop capability in some skills used within it.  The eight current subjects are:  Applied art and design, Applied business, Engineering, Health and social care, Applied ICT, Leisure and tourism, Manufacturing and Applied science
<b>GTCE</b>	General Teaching Council for England
<b>HESA</b>	The Higher Education Statistics Agency. HESA is the central source for higher education statistics in the UK. HESA maintain and publish the <i>JACS codes</i> used to record Subjects of degree and other higher qualifications. See the HESA <a href="#">web site</a> <sup>8</sup> for more information.

<sup>7</sup> See

<http://www.education.gov.uk/schools/adminandfinance/schooladmin/ims/datamanagement/cbds>

<sup>8</sup> See <http://www.hesa.ac.uk/>

<b>JACS codes</b>	Joint Academic Coding System. A series of codes for subjects at degree level, owned by the <i>HESA</i> .
<b>Level</b>	See <i>CBDS</i>
<b>MIS</b>	Management Information Systems – propriety software systems used by schools to collect, validate, store, and analyse a range of pupil, school, and workforce data.
<b>Module</b>	See <i>CBDS</i>
<b>Occasional service</b>	Continuous service by a member of the workforce of less than twenty eight days. See also <i>regular service</i> .
<b>OME</b>	See <i>STRB Pay Survey</i> .
<b>Phase of Education</b>	Describes whether a school is nursery, primary or secondary.
<b>Regular service</b>	Continuous service by a member of the workforce of twenty eight days or more. Regular service may be full- or part-time. See also <i>occasional service</i> .
<b>School Census</b>	<p>The termly census of maintained nursery, primary, secondary and special schools in England. A range of individual pupil data is collected to help inform local and national funding and policy.</p> <p>The School Census replaced the former collection from schools, the Pupil Level Annual Schools Census (PLASC). Secondary Schools commenced the School Census in January 2006, and other schools started in January 2007. PLASC had been introduced for all maintained schools in January 2002 and replaced the earlier summary level school census (Form 7).</p> <p>Some types of school still provide pupil information at summary level, and this is known as the School Level Annual School Census (SLASC). Collectively, the returns are known as the Annual School Census (ASC).</p>
<b>SCITT</b>	School-centred Initial Teacher Training.
<b>Secondary Schools' Curriculum &amp; Staffing Survey</b>	A sample survey conducted every few years which collects information on the teaching subjects and qualifications of all teaching staff in selected schools. The survey was last conducted in February 2007.
<b>SLASC</b>	See <i>School Census</i> .
<b>SSCSS</b>	See <i>Secondary Schools' Curriculum &amp; Staffing Survey</i>
<b>STRB Pay Survey</b>	The annual survey of teachers pay, undertaken in September by the Office of Manpower Economics. For

	more details see the <a href="#">OME web site</a> . <sup>9</sup>
<b>SWF</b>	Abbreviation used to refer to School Workforce data collection
<b>Teachernet</b>	TeacherNet previously contained all published versions of CBDS, school census specifications and useful supporting documents. These can now be found at this <a href="#">web site</a> <sup>10</sup> .
<b>Vocational GCSE</b>	See <i>GCSE in a vocational subject</i>
<b>XML</b>	eXtensible Markup Language

<sup>9</sup> See <http://www.ome.uk.com/review.cfm?body=7>

<sup>10</sup> See <http://www.education.gov.uk/schools/adminandfinance/schooladmin/ims>

## 11. Annex C – COLLECT Matching Rules

Matching identifies potential matched records between sources within a single return and is applied using a predefined set of business rules. The business rules will determine whether records are classed as automatic matches (very high probability), manual matches (medium probability) or no match. Only returns that have a status of “submitted” or later can be matched.

### 11.1 Matching Business Rules

Ref	Rule	Notes
1	If two records within the Source have the same Teacher Number and NI Number	Records Matched Automatically
2	If two records within the Source have the same Teacher Number, Person Family Name and Date Of Birth where the records have differing NI Numbers	Records Matched Automatically
3	If two records within the Source have the same NI Number, Person Family Name and Date Of Birth where the records have differing Teacher Numbers	Records Matched Automatically
4	If two records within the Source have the same Teacher Number, Person Family Name where the records have differing Date Of Birth and NI Numbers	Possible Match Resolve manually
5	If two records within the Source have the same Teacher Number, Date Of Birth where the records have differing Person Family Name and NI Numbers	Possible Match Resolve manually
6	If two records within the Source have the same NI Number and Person Family Name where the records have differing Date Of Birth and Teacher Numbers	Possible Match Resolve manually
7	If two records within the Source have the same NI Number and Date Of Birth where the records have differing Person Family Name and Teacher Numbers	Possible Match Resolve manually

8	If two records have the same NI Number but none of the other identifying fields match	Possible Match Resolve manually
9	If two records have the same Teacher Number but none of the other identifying fields match	Possible Match Resolve manually
10	If two records have the same Surname and DOB where the records have differing and Teacher Numbers and NI Numbers	Possible Match Resolve manually
11	If two records have a Surname equal to the Former Surname of the other record and the same Date Of Birth where the records have differing and Teacher Numbers and NI Numbers	Possible Match Resolve manually
12	All other records will not be classified as having a match	No Match

You can run matching for a single, multiple or all returns. **WARNING:** If a return has already been reconciled, running the matching again for that return will undo any reconciliation action previously taken.

## 12. Annex D – Guidance for LA Submissions

### 12.1 Background

The School Workforce Census Specification (document reference below) fully describes the return to be provided by a single school on its workforce. As such it provides a complete description of requirements of the Census for suppliers of school management information systems (MIS).

However for the Census of the Workforce, in contrast to the pupil-level School Census, data will be required not only from schools but also from local authorities. Each LA will at minimum need to provide data on centrally employed staff as described in section 2.1 of the specification. An LA may also need to provide information on school based staff, depending on the agreement on data sourcing that it has reached with its schools. In some cases this may mean that an LA submits data that supplements the data from its schools. In other cases it may be that the entirety of the workforce return is sourced from LA systems.

LAs and the suppliers of the systems that they use therefore need additional guidance on how it expects these options to be submitted. That guidance is provided by this Annex.

This Annex should be read in conjunction with the main body of this document and the CBDS tables.

### 12.2 Types of Local Authority data returns

A submission file from an LA may be one of four types, these are:

**Type 1:** Part returns to supplement data on staff from schools

*A type 1 file should be submitted when data from the payroll or other HR system is necessary to supplement data supplied separately by the school, or by another system in the authority. An LA could be providing one or more of these type of file for each of their schools.*

**Type 2:** School-type returns, where all data for all staff in one school is supplied from a LA system (either existing or specifically developed for consolidation of School Workforce data).

*A type 2 file should be submitted where an authority is generating a full return on a school's behalf from centrally held data. Authorities should note that this option may not be appropriate now that Curriculum data is required in all collections. An LA could be providing one or more of these type of files for each of their schools.*

### **Type 3:** Single Return for LA Centrally Employed staff

*The authority produce a single file containing details of all centrally employed staff from an LA Central system.*

### **Type 4:** Part Returns for central staff

*A type 4 part return is used when data is being provided on centrally employed staff from more than one LA system. So two or more partial returns may be provided containing data on centrally employed staff e.g data from HR and data from Pay Section. An LA could be providing one or more of these for their central return.*

## **12.3 XML Schema**

### **12.3.1 Header record derivation**

Whichever type of file is generated, the header details should be as in section 5.3 of the technical specification, page 36 (rules for items are on page 55), with the following clarification:

- The <SourceLevel> will always be “L” in files generated from LA systems;
- <Estab> should be blank in the header on a Central return file and should be populated with the estab number of the school in the header on a School return file;
- <SoftwareCode> will need to be agreed with each supplier separately. We will need to differentiate each system within the same LA;
- <Release> is not required and should be omitted;
- <Serialnumber> begins at 001, and is incremented by 1 for each generated file from the same source system within each authority.

### **12.3.2 Type 1: Part return to supplement data from schools**

The authority produces 1 or more files for each school which it is providing supplementary data for from the LA central system. The characteristics of each file are as follows:

Content / structure	One or more partial return per school (each partial return must be supplied as a separate file).
Sort Order	Sort order not important, as long as all data for one teacher, such as more than one contract, appear together.
<Estab> in the Header	Must be provided
<LASchoolLevel> in Contract / SA module	S

<Estab> in Contract / SA, Absence, Curriculum or Qualification modules	The Estab number should be included in each occurrence of the <Estab> item and contain the Estab number of the school to which the data relates.
Notes	<p>For type 1, any member of staff serving in more than one school will need to be included in more than one return (i.e. the return for each school in which he/she serves).</p> <p>Single return files can be batched in a zip file, the batch file can then be used to load the included files into the DfE collection software (COLLECT) which will extract each file from the zip file sequentially. This will allow successfully loaded returns to be viewed and worked on whilst the load procedure continues.</p> <p>If there are a large number of files to be batched the LA may find it more manageable to create a number of zipped files rather than loading all schools in one single file.</p>

*Example of Type 1 file;*

In this example a local authority has four teachers working in four schools.

Staff member A	works at School 1 and at School 3
Staff member B	works at School 2
Staff member C	works at School 3 and School 4
Staff member D	works at School 1

Most of the data comes from the four schools' MIS systems. However the central LA payroll will provide the salary detail in the Contract / Service Agreement module.

For type 1, the payroll will output four files, one for each school, ordered as follows:

*File 1*

Header

Staff member A Staff Details module (minimum set)

School 1 Contract /SA module

Staff member D Staff Details module (minimum set)

School 1 Contract /SA module

*File 2*

Header

Staff member B Staff Details module (minimum set)

School 2 Contract /SA module

*File 3*

Header

Staff member A Staff Details module (minimum set)

School 3 Contract /SA module

Staff member C Staff Details module (minimum set)

School 3 Contract /SA module

File 4  
Header

Staff member C Staff Details module (minimum set)  
School 4 Contract /SA module

### 12.3.3 Type 2: Complete school return

The authority produces 1 or more file for each school which it is providing all data for from an LA central system. The characteristics of each file are as follows

Content / structure	One full or several partial return per school (partial returns must be returned as separate files)
Sort Order	Sort order not important, as long as all data for one teacher, such as more than one contract, appear together
<Estab> in the Header	Must be provided
<LASchoolLevel> in Contract / SA module	S
<Estab> in Contract / SA, Absence or any other module containing <Estab>	The Estab number should appear on each Contract / SA record, so that matching and reconciliation can take place
Notes	The format and content will be identical to the school specification, with the exception of <SourceLevel> in the message header. This may include the School module of vacancies and headcounts. Single return files can be batched in a zip file, the batch file can then be used to load the included files into the DfE Collection software which will extract each file from the zip file sequentially.

**Explanatory note 2:** Type 2 files **must not** be presented as a single file for the whole LA. The decision not to allow this was made for the following reasons:

- The COLLECT system uses <SourceLevel>, <LEA> and <Estab> in the header record to determine who will be able to view, edit and validate a return.
- Due to the potential size of the file there may be performance issues when trying to load;
- If there is a problem within the file then the whole return would be rejected, resulting in potential delays to the validation and authorisation process.

### 12.3.4 Type 3: Returns for Centrally employed Staff.

**A single complete return containing all details of LA centrally employed staff**

Content / structure	One return per LA
Sort Order	Sort order not important, as long as all data for one teacher, such as more than one contract, appear together
<Estab> in the Header	Omitted
<LASchoolLevel> in Contract / SA module	L
<Estab> in Contract / SA, Absence or any other module containing <Estab>	Omitted
Notes	[None]

### 12.3.5 Type 4: Partial Returns for Centrally employed Staff.

**In the same way as a Type 1 can be a partial return containing school data, an LA might want to produce two partial returns for their centrally employed staff, for example one from their Pay system and one from their HR system. As long as each partial return includes the minimum dataset for each workforce member then these partial returns can be Matched and Reconciled in COLLECT.'**

Content / structure	Several partial returns per LA (partial returns must be supplied as separate files)
Sort Order	Sort order not important, as long as all data for one teacher, such as more than one contract, appear together
<Estab> in the Header	Omitted
<LASchoolLevel> in Contract / SA module	L
<Estab> in Contract / SA, Absence or any other module containing <Estab>	Omitted
Notes	[None]

## 12.4 Other guidance

Resubmissions. If an uploaded file contains the same source organisation details, either from a school or LA, as one that has previously been submitted, and the Software Code is the same, COLLECT will treat the file as a resubmission and overwrite the contents of the previous submission with the new one.

Note: LAs should be aware that this will mean any matching and reconciliation updates will be overwritten and so will need to be reapplied. Therefore, if there are only minor changes to be made after matching and reconciliation has occurred, the LA may wish to consider applying the required changes online within COLLECT, and if necessary, requesting that the changes are also applied in the source MIS system. This may be preferable to generating a full refresh from the source MIS system, uploading the new file and then reapplying any matching and reconciliation updates.

Please also note that the term “partial returns” within this document describes situations where some types of data for an individual staff member are sourced from different systems. It does not cover situations where data on different parts of the workforce are submitted on separate returns from the same system. If for example a school or authority wished to submit two returns from the same system, one with data on teachers and the other with data on support staff, this would not work since COLLECT would treat the second file as a resubmission.

## 12.5 Summary of the Characteristics of each file type

	Type 1	Type 2	Type 3	Type 4
Content / structure	One or more files from LA Central systems containing some School Employed Staff details	One or more files from LA Central systems. Each containing all the School Employed Staff details	One file for the LA Central system containing Centrally Employed Staff details	Several files from LA Central systems containing Centrally Employed Staff details
Sort Order	Not significant, as long as all contract records for the same member of staff are grouped together	Not significant, as long as all contract records for the same member of staff are grouped together	Not significant, as long as all contract records for the same member of staff are grouped together	Not significant, as long as all contract records for the same member of staff are grouped together
<Estab> in the header	Required	Required	Omitted	Omitted
<LASchoolLevel> in Contract / SA module	S	S	L	L
<Estab> in Contract / SA, Absence, Curriculum or Qualification modules	Yes	Yes	Omitted	Omitted
Notes	files can be zipped	files can be zipped		

## Version History

1.1	<p><b>Note 12:</b> Change to definition of Total Pay. This has changed so that it no longer includes any additional payments.</p> <p>Removal of “Overseas Trained Teacher” data item (CBDS 400337). This has lead to the drafting of a new <b>Note 4</b>, changes to the table in <b>section 3.2</b> and the removal of <b>validation rule 4255</b>.</p> <p><b>Validation Rule:</b>  <b>New rule 4228:</b> If &lt;Post&gt; (400322) not = ('AVT' or 'SUP' or 'TAS') then &lt;QTStatus&gt; (400047) must be present.</p> <p><b>New rule 4238:</b> If &lt;Post&gt; (400322) 'TAS' then &lt;HLTASStatus&gt; (400051) must be present.</p> <p><b>New rule 4540:</b> If &lt;ContractEnd&gt; (400092) not present or after &lt;ReferenceDate&gt; (800004), and &lt;DailyRate&gt; (400139) is blank or is equal to N, and &lt;TotalPay&gt; (400135) not present or equal to zero, then Pay Scale (400321), Spine Point (400333) and Regional Pay Spine (400131) must be provided.</p>	Gerard Hassett February 2011
1.2	<p><b>Change to Validation Rule 4515:</b> For each &lt;ContractOrServiceGroup&gt;, where &lt;ContractEnd&gt; (40092) not present or else equal to or after &lt;ReferenceDate&gt; (800004) and &lt;DailyRate&gt; (400139) is equal to N or is blank, then at least one Payments Node should exist in either the &lt;PostLevelDetails&gt; node or in the &lt;RoleLevelDetails&gt; node.</p>	