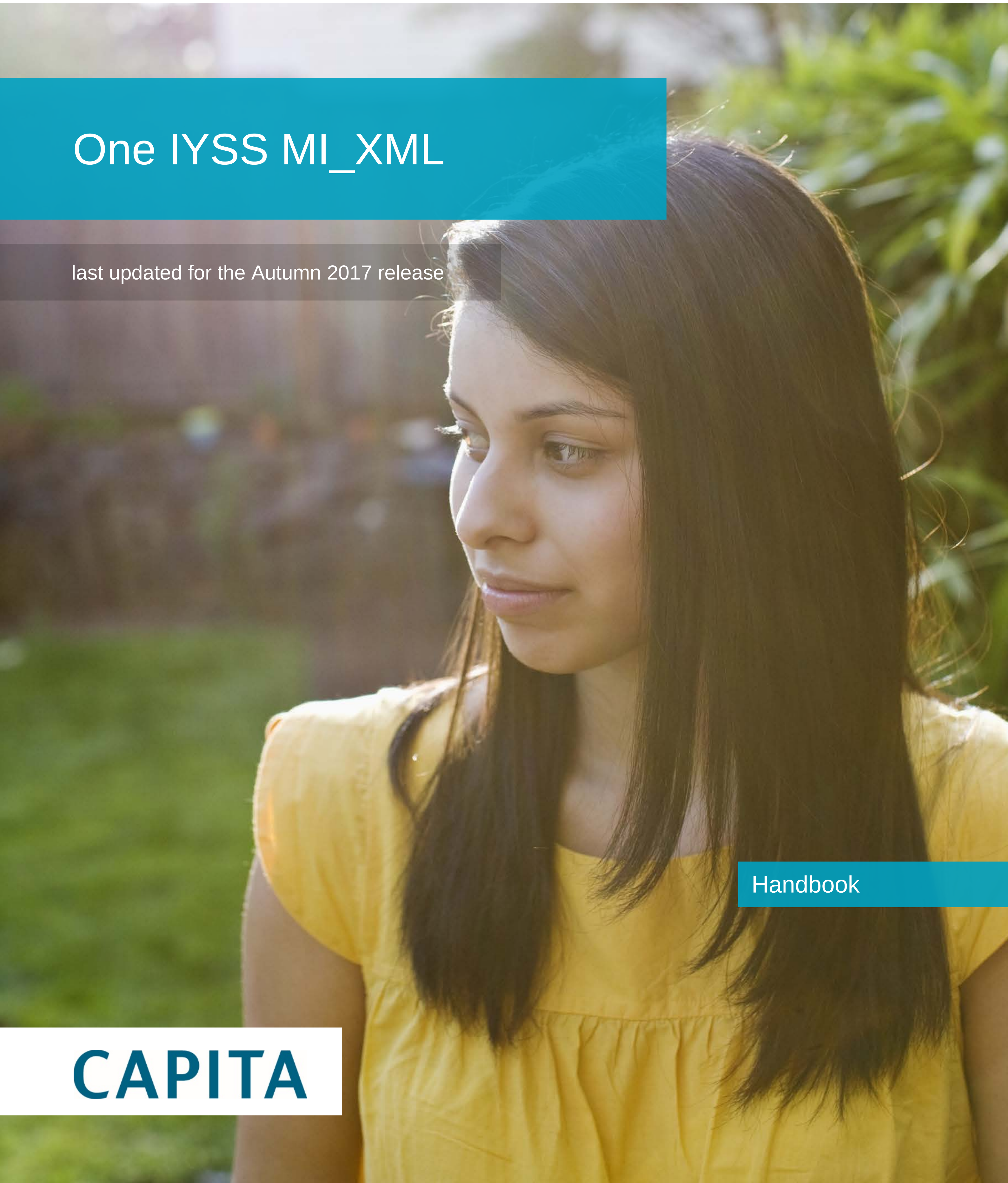
One IYSS MI_XML

last updated for the Autumn 2017 release



Handbook

CAPITA

Revision History

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www.capita-one.co.uk

Contacting One Application Support

You can log a call with One Application Support via the Customer Service tool available on My Account.

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Please ensure that you include the document name, version and aspect of documentation on which you are commenting.

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Introduction

This document should be used alongside the current NCCIS Management Information Requirement document, available from the DfE:

https://www.gov.uk/government/publications/nccis-management-information-requirement

One IYSS produces the CCIS (Client Caseload Information System) management information returns mandated by the DfE (Department for Education). The return consists of three main elements:

A Monthly Submission

Data from One IYSS is extracted into an XML file which is submitted to the DfE via the NCCIS website.

September Guarantee

Clients whose statutory education leaving date is in the current year are entitled to an offer of learning by the September of that year. Clients whose statutory education leaving date was last year are also entitled to an offer of learning by September of the current year. The data for the September Guarantee forms part of the monthly XML return, but there are specific process to follow each year in One IYSS to allow the collation of September Guarantee data.

Annual Activity Survey

All clients leaving Year 11 each year are followed up to establish their situation on the 1st November of their leaving year. Clients can be followed up and records updated as late as January of the following year. It is the client's primary and confirmed situation, which starts on or before the 1st November and either has no end date or ends on or after the 1st November, which is reported to the DfE.

There are specific processes to follow to enable the reporting of the Annual Activity Survey. The return is made to the DfE via a CSV file; it does not form part of the XML return.

The specifics of the CCIS requirements, the timescales which need to be adhered to make returns and further operational guidance is available in CCIS documentation published annually and available via the NCCIS website.

02 | Prerequisites

NCCIS Registration

Before you can make any DfE management information returns, you need to register your organisation and system with the NCCIS website. Upon registering, you are issued with an NCCIS user ID, password and a database ID.

You need the User ID and Password to access the NCCIS website and upload your management information returns (monthly XML files and the Annual Activity Survey CSV file).

You need to enter the database ID issued to you in the Database ID system value in the One IYSS System Administration tool (**System | System Value | Database ID**). This value is entered into the XML files when they are extracted.

Lead Local Authority

The system needs to know in which Local Authority it has been implemented. This must be recorded in the Lead LEA system value in the One IYSS System Administration tool (**System | System Value | Lead LEA**) as a GUID. Please request assistance from One Application Support if this was not set up during implementation.

Default Address

The system needs to output an address for the NCCIS XML when the clients address is unknown or they have no fixed abode. Without the presence of a default address the XML file will fail NCCIS validation.

Record the default address in the NCCIS Default Address system value in the One IYSS System Administration tool (**System | System Value | NCCIS Default Address**). The format needs to be:

Value 1 = addressstreet1

Value 2 = addressstreet2

Value 3 = addressarea

Value 4 = addressposttown

Value 5 = addresscounty

Value 6 = addresspostcode

Example

The Office;Main Street;St Elsewhere;Big Town;West Yorkshire; ZZ99 9ZZ

NOTE: *The postcode should be “ZZ99 9ZZ”.*

Scheduled Jobs

One IYSS relies upon a series of scheduled jobs to produce the monthly XML files. These tasks must be configured before the monthly XML file can be run. These jobs are described in the following section.

Clean Up

This job should be scheduled to run in the early hours of the morning, before the operational day commences. It calculates clients' ages and sets their Lead Local Authority based upon CCIS residency rules. It executes the following Oracle Stored Procedure:

<dataset>_IYSS.SPCLEAN UP01.

Statistical Output Counter with Audit

This job is normally scheduled to run on the last day of every month, although it can be scheduled to run on any day if needed, e.g. if you need to extend your reporting period. Statistical Output Counter with Audit will automatically start the Clean Up job as its first step, because it is essential that clients' ages and lead LA are correct.

The **Reporting Period End Date** and the date that the job runs should always be the same. The job applies a set of rules and extracts a snapshot of data into a separate table (tbBeanBag) from which the NCCIS stats return is prepared. Without the successful completion of this job, the monthly government returns are not possible.

The scheduled job executes the following Oracle Stored Procedure:

<dataset>_iyss.spBeantotals_ConnexionXML01

DX

When the DX job is executed, it starts any import or export requests that have been configured in One IYSS (**my homepage | IYSS Links | DX Monitoring**).

The job can be configured to run throughout the day. DX Monitoring tool requests with the **Run Immediate** parameter set to **Yes** start the next time the DX job is run. DX Monitoring tool requests made with the **Run Immediate** parameter set to **No** start the next time the DX job is run after the time defined in the One IYSS System Administration client (**System | System Value | DX Start Time**).

The DX job runs the caaspdxw.exe file. The server and database that the DX job connects to is configured in the **Connection Strings** section of the caaspdxw.exe.config file.

The jobs that run executable files can be scheduled using the standard Windows scheduled tasks facilities (**Control Panel | Administrative tools | Task Scheduler** or **Control Panel | System and Security | Administrative Tools | Task Scheduler,** depending on your settings):

Name	Schedule	Next Run Time	Last Run Time	Status	Last Result	Creator
Add Scheduled Task						
IYSS_DX	At 22:15 every day...	22:15:00 08/12/2010	09:00:00 08/12...		0x0	iyssuser
Tidy Net Sessions	Every 1 hour(s) fro...	16:00:00 08/12/2010	16:15:00 06/10...		0x0	administrator

The jobs that run an Oracle stored procedure are scheduled using the DBMS_SCHEDULER. You should contact your DBA for further information.

Full details of the scheduled jobs can be found in the *One IYSS System Administration Handbook.*

03 | CCIS XML Rules

Overview

It is important to understand the rules to which One IYSS adheres in producing the monthly NCCIS XML. NCCIS requires data for a specific set, or cohort, of clients to be returned.

The XML file uses codes, not English language descriptors. For example, clients' individual circumstances are reported using the following codes:

- 110 – Looked after children
- 120 – Parent - caring for own child
- 130 – Refugee/Asylum seeker
- 140 – Carer - not own child
- 150 – Substance misuser
- 160 – Care leaver
- 170 – Supervised by YoT
- 180 – Pregnant
- 190 – Parent – not caring for own child.

This manual explains how key One IYSS descriptors are mapped to CCIS values.

XML Cohort Rules

For more information on the XML cohort, refer to field *YP10* and the *Cohort* chapter in the latest *NCCIS Management Information Requirements* document.

> ***IMPORTANT NOTE:*** *The XML extract to the DfE should only cover young persons with a cohort status (YP10) of P or G. Of clients of compulsory education age, only those in their final year of compulsory education should be returned. Clients who leave the cohort (with a status of A, L, T, E, M or D) should only be reported on once (see* *Clients Leaving the Cohort on page 6**).*
>
> *The academic age 16-17 cohort should have little variance from one month to the next.*

The XML should only contain clients who:

- Have a Lead LA (tbClient.idLeadLEA) equal to either Lead LEA1 or Lead LEA2 system values.
- Belong to one of the following age groups:
  - Compulsory education age
  - Academic age 16-17
  - Academic age 18-24 with a special educational need or disability and a current EHC plan.
- Have a current situation group that is not **Moved out of Contact**.

SEND Status

SEND status (tbClient.btIsspecialNeeds) is set as follows:

- Academic age 11 or younger: BTISSPECIALNEEDSCLIENT=1 (true) where the current SEN Provision is A, P, S, E or O.

- Academic age 12 or older: BTISSPECIALNEEDSCLIENT=1 (true) where current SEN Provision is S or O.

Local Authority Rules

The DfE require us to provide information on which LA is taking responsibility for the client at varying times in their progression. The LA information to be supplied is as follows:

- Resident LA: The LA based upon the client's residential address.
- Educated LA: The LA based upon the client's statutory or further education provider.
- Lead LA: The client's Educated LA if the client is currently in a statutory educational. For clients not in statutory education the clients Resident LA will be used
- Secondary LA: This is set manually by an adviser and used where a client's Lead LA will be outside of the area, but where they are receiving a service from you.

We are required to use the postcode file supplied by the DfE, which maps postcodes to Local Authorities. Updates to this file can be uploaded into the system through One IYSS using the **Import Postcode – LEA Data** template (**my homepage | IYSS Links | DXMonitoring**).

The scheduled Clean Up job compares a client's current postcode with the postcode of their education provider to establish which LA is responsible for the client. Address data should be current and accurate in both client and provider records.

Where a client's LA cannot be derived because of poor postcode data, or where a valid postcode does not appear in the postcode-to-LA table supplied by DfE, the LA recorded against the client's **Managing Location** (in the **Administration** section of the client record) is used.

The following sections identify how One IYSS derives LA data:

Lead LA

Clients with a current situation of statutory education:

Rule	Outcome
If client has a current situation provider <u>and</u> there is a valid provider postcode.	Use Provider Postcode match against file Set Lead LA.
If client has a current situation provider, but <u>no</u> match on provider postcode.	Set Lead LA based on client's Managing Location.
If client has no current situation provider.	Set Lead LA based on client's Managing Location.

Clients with a current situation other than statutory education:

Rule	Outcome
If client has an address and valid postcode.	Use Client Postcode match against file Set Lead LA.
If client's address postcode is not valid.	Set Lead LA based on client's Managing Location.
If client is flagged as Address Unknown or No fixed Abode.	Set Lead LA based on client's Managing Location.

Resident LA

All current situations

Rule	Outcome
If client has an address and valid postcode.	Use Client Postcode match against file Set Lead LA.
If client address postcode is not valid.	Set Lead LA based on client's Managing Location.
If client is flagged as Address Unknown or No fixed Abode.	Set Lead LA based on client's Managing Location.

Educated LA

All clients use Final Education Provider unless it is null, then use Statutory Education Provider.

Rule	Outcome
If client has a final or statutory education provider and the provider postcode is valid.	Use Provider Postcode match against file Set Lead LA
If client has a final or statutory education provider, but no match on the provider postcode.	Set Lead LA – based on Clients Managing Location
If client has no final or statutory education provider.	Set Lead LA – based on Clients Managing Location

Secondary LA

Always set manually on the client record.

Clients Leaving the Cohort

When a client leaves the cohort, they are still displayed in the XML file in the month that they leave. The client's cohort status gives the reason for leaving (refer to *YP10* in the *NCCIS Management Information Requirements* document for more details).The client is not displayed in XML returns after this point.

Clients are automatically or manually removed from the cohort as follows:

Automatic removal

Leaving Reason	Cohort Status	Circumstances
Age reached where an active record is no longer required.	A	Client reaches the age of 20 and does not have a SEND. Client reaches the age of 25 and has a SEND.
Transferred to another LA	T	Client's Lead LA is not the same as the incumbent LA (System value: Lead LEA1).

Manual Removal:

Leaving Reason	Cohort Status	Circumstances
Left England	E	Client's current situation is Out of Cohort/Left England.

Leaving Reason	Cohort Status	Circumstances
Duplicate	M	Client's current situation is Out of Cohort/Duplicate, Or Client current situation is not Out of Cohort, either Left England, Duplicate or Deceased and tbClient.btIsDeleted = True.
Deceased	D	Client's current situation is Out of Cohort/Deceased.

NOTES: *Unless they are deceased, clients who would usually be removed from the cohort following the above rules, but who are on an active September Guarantee baseline remain in the cohort with a cohort status of G until the guarantee return has been completed and the September Guarantee baseline is made inactive.*

On completion of the XML, clients leaving the cohort in the current month will have their cohort status (tbClient.chCohortStatus) set to X to ensure that they do not appear in future returns.

Resetting Clients Leaving the Cohort

The production of the XML file assigns all clients leaving the cohort a cohort status of X, so that they are not included in future statistics. If you need to rerun your monthly statistics, you must reset the cohort statuses to include clients who left the cohort that month.

To reset the cohort status, set the Re-Run Month End MI Routine system value to 1 in the One IYSS System Administration tool (**System | System Value | Re-Run Month End MI Routine**).

Situation Management

NOTES: *Situations used as a client's primary situation need to be mapped for CCIS purposes. You can define which situation group/situation sub group combinations feed into which NCCIS Activity value. Any possible primary situations which are not mapped to an NCCIS value will affect your statistics. If in doubt please consult One Application Support.*

The Moved Out of Area situation group is a used by the system to exclude clients from the XML return regardless of whether you map this to a CCIS value. This enables you to manage clients out of their cohort.

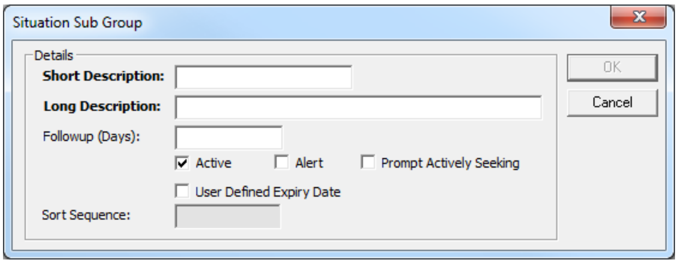
If you need to add to or change the situation group/situation sub group combinations in the system, it should be built up in the following order:

1. Situation sub group and (if being used) situation status
2. Situation group
3. Situation super group.

Situation Sub Group

To add or edit a situation sub group:

1. In the One IYSS System Administration tool, select **Client | Situation Sub Group**.
2. Select a sub group and click the **Change Value** icon, or click the **Add Value** icon, to display the **Situation Sub Group** dialog.

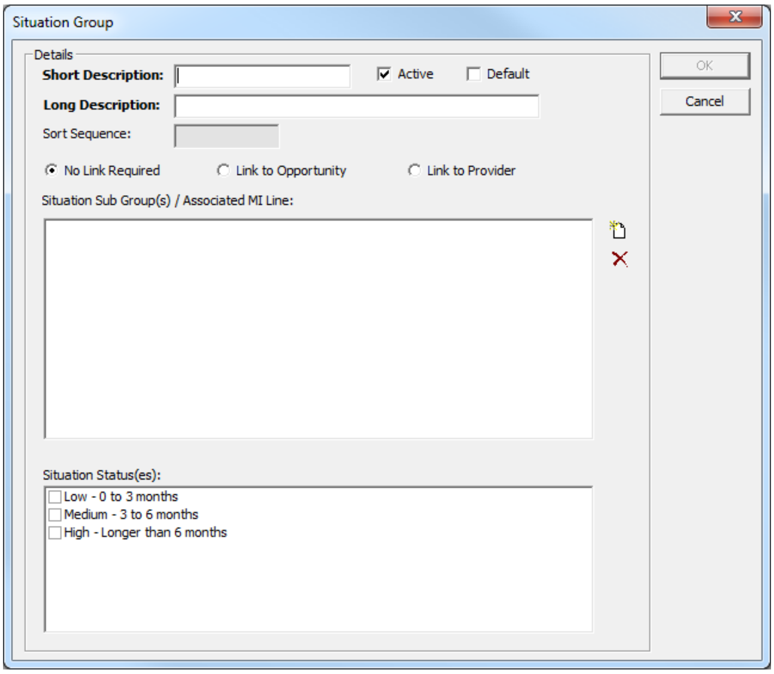


3. Enter a name in the **Short** and **Long Description** fields.
4. To enable the situation expiry date to be calculated automatically for clients:
   a. In the **Followup (Days)** field, enter how long after creation you want the situation to expire.
   b. Select the **User Defined Expiry Date** check box.
5. To prompt the user to check the client's Actively Seeking status and Aspirations when a situation with this sub group is changed, select the **Prompt Actively Seeking** check box.
6. Ensure the **Active** check box is selected.
7. Click the **OK** button to save the changes and close the dialog.

Situation Group

To add or edit a situation group:

1. In the One IYSS System Administration tool, select **Client | Situation Group**.
2. Select a group and click the **Change Value** icon, or click the **Add Value** icon, to display the **Situation Group** dialog.

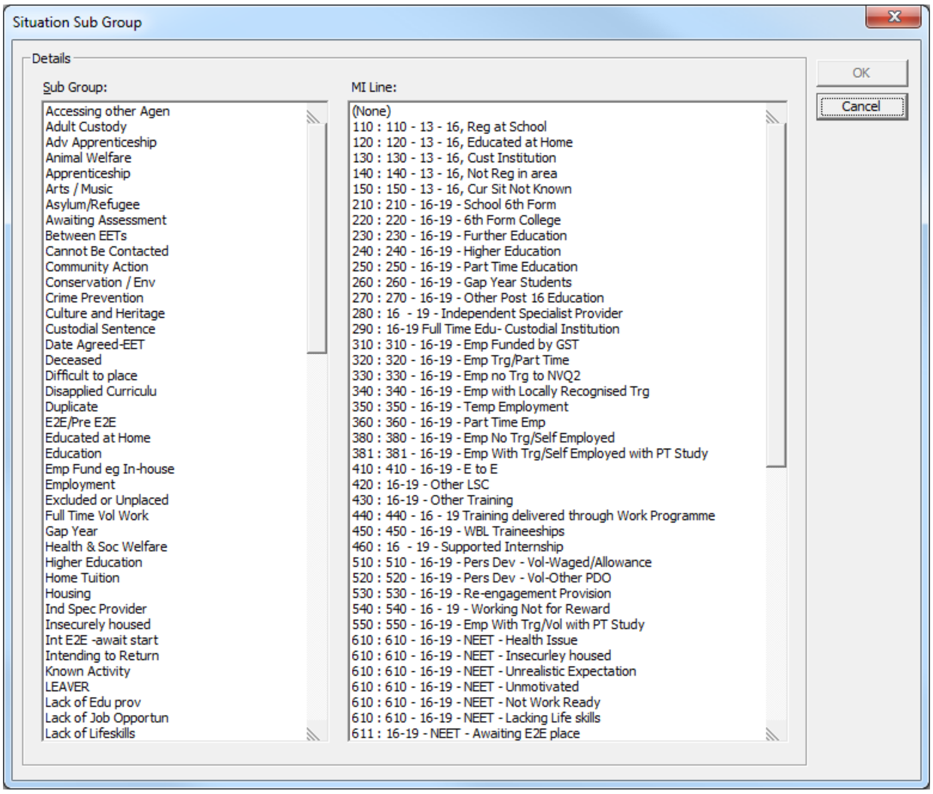


3. Enter a name in the **Short** and **Long Description** fields.

4. Indicate whether the situation is linked to an opportunity or provider:
   - Select the **No Link Required** radio button if the situation is not linked to either an opportunity or a provider, e.g. NEET situations.
   - Select the **Link to Opportunity** radio button to require users to link the situation to an opportunity (and by default a provider), e.g. for educational situations where you want to know a client's year group and provider.
   - Select the **Link to Provider** radio button to require users to link the situation to a provider, e.g. for educational situations that do not have an opportunity on record. If the required provider does not exist in the system, users are able to create a basic provider record while adding the situation to the client.
5. To add sub groups to the situation group:

   a. Click the **Add Value** icon to display the **Situation Sub Group** dialog.

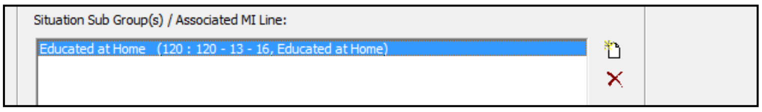
   > ***NOTE:*** *To edit an existing sub group, double-click the required sub group in the* ***Situation Sub Group(s) / Associate MI Line*** *panel.*



   b. Select the **Sub Group** you want to make available for selection when a user selects this situation group.

   c. Select the **MI Line** through which the combined group and sub group are to map for the NCCIS XML file.

   d. Click the **OK** button to close the dialog and add the sub group to the **Situation Sub Group(s) / Associated MI Line** panel.



6. From the **Situation Status(es)** panel, select the relevant status.
7. Click the **OK** button to save the changes and close the dialog.

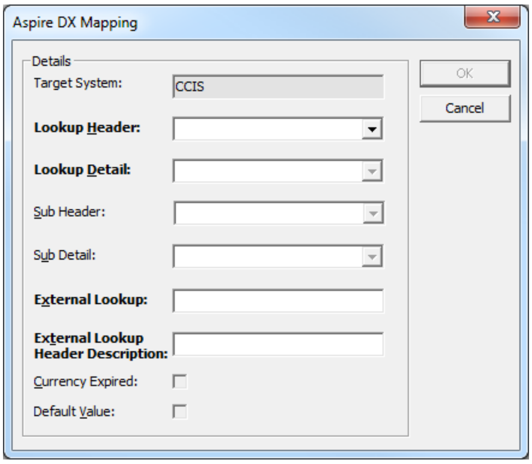
Gender, Ethnicity and SEN Mapping to NCCIS Codes

Administrators can define how Capita One's gender, ethnicity and SEND codes map to NCCIS codes returned in the monthly XML file.

This should be used if new One codes are released. This reduces the need for service packs and hotfixes each time NCCIS codes change.

To create an NCCIS mapping:

1. In the One IYSS System Administration tool, select **Imports | DX Target System | CCIS**.
2. Select a CCIS value and click the **Change Value** icon, or click the **Add Value** icon, to display the **Aspire SX Mapping** dialog.



3. From the **Lookup Header** drop-down, select **Client Ethnicity**, **Client Gender** or **SEN Status** as required.
4. From the **Lookup Detail** drop-down, select the value to be mapped.
5. In the **External Lookup** field, enter the value to be output in the XML file. This value must be a valid NCCIS value. Refer to the *NCCIS Management Information Requirements* document for more information.
6. In the **External Lookup Header Description** field, enter:
   a. EthnicityType to map to Ethnicity
   b. GenderType to map to Gender
   c. SENstatus to map to SENDFlag.

   NOTE: *The values are case sensitive and must be entered as above in order for the mapping to work.*

7. If required, select the **Default Value** check box.

   Ethnicity and SEN both require one code to be configured as the default value. The default values should have a **Lookup Detail** value of **98 - Not Known**. The ethnicity and SEN values cannot be empty in the NCCIS return. Having a default ethnicity and SEN code prevents errors caused by empty values.

8. Click the **OK** button to save the changes and close the dialog.

Automated Mappings for Individual Circumstances

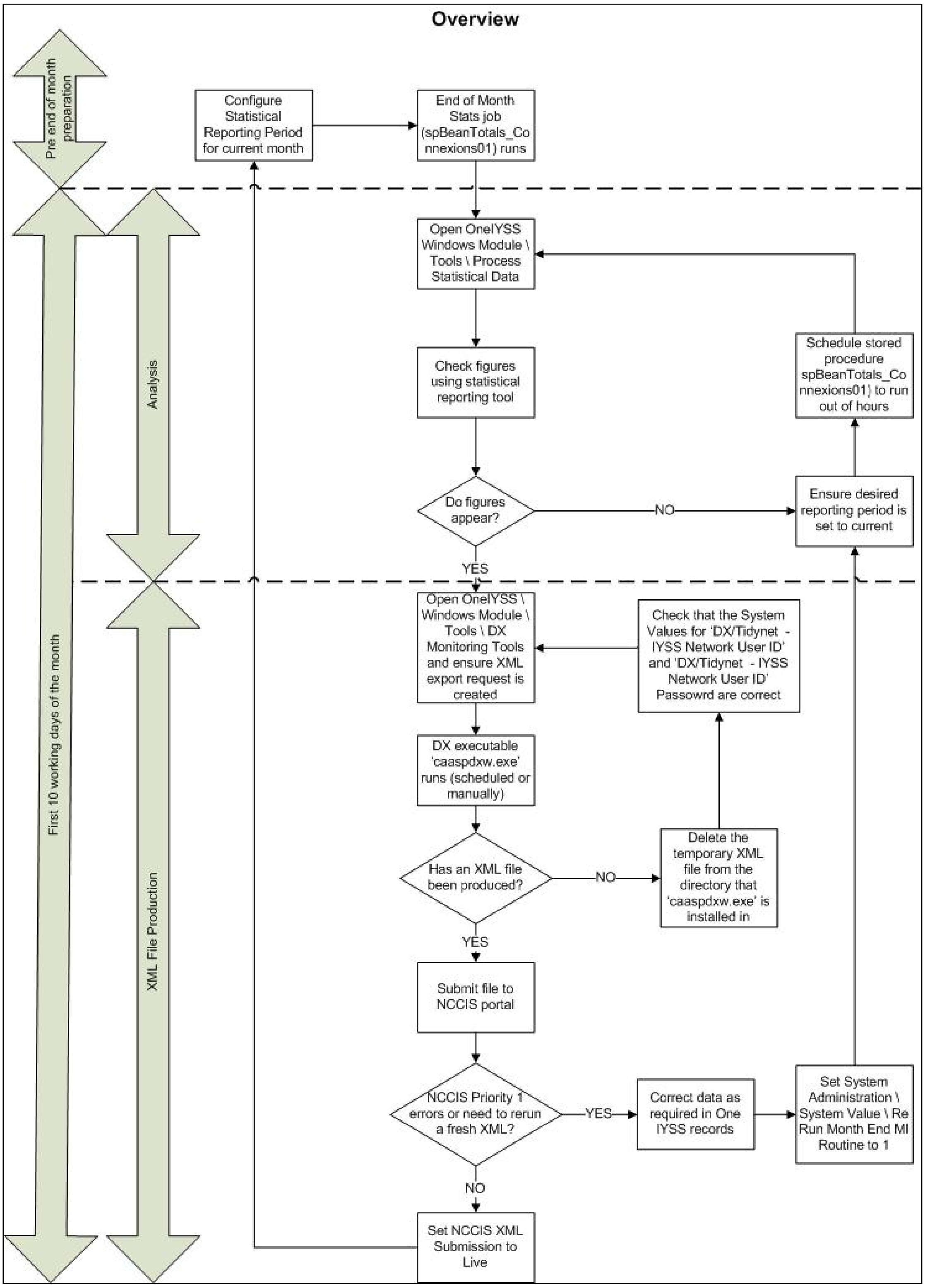
For certain situations (known as activity codes in CCIS), a corresponding individual circumstance (known as characteristics in CCIS) must be recorded. If a corresponding individual circumstance is not present in the record, a CCIS error code is generated. To prevent this, the CCIS XML process automatically generates a characteristic code in the XML file. This does not change the data in the client record.

If the following errors do not have a corresponding characteristic, a code is automatically generated:

- **Error code 234 - Activity of Teenage parent (630)** (supporting Characteristic Type 120).
- **Error Code 235 - Activity of Pregnancy (650)** (Supporting Characteristic Type 180).
- **Error Code 236 - Activity of Refugee/Asylum Seeker (720)** (Supporting Characteristic Type 130).

04 | Monthly XML File Production

Overview



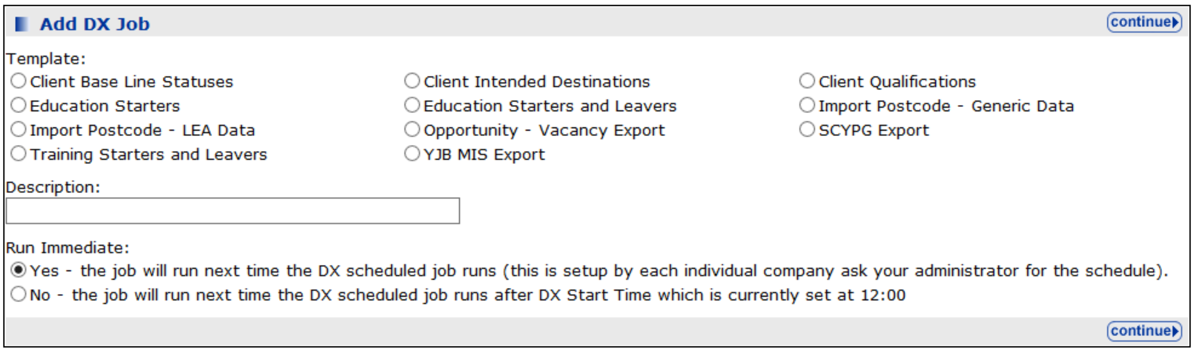
Tasks to be Completed Annually

Importing LA numbers

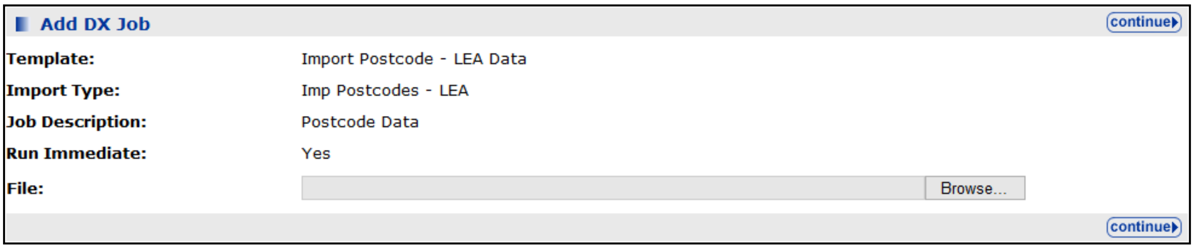
Each year, the DfE produces an updated list of LA postcodes. When the DfE releases this list, you should import it before running the NCCIS return. You can obtain the list of LA postcodes from One Application Support.

To import the list:

1. In One IYSS **my homepage**, select **IYSS Links | DX Monitoring** to display the **DX Jobs** screen.
2. Click the **submit** button to display the **Add DX Job** screen.



3. Select **Import Postcode - LEA Data**.
4. Enter a **Description**.
5. Click the **continue** button to display the next **Add DX Job** screen.



6. Click the **Browse** button to display a file selection dialog.
7. Navigate to the required LA postcode file, and click the **Open** button.
8. Click the **continue** button to import the postcode details.

Tasks to Complete before Month End

Set the Scheduled Job Statistical Output Counter with Audit

Ensure that the Statistical Output Counter with Audit scheduled job is set to run <u>after</u> the Clean Up job has completed, and will finish <u>before</u> midnight.

Map New Values to CCIS Codes

Ensure that any new values you have been added to the system have been mapped to their corresponding CCIS codes. Care should be taken when mapping values to critical CCIS lookups. If you are unsure about the effect mapping a value to a critical lookup will have, contact One Application Support before adding the value.

MORE INFORMATION:

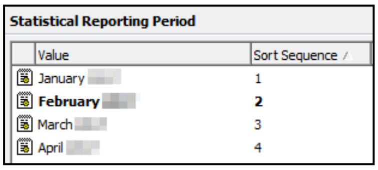
NCCIS XML/One IYSS Data Mapping, page *33*.

Set the Current Reporting Period

To set a new current reporting period:

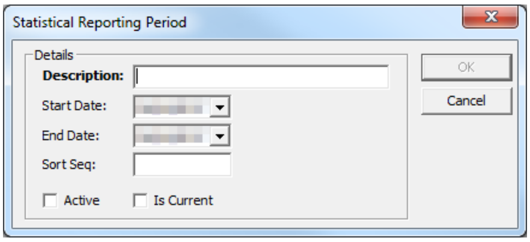
1. In the One IYSS System Administration tool, select **Statistics | Statistical Reporting Period**.

   The current reporting period is emboldened.



2. Double-click the current reporting period to display the **Statistical Reporting Period** dialog.
3. Deselect the **Is Current** check box.
4. Click the **OK** button to close the dialog and return to System Administration.
5. Click the **Add Value** icon to display a blank **Statistical Reporting Period** dialog.

NOTE: *If the new reporting period has been created but not activated, double-click it to display the pre-completed dialog.*



6. Complete the fields as required.

NOTE: *While reporting periods are usually from the first of the month, if you extended the previous period, ensure that you start the current one on the day after the previous one ended.*

7. Select the **Active** check box.
8. Select the **Is Current** check box.
9. Click the **OK** button.

Tasks to Complete after the Month End

Statistical Output Counter Job

Ensure that the **Statistical Output Counter** scheduled job has completed successfully.

If the job failed, contact One Application Support to resolve the issue. When the issue is resolved and the job has successfully run, reset the **Statistical Reporting Period End Date** to the date that the job successfully ran (see Set the Current Reporting Period on page *14*).

When the job has successfully processed the data, it copies the majority of the CCIS critical data from the client records into tbBeanBag, where it remains static. This allows your monthly statistics to be reviewed when updates are being completed by advisers.

Not all data is copied; some is taken from the client record when the XML file is created. The source of the XML data, and whether or not it is static at the end of the month, can be seen in Appendix 1 on page *33*.

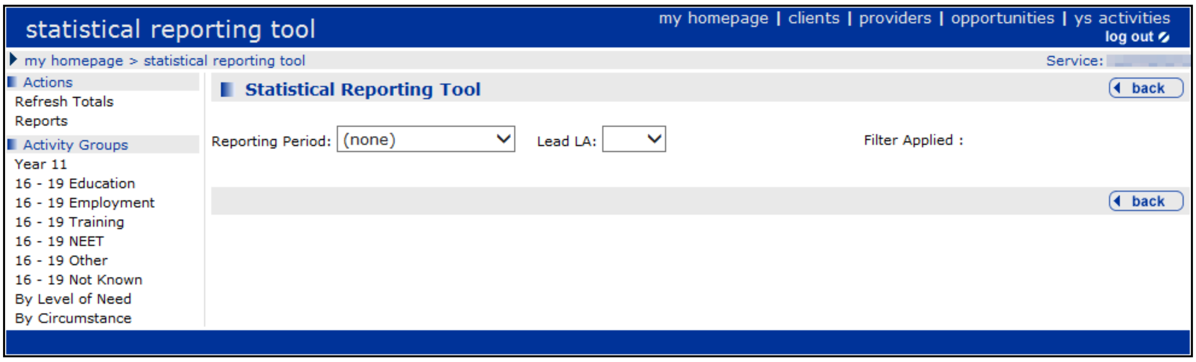
Checking Month-End Statistics

You can review the month-end statistics before submitting an NCCIS return. Statistics can be displayed for the following activity groups:

- **Year 11** (Displays the **Activities** (situations in One IYSS) of clients still in year 11 of statutory education.)
- **16 – 19 Education** (Displays the **Activities** (situations in One IYSS) of clients post statutory education.)
- **16 – 19 Employment** (Displays the **Activities** (situations in One IYSS) of clients in employment.)
- **16 –19 Training** (Displays the **Activities** (situations in One IYSS) of clients in training.
- **16 – 19 NEET** Displays the **Activities** (situations in One IYSS) of clients not in education or employment.)
- **16 – 19 Other**
- **16 – 19 Not Known**
- **By Level of Need** (Displays the **Activities** (situations in One IYSS) of clients based on level of need.)
- **By Circumstance** (Displays the **Activities** (situations in One IYSS) of clients based on circumstance.)

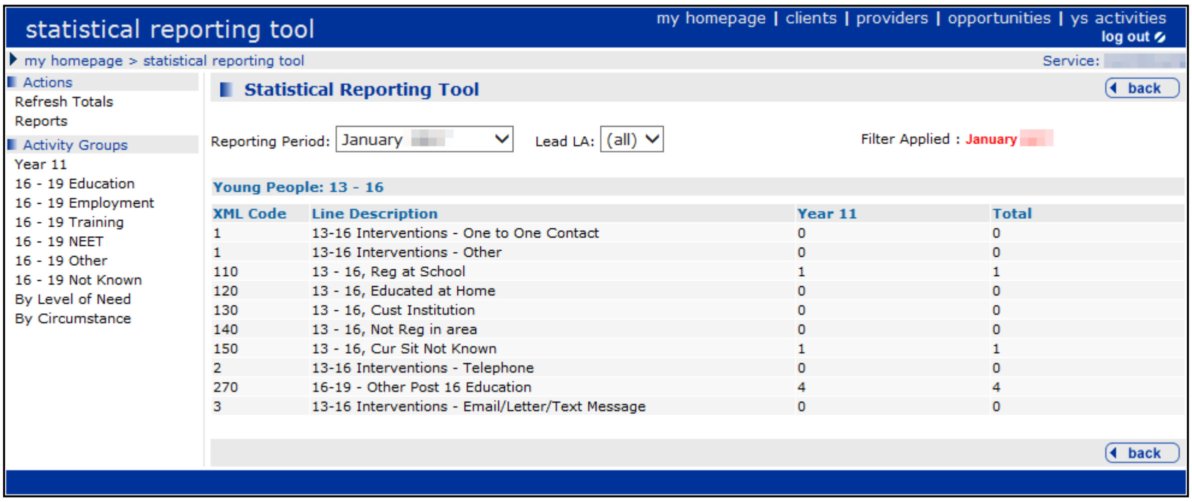
To view your month end statistics:

1. In One IYSS **my homepage**, select **IYSS Links | Statistical Reporting Tool** to display the **Statistical Reporting Tool** screen.



2. Select the current **Reporting Period**.
3. To filter data by LA, select a **Lead LA**.

4. In the **Actions** panel, click the **Refresh Totals** hyperlink to apply the **Reporting Period** and **Lead LA** filters.
5. In the **Activity Groups** panel, select the required group to display the statistics for the group.



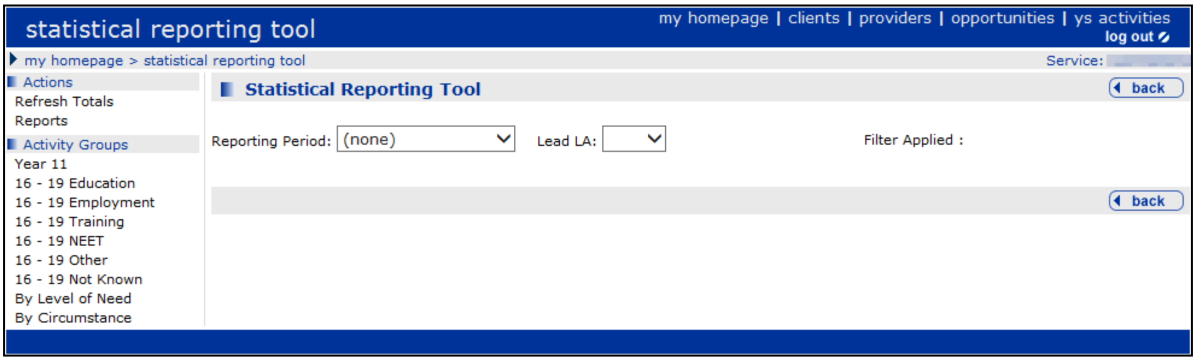
NOTE: *If the screen has been filled with zeros, your Statistical Output Counter with Audit job has failed and you are viewing data held on the database. A CCIS XML file has <u>not</u> been produced.*

Exporting Reports

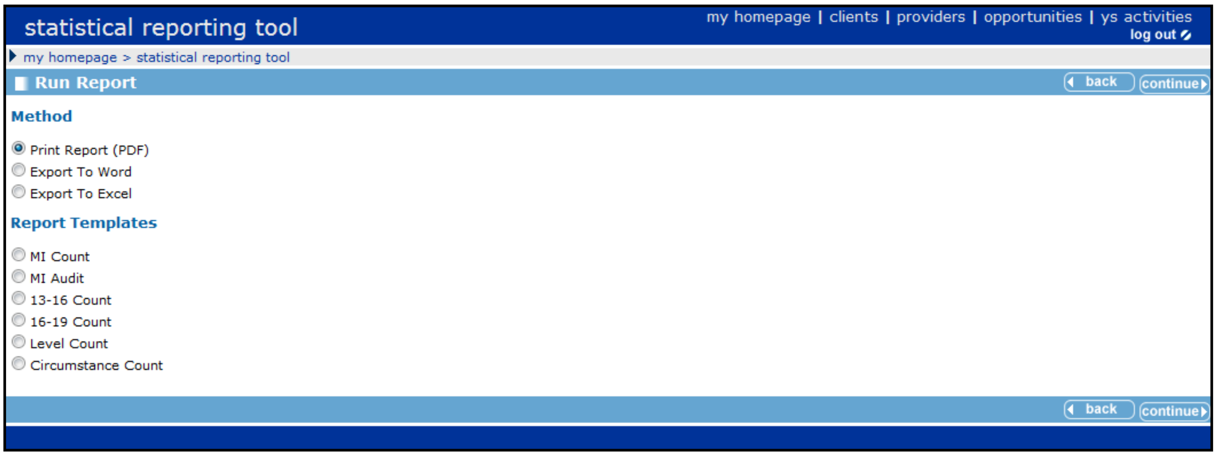
You can export reports to facilitate the review of statistics. Reports can be exported as Microsoft Word, Excel or Adobe PDF files, and if required, printed. The following reports are available for export:

- MI Count
- MI Audit
- 13-16 Count
- 16-19 Count
- Level Count
- Circumstance Count.

1. In one IYSS **my homepage**, select **IYSS Links | Statistical Reporting Tool** to display the **statistical reporting tool** page.



2. In the **Actions** panel, click the **Reports** hyperlink to display the **Run Report** screen.



3. Select the required export **Method**.
4. Select the required report from the **Report Templates** list.
5. Click the **continue** button to display the report in a new browser tab (if you selected PDF) or to display an **Open**/**Save**/**Save as** dialog (if you selected Word or Excel).
6. Review and print the reports as required.

05 | Submitting the DX Job

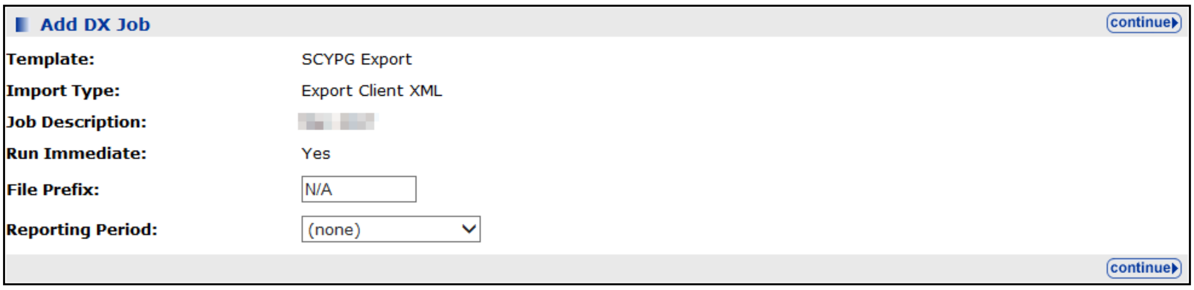
Overview

When you are ready to submit your statistics to the DfE, the DX tool generates the XML file. A DX request is automatically created by the system when the end of month stats job, spBeanTotal_Connexions01, is completed.

To manually create a DX request:

1. In One IYSS **my homepage**, select **IYSS Links | DX Monitoring** to display the **dx jobs** screen.
2. Click the **submit** button to display the **add dx job** screen:

3. Select the **SCYPG Export** radio button.
4. Enter a **Description**.
5. If required, change the **Run Immediate** command.
6. Click the **continue** button to display the next DX job configuration step.



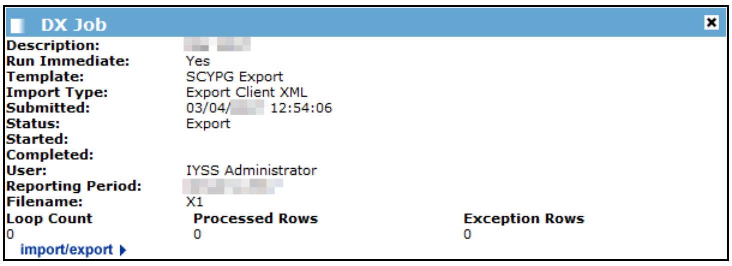
7. Enter the **File Prefix**.

   This should be the first three letters of the submission month.
8. Select the **Reporting Period** from the drop-down.
9. Click the **continue** button to save the job. The DX job performs the export as defined in the **Run Immediate** field.

   To view DX job progress:

1. In One IYSS **my homepage**, select **IYSS Links | DX Monitoring** to display the **dx jobs** screen.

2. Click the yellow notes icon next to the required job to display the **DX Job** dialog.



- The **Started** field displays the date the job began.
- The **Completed** field displays the date and time the job finished.
- The **Loop Count** field displays the number of records processed (in hundreds). When all records have been processed, the count resets to 0.

When the job is completed, it has a **Status** of **Export**. The XML file is available in the DX folder (system value: **Location – DX**).

06 | September Guarantee

The Guarantee is an offer of a suitable place in education or training, made by the end of September each year. The agreed start date can be after the end of September, but should be no later than January the following year.

Clients entitled to an offer fall into two distinctive cohorts:

Year 11 (16 year old) students

Each local authority is responsible for making an offer to young people who are due to reach the statutory school leaving age in the current year and who belong to one of the following categories:

- In education in the authority area on 31 May (and who are, therefore, on the May PLASC).
- In custody in the authority area on 31 May.
- Not on a school roll (including those who are home educated or missing education) and who live in the authority area.

Year 12 (17 year old) students

Each local authority is responsible for making an offer to young people who reached the statutory school leaving age in the previous year and who belong to one of the following categories:

- In education in a school, college or learning provider located in the authority area on 31 May.
- In custody in the authority area on 31 May.
- Not in education or training and are resident in the authority area on 31 May.

The clients in the Guarantee cohort should not change after 31 May. Any data cleansing must be completed before this time.

You can determine which clients make up the cohort. You need the **My Base Lines** permission (**System Administration | Security | Security Group | Function Permissions | My Aspire Sections**) to edit the Guarantee cohort.

There are three administrative stages to creating a **Baseline**. They should be completed in order.

Stage 1 - Baseline Status Group

Ensure the required status groups exist:

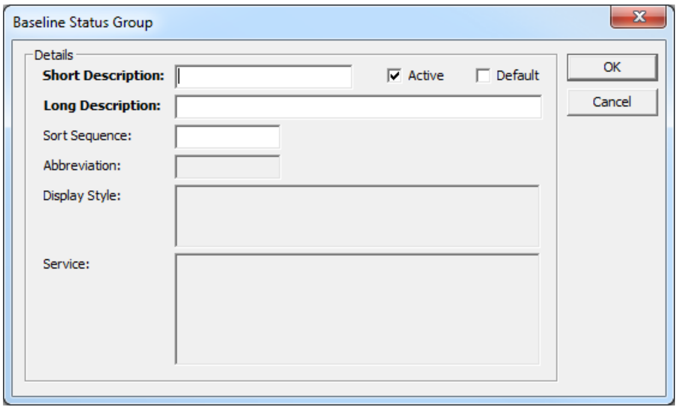
- No offer made
- Not ready for formal learning
- Offer of education or training to start.

If you need to add a status group:

1. In the One IYSS System Administration tool, select **Client | Baseline Status Group**.

2. Click the **Add Value** icon to display the **Baseline Status Group** dialog.

***NOTE:** To edit an existing group, double-click the value to display the dialog.*



3. Enter a **Short** and **Long Description**.
4. Ensure the **Active** check box is selected.
5. Click the **OK** button to save the changes and close the dialog.

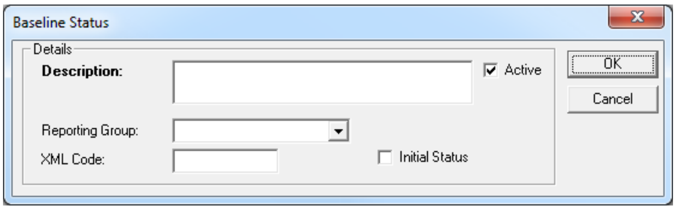
Stage 2 - Baseline Status

Ensure you have all required Guarantee statuses for both Year 11 and Year 12 cohorts.

To add a new status:

1. In the One IYSS System Administration tool, select **Client | Baseline Status**.
2. Click the **Add Value** icon to display the **Baseline Status** dialog.

***NOTE:** To edit an existing group, double-click the value to display the dialog.*



3. Enter a **Short** and **Long Description**.
4. Ensure the **Active** check box is selected.
5. Select the **Reporting Group** (baseline status group).
6. Enter the **XML Code** supplied by the DfE. This enables the status to be translated correctly to the output file.
7. Click the **OK** button to save the changes and close the dialog.

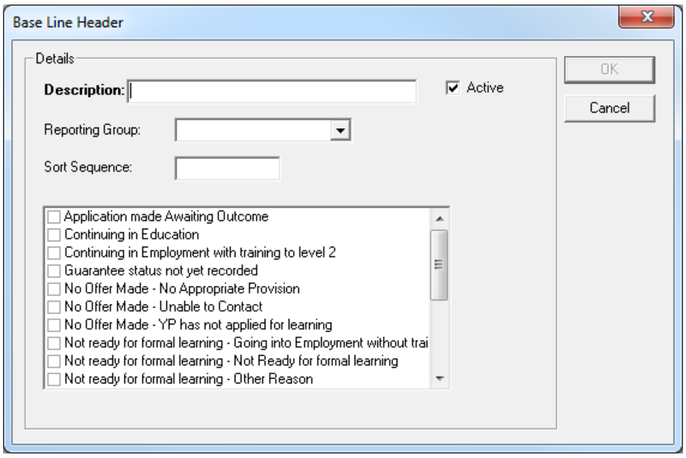
Stage 3 - Base Line Header

You need to create a new base line header for the cohorts each year.

To create a new baseline header:

1. In the One IYSS System Administration tool, select **Client | Baseline Header**.

2. Click the **Add Value** icon to display the **Base Line Header** dialog.



3. Enter a **Description**. This should include the guarantee year and cohort, e.g. Guarantee CCYY - Year XX.
4. Ensure the **Active** check box is selected.
5. Select the appropriate **Guarantee Rep Yr XX** cohort from the **Reporting Group** drop-down.
6. Select the required statuses from the list.
7. Click the **OK** button to save the changes and close the dialog.
8. Repeat steps 2-7 for the other cohort.
9. Add clients to the Guarantee cohort (see Adding Clients to a Baseline on page *27*).

07 | Annual Activity Survey

All clients leaving Year 11 each year are followed up to establish their situation on the 1st November of their leaving year. Clients can be followed up and records updated as late as January of the following year.

One IYSS uses baselines to control the membership of those clients who should be reported in the Annual Activity Survey.

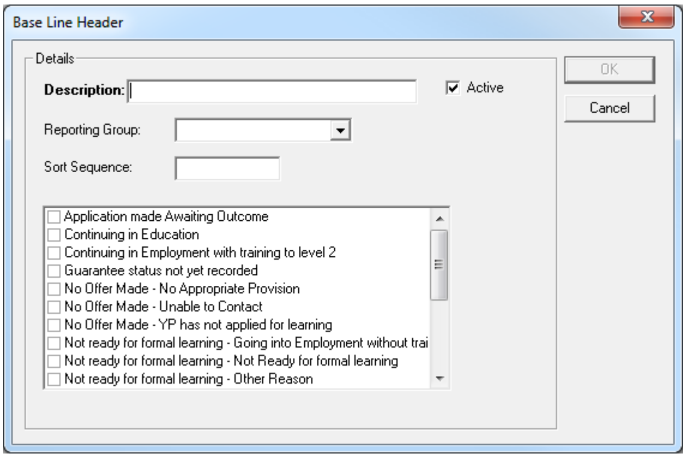
Each local authority is responsible for establishing the situation of young people who are due to reach the statutory school leaving age in July of the current year and who belong to one of the following categories:

- In education in the authority area on 31 May (and on the May PLASC).
- In custody in the authority area on 31 May.
- Not on a school roll (including those who are home educated or missing education) and who live in the authority area.

The Annual Activity Survey (AAS) reports on clients' primary and confirmed situations starting on or before the 1st November with no end date, or ending on or after the 1st November.

To create an Annual Activity baseline:

1. In the One IYSS System Administration tool, select **Client | Baseline Header**.
2. Click the **Add Value** icon to display the **Base Line Header** dialog.



3. Enter a **Description**. This should include survey year, e.g. Activity Survey - CCYY.
4. Ensure the **Active** check box is selected.
5. Select **Activity Survey Rep** from the **Reporting Group** drop-down.
6. Click the **OK** button to save the changes and close the dialog.
7. Add clients to the AAS baseline (see Adding Clients to a Baseline on page *27*).

***NOTE:** You should not select statuses. The AAS derives data from clients' situations.*

A report is provided to enable the extraction of AAS data in the CSV file specified by DfE.

08 | Running the Annual Activity Survey Extract Report - Guidance Note

This section explains how to export data in accordance with the Annual Activity Survey (AAS) return. It should be read in conjunction with the latest NCCIS Management Information Requirement manual, available from https://www.gov.uk/government/publications/nccis-management-information-requirement.

Prior to running the report, you must have set up your Annual Activity Survey Baseline. For more information on doing this, refer to the *Statistics and XML* handbook, available on the One Publications website.

Running the Report

The AAS Report is found in the directory in which the system administration module of One IYSS is installed. The file is called AAS 20[DY]-[DY] Rev2.rpt (where [DY]-[DY] represents the current and next decade and year).

1. Launch the AAS Report from the previously mentioned location.
2. When the report is launched, enter the following parameters:
   - **Enter Database ID**: This is your NCCIS-issued three digit database ID (System value: **Database ID**).
   - **Enter reported activity date (usually 1st November)**: This is the date that a young person's situation must span in order for them to be included in the AAS. This is typically the first of November in the year that they leave school. The date is used in selection formulas in the report to identify the situation to be reported in the AAS return.
   - **Enter your 3 digit LA code**: This is your official three digit LA code found in *Appendix B: Local authority codes* in the latest NCCIS Management Information Requirement manual.
   - **Enter baseline name**: This is the name of the baseline set up in May to control the cohort of young people on whom the AAS is reporting.
3. Click the **OK** button to display the **Separated Values Export Options** panel.
4. Complete the fields as follows:

Parameter	Instructions
Delimiter	**"** (Quotation marks)
Separator	**,** (Comma)
Tab	Deselect.
Mode	Select **Standard Mode**.
Report and Page Sections	Select **Export** and **Isolate Report / Page Sections**.
Group Sections	Select **Export** and deselect **Isolate Report / Page Sections**.

5. Click the **OK** button to display the **Choose Export File** panel.
6. Select the location to which the file is to be saved, and enter a filename.

7. Click the **Save** button to save the report.

Data Mapping

The report is broken down in the following table:

Report Column	How the Information was Derived
DatabaseID	Three-digit number taken from the **Enter Database ID** parameter provided when running the report.
YoungPersonsID	Contains the **DatabaseID** and the One person ID (TBCLIENT.PERSON_ID). Additional zeroes are inserted to create a 13-digit number.
CohortStatus	Taken from the young person's cohort status (TBCLIENT.CHCOHORTSTATUS). Where young people have a cohort status of 'X', they have left the cohort and their status upon leaving (TBCLIENT.CHCOHORTSTATUSONLEAVING) is used. Where young people are due to leave in the current month, but have not already left, the cohort status (TBCLIENT.CHCOHORTSTATUS) is used. Where young people do not have a leaving cohort status, they are assumed to be 'P' (primary). ***NOTE:*** *The leaving cohort statuses of 'A' (age) and 'G' (guarantee) are not accounted for, as there should be no young people with either of these statuses included in the AAS report.*
Postcode	Taken from People.Post_Code. ***NOTE:*** *Where young people have no correspondence addresses, the value 'ZZ99 9ZZ' is used, in accordance with the NCCIS Management Information Requirements document (see Chapter 3: Data Items).*
Gender	Taken from People.Gender.
Ethnicity	Converted from {Lookups_Full.Ext_Code} to match the 2011 Census classification code, in accordance with the *NCCIS Management Information Requirements* document (see *Chapter 3: Data Items*).
Lead LEA	Taken from the LA recorded against the statutory education provider (**Situations | Statutory Education Leaving Date | [provider name]**), <u>not</u> the current lead LA. Where no statutory education provider exists, or the provider has no LA assigned in the record (**Provider | Details | LA**), the code is taken from the **Enter your 3 digit LA code** parameter provided when running the report. ***NOTE:*** *Only young people with a Year 11-level education should be included in the AAS return. The report assumes that all young people identified as candidates have a Year 11 education, and therefore provides your LA code by default for anyone who does not have a statutory education provider with an assigned LA.*
SENDFlag	Taken from EDUCATION_DETAILS.SENSTAGE. Where the EDUCATION_DETAILS.SENSTAGE value is null, 'Q', 'N', 'A', 'P', or 'K', the SENDFlag is 'N'. Otherwise it is 'Y'.
StartDate	Taken from tbClientSituation.dtStartDate. The situation being reported is identified by a formula using the date provided in the **Enter reported activity date (usually 1st November)** parameter provided when running the report.

Report Column	How the Information was Derived
ActivityCode	Taken from TBBEANTYPEHEADER.VCXMLCODE, which is derived from TBVALIDSITUATIONSUBGROUP. This checks that the situation group and subgroup recorded in clients' situations have valid MI lines. It outputs the corresponding NCCIS activity code values. Where the recorded situation group and subgroup do not map to an MI line, the default code '810' (current situation not known) is used. The situation being reported is identified by a formula using the date provided in the **Enter reported activity date (usually 1st November)** parameter when running the report.
DateAscertained	Taken from tbClientSituation.dtChangeDate.
EstablishmentNumber	Taken from the young people's statutory education provider LA and DfE numbers (**Situations | Statutory Education Leaving Date | [provider name]**). The LA code and DfE number are combined to create a seven-digit establishment number. Where no statutory education provider exists, or the provider has no LA assigned in the record (**Provider | Details | LA**), the code is taken from the **Enter your 3 digit LA code** parameter provided when running the report. Where no statutory education provider exists, or the provider has no DfE number on record (**Provider | Details | DCSF ID**), '9999' is used. ***NOTE:*** *Only young people with a Year 11-level education should be included in the AAS return. The report assumes that all young people identified as candidates have a Year 11 education, and therefore provides your LA code by default for anyone who does not have a statutory education provider with an assigned LA.*
The EstablishmentName	Taken from the statutory education provider (**Situations | Statutory Education Leaving Date | [provider name]**). Where no statutory education provider is recorded for a young person, the value is null.

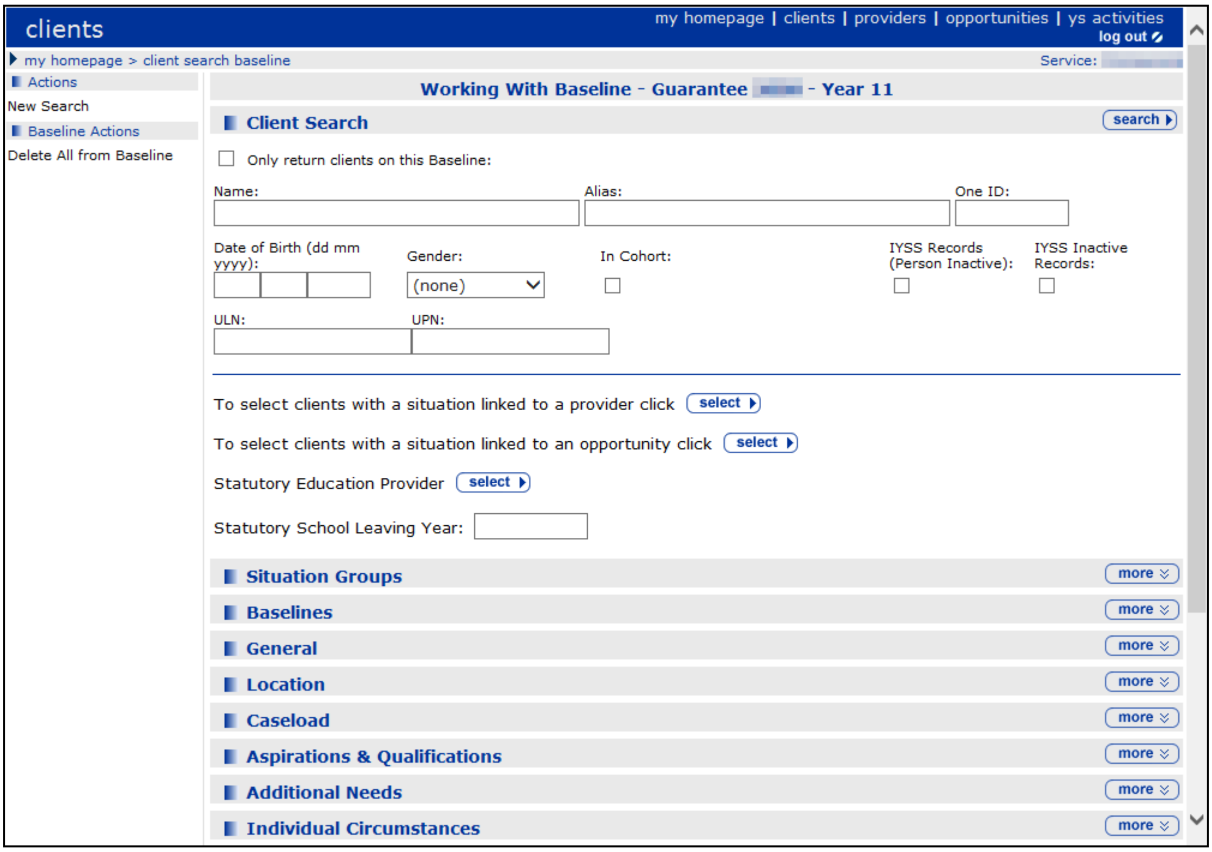
09 | Adding Clients to a Baseline

Adding Clients to a Baseline

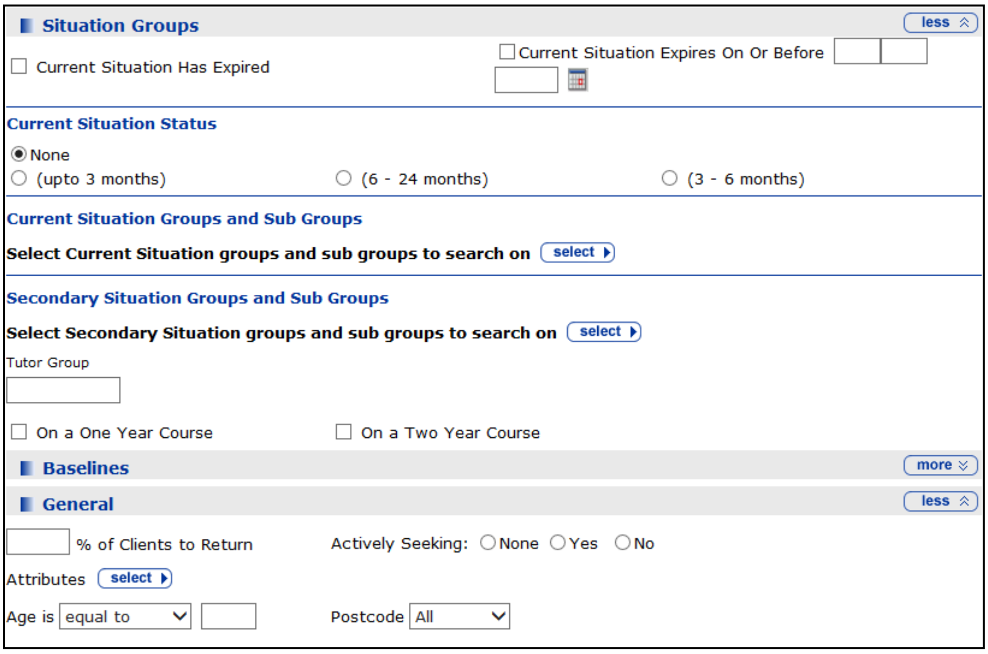
When you have created baselines in the System Administration tool, you need to add clients to these baselines to make up the cohort used in the report.

To add clients to a baseline:

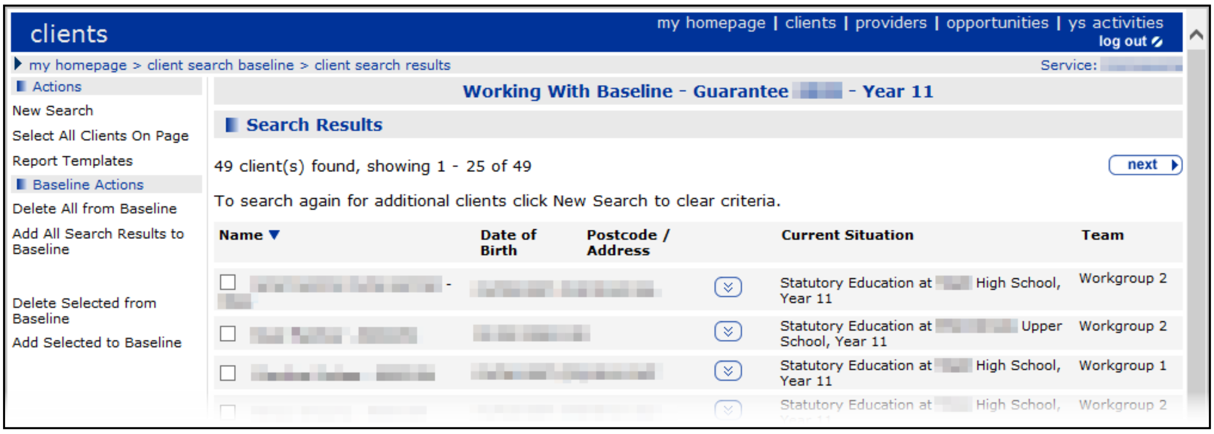
1. In One IYSS **my homepage**, select the **Admin / Manager** tab.
2. In the **Baselines** panel, select the required baseline to display the **Working With Baseline** screen.



3. In the appropriate panels, enter the search criteria for the clients that you want to add to the baseline. You can expand the panels using the more buttons:



4. In the **Client Search** panel, click the **Search** button to display the results. Any clients displayed in bold already belong to this baseline.



5. Add clients to the baseline:

   To add individual clients to the baseline:

   a. Select the clients to add to the baseline.

   b. In the **Baseline Actions** panel, click **Add Selected to Baseline** to display a confirmation dialog.

NOTE: *You must do this for each results page.*

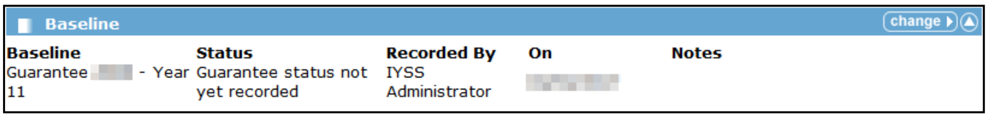
   c. Click the **OK** button

   To add all clients returned by the search to the baseline:

   a. In the **Baseline Actions** panel, click **Add All search Results to Baseline**.

   b. Click the **OK** button.

The **Baseline** panel in the client records is updated accordingly.

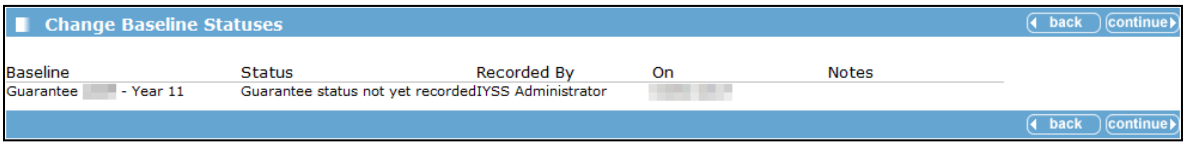


If you added clients to a Guarantee baseline, you will need to update the baseline status for the clients as appropriate (see [Changing Baseline Statuses](#) on page *29*).

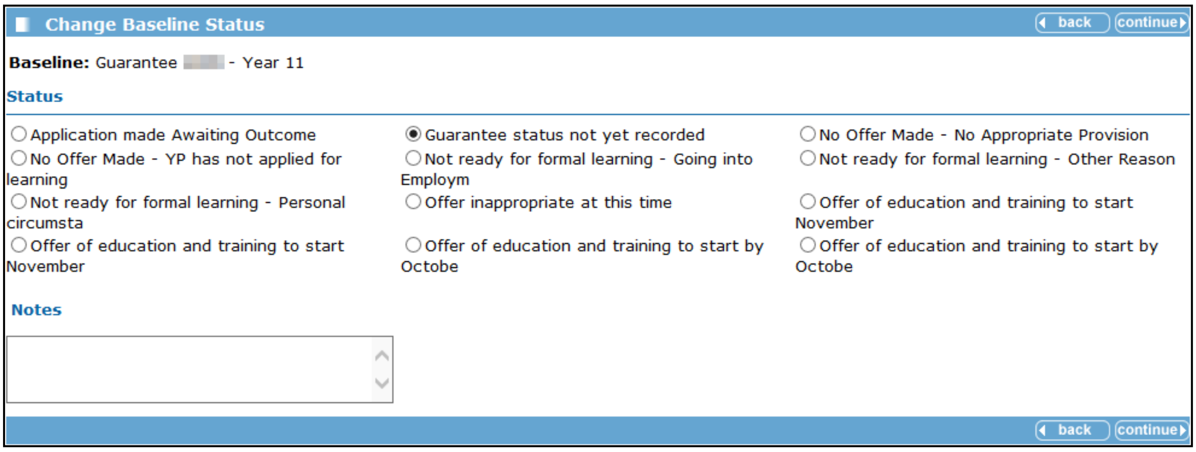
Changing Baseline Statuses

To update a client's Guarantee baseline status:

1. Open the required client record.
2. In the **Baseline** panel, click the change button to display the **Change Baseline Statuses** panel.



3. In the **Baseline** column, click the name of the baseline to display the available statuses.



4. Select the appropriate **Status**.
5. If required, enter any **Notes**.
6. Click the **continue** button to update the record.

10 | Troubleshooting

NCCIS Error Reported – Clients with Cohort X

If the NCCIS returns an error stating that clients with a cohort status of X have been included in the XML, you need to reset the cohort status prior to running the XML extract process (see Resetting Clients Leaving the Cohort, on page *7*).

All clients recorded as having moved out of the cohort are given a cohort status of X when the XML extract finishes. This prevents them from reappearing in future returns unless they rejoin the cohort. Resetting the cohort status removes the X status.

DX Scheduled Fails to Start

If the DX scheduled job fails to start, use the **Event Viewer** program on the machine running the DX job to check for a failed login attempt or invalid password. If the failure was caused by invalid login credentials, check that the user ID (system value: **DX - IYSS Network UserID**) and its encrypted password (system value: **DX - IYSS Network UserID Password**) are valid and correct.

DX Scheduled Starts but Fails to Finish

If the DX job fails to finish or is interrupted by another process, you should:

- Remove any incomplete XML files from the server's application path.
- Delete the export request from the **DX Jobs** screen in One IYSS (**my homepage | IYSS Links | DX Monitoring**).
- Resubmit the export request.

Running the Process Mid-month or Extending the Reporting Period

To run the process on a different date:

- Reschedule the Statistical Output Counter with Audit job.

  > ***NOTE:*** *This needs to run after the Clean Up job has finished.*

- Ensure that the month you want to report is configured and flagged as current in the One IYSS System Administration tool (**Statistics | Statistical Reporting Period**).

  > ***NOTES:*** *You do not need to change the statistical reporting period end date to the date that the Statistical Output Counter with Audit job runs.*
  >
  > *Running the Statistical Output Counter with Audit job more than once in a statistical reporting period overwrites existing data.*

There are Duplicates in the XML

If you find duplicates in your XML file, the DX job has failed and been restarted without the incomplete XML file being deleted from the server's application path.

MORE INFORMATION

DX Scheduled Starts but Fails to Finish, page *30*.

Resetting Clients Leaving the Cohort, page *7*.

The Statistical Output Counter with Audit Job Ran Over Midnight

The Statistical Output Counter with Audit job uses the date the job is run to determine whether a client's situation has expired. Where the job runs onto another day, some clients may have their situation recorded as expired incorrectly.

NCCIS Reported Error - Field 'EstablishmentNumber' does not contain a valid value

These errors occur when a client is returned in the XML file as being in education, but the education provider linked to this record does not have a recorded establishment number. To resolve this, enter an establishment number in the **DCSF ID** field of the provider record (**Details** panel) linked to the client's education situation.

NOTE: *Although this data might already be included in the* base *record, IYSS specifically uses the* **DCSF ID** *field for the NCCIS return.*

NCCIS Reported Error – Missing Activity Node

Missing activity node errors occur when clients have situation group or subgroup combinations that are not correctly mapped to an NCCIS value. Lookup values that affect statutory government returns should not be changed without prior consultation with One Application Support.

NOTE: *The Moved Out of Contact situation should not be used for clients included in the XML file. If you have a client that is not normally part of your cohort, but needs including in the Guarantee report, they will require a valid NCCIS situation for the reporting period.*

The record IDs reported back from NCCIS are not client IYSS IDs, they are the records' sequence numbers in the XML file, e.g. an error reported against record 1000, refers to the 1000^{th} record in the XML file.

To resolve this issue, update the client's situation with one that complies with NCCIS requirements and rerun the Statistical Output Counter with Audit job. You can find the client's ID in the XML file.

Incorrect Numbers of Clients Aged 18+ Appearing

Clients aged 18 and over should only be returned in the XML file if they have a special educational need or disability and a current EHC flag (see XML Cohort Rules on page *4*).

If the value is removed from the **SEN Status** field when clients leave education, they will not be included in the XML file. If it appears that the number of clients aged 18 and over included in the XML file is incorrect, check your internal business processes to establish how protocols governing the updating of the **SEN Status** field are impacting the XML file.

NCCIS Reported Error – Source: DX:Main Message: Could not find a part of the path

If the XML file prefix was not set during submission of the DX job, the following error might be returned:

Source: DX:Main Message: Could not find a part of the path ‘C:\Capita Childrens Services\IYSS Background Tasks\LIVE\N\A170515I000.XML'.

To resolve the issue, resubmit the job, ensuring you enter a **File Prefix**. This should be the first three letters of the month of submission.

11 | Appendix 1

NCCIS XML/One IYSS Data Mapping

The following table displays the XML file fields and the location in One IYSS from where the data that populates them is derived.

Data that is fixed as of the end of the month is set when the Statistical Output Counter with Audit job is run. Data that is not fixed is pulled from the live client record when the DX NCCIS XML job is run.

XML Name	OneIYSS Source	Fixed as of End of Month
YoungPersonsID	SystemValue + tbClient.inExternalreference	Yes
CohortStatus	tbClient.chCohortStatus / tbClient. CHCOHORTSTATUSONLEAVING	Partially
GivenName	People.legal_forename	No
FamilyName	People.legal_surname	No
AddressLine1	Addr_det.address1	No
AddressLine2	Addr_det.address2	No
AddressLine3	Addr_det.address3	No
Town	Addr_det.town	No
County	Addr_det.county	No
Postcode	addr_det.post_code (correspondance address)	No
TransferredToLACode	tbBeanReport.idLEA	Yes
Gender	people.gender	No
DOB	people.dob	No
Ethnicity	people.ethnic_or	No
LeadLEA	tbBeanReport.idLEA	Yes
EducatedLEA	tbClient.idEducatedLEA	Yes
TransferredToLACode	tbBeanReport.idLEA (Where cohort status is 'T')	Yes
UniqueLearnerNo	tbClient.vcEducationalWelfareID	No
UniquePupilNumber	People.UP_ID	No
GuaranteeStatusIndicator	TbBeanReport. BTONGUARANTEE	Yes
YouthContractIndicator	tbBeanReport. BTYOUTHCONTRACTINDICATOR	Yes
YouthContractStartDate	tbBeanReport. DTYOUTHCONTRACTSTART	Yes
PreviousYPIDIdentifier	tbClient.vcOldSystemID	No

XML Name	OneIYSS Source	Fixed as of End of Month
Guarantee Year 11 Status	tbBeanReport. VCYEAR11GUARANTEESTATUS	Yes
Guarantee Year 11 LEACode	tbBeanReport. IDYEAR11GUARANTEELEACODE	Yes
Guarantee Year 12 Status	tbBeanReport. VCYEAR12GUARANTEESTATUS	Yes
Guarantee Year 12 LEACode	tbBeanReport. IDYEAR12GUARANTEELEACODE	Yes
LevelOfNeed LevelofNeedCode	tbBeanReport.idLevelofNeed	Yes
LevelOfNeed SENDFlag	tbClient.idSENStatus	No
LevelOfNeed Characteristics	tbClientIndividualCircumstance.idType	No
Activities StartDate	tbClientSituation.dtStartDate where situation record as of the end of month	Yes
Activities ActivityCode	tbBeanReport.idBeanType (linked to tbBeanTypeheader)	Yes
Activities DateVerified	tbBeanReport.dtCurSitConfirmedOnDate	Yes
Activities DateAscertained	Set to situation change date, if this is greater than date verified, change to the same as date verified	Yes
Activities ReviewDate	tbBeanReport.dtCurSitExpiryDate	Yes
Activities DueToLapseDate	tbBeanReport.dtCurSitExpiryDate	Yes
Activities CurrencyLapsed	tbBeanReport.dtCurSitExpiryDate vs XML run date = true or false	Yes
Activities EstablishmentNumber	tbBeanReport. vcEstablishmentNo	Yes
Activities Establishement Name	tbBeanReport. vcEstablishmentName	Yes
UKProviderReferenceNumber	tbBeanReport.vcUKPRN	Yes
Activities NEETStartDate	tbBeanReport.dtCurSitFromDate	Yes
IntendedDestination Year11	tbClient.idAspirationPriority	No