

# CAPITA

## Personnel School Workforce Census 2015

Last updated for the Summer 2015 (3.57) release

Inclusion Rules

one



# Contents

---

<b>Selecting Staff</b>	<b>1</b>
Initial Selection Criteria of Members of Staff for the Census .....	1
<b>Validations for SWC</b>	<b>5</b>
Categorisation of each Member of Staff .....	5
Staff Details Data Group .....	7
Teacher Number .....	7
Person Family Name .....	7
Given Names .....	7
Former Family Names .....	8
National Insurance Number .....	8
Gender .....	8
Date of Birth .....	9
Ethnic Code .....	9
Disability .....	10
Qualified Teacher Status .....	10
Higher Level Teaching Assistant Status .....	11
Qualified Teacher Status Route .....	12
Contracts/Service Agreements Data Group .....	13
Contracts/Service Agreements Inclusion Rules .....	13
Further Business Rules for Different File Types .....	14
Contract or Service Agreement Type .....	15
Contract Start .....	15
Contract End .....	16
Post .....	16
School Arrival Date .....	18
Daily Rate .....	18
Destination Code .....	19
Origin .....	19
Pay Review Date .....	19
LA/School Level Indicator .....	20
Post Level Details Container .....	20
Payments Container .....	20
Pay Scale .....	21
Regional Pay Range .....	22
Pay Framework .....	23
Leadership Pay Range Minimum and Maximum .....	23
Base Pay .....	25
Safeguarded Salary .....	27
Additional Payments Container .....	27
Category of Additional Payment/Payment Type .....	28
Payment Amount .....	28
Payment Start Date .....	28
Payment End Date .....	29
Hours Container .....	29
Hours per Week .....	29
FTE Hours .....	30

Weeks per Year .....	30
Roles Container.....	30
Role Identifier .....	31
Absences Data Group .....	32
Absences Inclusion Rules .....	32
First Day of Absence .....	32
Last Day of Absence.....	33
Working Days Lost .....	33
Absence Category .....	34
Payroll Absence Category .....	34
Exporting Absence Records for Secondments.....	34
Curriculum Data Group.....	35
Qualifications Data Group .....	35
Qualifications Inclusion Rules .....	35
Qualification Code .....	36
Class of Degree .....	36
Country of Origin .....	36
Subject Code 1 .....	36
Subject Code 2 .....	36
Date of Award.....	36
School Level XML Output.....	37
Vacancies .....	37
Occasional Teachers .....	38
Agency Support Staff .....	39
Local Authority Level XML Output.....	40

# Selecting Staff

## Initial Selection Criteria of Members of Staff for the Census

Inclusion of Workforce level data is based only on members of staff with Service and/or Service Agreement records of 28 days or more in length linked to the bases selected for inclusion in the School Workforce Census. The system does not check for **Supply** claims that may represent continuous work of more than 28 days in length at this time.

Service Agreements with a blank Service Agreement Type or Type mapped to ZZZZ are not included.

The DfE document [2015\\_School\\_Workforce\\_Census\\_Specification\\_v1-0, section 2.1.5 Regular Service](#), includes the following information about the staff to be included in the SWC:

*Teachers and support staff are included in the census if they are in regular service on census reference day, or were in regular service at any point during the period 1 September 2014 to 31 August 2015. 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*

*The Census covers teachers and support staff employed both full- and part-time in the maintained sector in England.*

The DfE specification explains which data is to be collected, in the table below.

- **Snapshot data** includes all items for all members of staff in service on Census Day.
- **Continuous data** includes
  - a) All items for any further members of staff for whom previous term Contract/ Agreement data are included [i.e. with a Start Date or End Date between 1 September and 31 December (inclusive) of the previous year];  
plus
  - b) All items for any further members of staff for whom Absence records are included i.e. Absence where the First Day or Last Day of absence falls during the previous calendar year.

Data	Nature of Data	Dates Covered
Staff Details	Snapshot	Date of data extraction (or leaving date for staff that have left).
Contract/Service Agreement	Snapshot	Contracts/Service Agreements in scope that are open on Census Reference Date (if contract has lasted 28 days or is permanent or has a Contract End date 27 days or more after the Contract Start date) (i.e. for 2015 census all contracts/service agreements still open and in scope on 5 November 2015).
	Continuous	Contracts/Service Agreements in scope that ended in the period 1 September of the previous year to census reference day (i.e. for 2015 census all in scope contracts/service agreements ending in the period 1/9/2014 to 5 November 2015).

Data	Nature of Data	Dates Covered
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

The following selection criteria apply:

1. The selection process starts by retrieving the bases selected for inclusion in the census via the **Report | External Returns | School Workforce Census | Administration** tab.
2. If the **Report | External Returns | School Workforce Census | Pre-Process/Export** tab's **'Return Group'** has a value specified then the system only retrieves those bases selected where the Base's **DfES<sup>1</sup> Return Group** matches the return group selected on the **Report | External Returns | School Workforce Census | Pre-Process/Export** tab, and the base's LA (BASES.LEA\_NO) matches the LA selected in the header on the **Pre-Process/Export** tab.  
  
If the **Report | External Returns | School Workforce Census | Pre-Process/Export** tab **Return Group** is left blank then all bases selected on the **Report | External Returns | School Workforce Census | Administration** tab will be included.
3. One separate XML file is generated for each school selected for processing. Also one XML file is generated to cover all of the bases marked as **Central** in the **Report | External Returns | School Workforce Census | Administration** tab, so that all relevant centrally employed staff are grouped together in one file.

Within the **One** system, members of the workforce are linked to bases via **Service** records or **Service Agreements**.

4. The system **always** checks for **Service** records for the base being processed.
5. When processing a **Type 1b** or **Type 2** file (where the LA is submitting **school-level data**) then in addition to checking Service records as described above, the system also checks the table storing Service Agreements where the **Service** base is identified as the base currently being processed.

When processing a **Type 3** file (for **centrally-employed staff**) Service Agreement records are not retrieved. This is because the DfE intends that the central return does not include details of specific work at specific schools since that would be included in the schools' returns, but rather this provides the centrally-employed workforce members' general contract details.

6. Any claims-based services are discarded from selection. This is done by discarding any Service record where the contract type is 'N' (non-contracted service).
7. For bases where **specific Service Terms have been selected** via **Report | External Returns | School Workforce Census | Administration** tab, then the next stage is to discard any Service records or Service Agreements where the Service Term does not match one of the specified Service Terms.

By default all Services/Service Agreements are considered, regardless of Service Term, therefore the default is that no Service Terms will have been linked to a Base on the **School Workforce Census | Administration** tab.

<sup>1</sup> **Note:** any references to **DfES** within this document refer to field labels within the **One** software and should be taken as **DfE**.

However, if it is necessary to only consider certain groups of staff at the base for inclusion in the census (e.g. a **Central** base may include support staff who should be omitted from the SWC) then the LA will have selected those service terms that should be included for that base.

Only if at least one Service Term has been selected for an individual base in this way, then any Service records or Service Agreement records linked to the base being processed where the Service Term internal code does not match one of the Service Terms selected for that base, are discarded at this stage.

8. The next stage is to filter only Service records or Service Agreement records that are/were active within the period of the census since any other records do not need to be included.

The DfE wishes to include:

- Members of the workforce whose service is active on the census day itself  
and
- Members of the workforce whose service started or ended at that base within the Census period (as long as Contracts information is being returned in the census for continuous data).

The system carries out the following:

- (a) For **all file types**, the Service records are further filtered to retrieve only those that match **one of** the following criteria (discarding all others):

- **Service Start Date** is on or before census day and **Service End Date** is null  
or
- **Service Start Date** is on or before census day and **Service End Date** is on or after census day  
or
- **Service End Date** is on or after **Census Period Start** and **Service End Date** is on or before **Census Period End**.

- (b) For **Type 1b** or **Type 2** file types (where the LA is submitting school-level data), then in addition to filtering Service records as described above, the system also filters the Service Agreements retrieved to only those that match the following condition:

- Service Agreement Service Type mapped external code is not 'ZZZZ' or Service Agreement Service Type is not blank as well as one of the following criteria (all others are discarded):
  - **Service Agreement Start Date** is on or before census day and **Service Agreement End Date** is null  
or
  - **Service Agreement Start Date** is on or before census day and **Service Agreement End Date** is on or after census day  
or census day
  - **Service Agreement End Date** is on or after **Census Period Start** and **Service Agreement End Date** is on or before **Census Period End**

9. The next stage filters the retrieved Services and Service Agreements further to only select those that are at least 28 days in length. The following rules are applied:

- If the **Service/Service Agreement End Date** is null then it is assumed that the service will be of at least 28 days in length and the Service/Service Agreement will be considered for inclusion in the SWC.
- If the **Service/Service Agreement End Date** is specified then the system compares the start and end dates to determine whether this is of at least 28 days in length.

10. **Note on accounting for Secondments (either absences or seconded services) and other Suspended Services.** If a member of the workforce normally based at one school is seconded to another establishment for all or part of the census period, then they will be included in both the file from the first school (where an absence of type secondment might be included) as well as in the file from the second school.  
Where the Contracts/Service Agreements data group is being included in the file then this too may contain details of service that may be suspended for the census period. Therefore in this initial selection criteria business rules section there is no need to take account of whether a service is suspended, seconded or is acting<sup>2</sup>.
11. Once the system has discarded all others and retained only the relevant Service and/or Service Agreement records, and then it will retrieve the member of staff linked to those Services or Service Agreements.

These business rules determine who will be included in each School Workforce Return file.

Services and/or Service Agreements retrieved here will be used later to determine which records related to Contracts/Service Agreements and Absences need to be included in the files dependent on the data groups that have been selected for output.

---

<sup>2</sup> Note that the Service Status, a calculated field on the Service Details browse available from the Staff | Service tabs, indicates whether the Service is Suspended, Acting or Seconded.

# Validations for SWC

## Categorisation of each Member of Staff

There are four separate categories of person for the purposes of the School Workforce Census:

- Contracted Teacher in Regular Service
- Agency/Service Agreement Teacher in Regular Service
- Contracted Teaching Assistant
- Other Contracted Support Staff

There are specific business rules for some workforce level data items and the data items are only returned for specific categories of people. Therefore the system first determines the category of each person.

The following section explains how the DfE defines the categories of person. This is taken from [section 3.1](#) of the [2015\\_School\\_Workforce\\_Census\\_Specification\\_v1-0](#).

*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 following the table below, which need to be evaluated in sequence.*

*The definition of the above categories is summarised in the table below.*

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

- **Centrally employed non-teaching staff** (such as Educational Psychologists or Education Welfare Officers) are regarded as **Other Contracted Support Staff**.
- **Teaching assistants** can be assigned the post of Teaching Assistants, 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. These latter two are still available for use where the allocated post for a teaching assistant is SUP.




The table can be formally expressed using the following business rules, which are followed in sequence:

1. **'Teacher in Regular Service'** will be one where any of his/her contracts have
  - i) Contract/Agreement Type = 'PRM' and Post not = ('SUP' or 'TAS' or 'AVT')
  - or** Contract/Agreement Type = 'FXT' and End Date – Start Date greater than or equal to 28 days and Post not = ('SUP' or 'TAS' or 'AVT') **or**
  - ii) Contract/Agreement Type = 'TMP' and End Date provided and End Date – Start date greater than or equal to 28 days and Post not = ('SUP' or 'TAS' or 'AVT') **or**
  - iii) Contract/Agreement Type = 'TMP' and End Date not provided and Reference Date – Start date greater than or equal to 28 days and Post not = ('SUP' or 'TAS' or 'AVT') **otherwise an**
2. **'Agency/Service Agreement (SA) Teacher in Regular Service'** will be one where any of his/her contracts have
  - i) Contract/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 28 days and Post not = ('SUP' or 'TAS' or 'AVT') **or**
  - ii) Contract/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 28 days and Post not = ('SUP' or 'TAS' or 'AVT') **otherwise an**
3. **'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 Contract/Service Agreement Type = 'FXT' or 'TMP' and End Date provided and [End Date – Start Date greater than or equal to twenty seven days] **or**
  - III. Post = 'TAS' and Contract/Service Agreement Type = 'FXT' or 'TMP' and End Date not provided and [Reference Date – Start Date greater than or equal to twenty seven days] **otherwise an**
4. **'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 Contract/Service Agreement Type = 'FXT' or 'TMP' and End Date provided and [End Date – Start Date greater than or equal to twenty seven days] **or**
  - iii. Post = 'SUP' and Contract/Service Agreement Type = 'FXT' or 'TMP' 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 Contract/Service Agreement Type = 'FXT' or 'TMP' and End Date provided and [End Date – Start Date greater than or equal to twenty seven days] **or**
  - vi. Post = 'AVT' and Contract/Service Agreement Type = 'FXT' or 'TMP' and End Date not provided and [Reference Date – Start Date greater than or equal to twenty seven days].

These definitions rely on the **One** system calculating some of the tag values for the Contracts/Service Agreements Data Group. It may be that the LA has elected not to output the contents of the Contracts/Service Agreements Data Group within the XML file (this may be the case if the LA is sending supplementary data on Absences or Qualifications and the school itself is outputting Contracts data for school-based staff). However, the following tag values are calculated for every member of the workforce in order to determine the category of person, even if those tag values are not output in the actual XML file:

- <ContractType>
- <ContractStart>
- <ContractEnd>
- <Post>
- <Role Identifier>

The remaining information in this section is grouped in SWC Data Group order listing data items in that Group, how they are sourced and their validation within the One SWC generation process.

 Numbers included in Error Messages reflect the corresponding COLLECT validation error number.

## Staff Details Data Group

This contains identifying details for each included member of the workforce.

### Teacher Number

Sourced from the **Staff Focus | Additional** tab's **DfES (DfE) Number**.

This is expected, but not mandatory for all members of the workforce where the Qualified Teacher Status tag has a value of true. If this validation is not met then the member of staff continues to be included in the XML file without the tag, but a validation error is raised: "4100Q: Qualified Teacher with Teacher Number missing. Please check."

Otherwise this tag is optional and is supplied for others where there is a value in the *DfES* Number data item.

The XML file tag must be 7 characters long. The **One** database supports storage of Teacher Numbers of up to 8 characters. This is because Scotland and Wales record 8 character values but England record 7 character values. The system checks to ensure that the length of the value is 7.

If the Teacher Number is > 7 characters then the tag will be output with the first 7 characters of the Teacher Number. The actual Teacher Number stored in EMPLOYEES.DES\_NO will be unaffected. A validation error will be raised "4105: Teacher Number > 7 digits. First 7 digits has been output."

Otherwise, if the length is between 1 and 6 characters inclusive then the staff member will be included, but the tag will be omitted and a validation error raised: "4105Q: Teacher Number should be 7 or 8 digits".

### Person Family Name

Sourced from the **Staff focus | Basic Details** tab's **Legal Surname**.

This is mandatory for all members of the workforce. If there is no **Legal Surname** then the member of staff is omitted from the XML file and a validation error will be raised: "4110: Family Name (Legal Surname) is missing - person omitted."

### Given Names

Sourced from the **Staff focus | Basic Details** tab's **Legal Forename** and **Middle Name** data items.

It is mandatory to output at least one **Given Name**. Given names are output in the order of **Legal Forename**, then **Middle Name** (if one is recorded).

If there is no legal forename then the member of staff is omitted from the XML file and a validation error is raised: "4120: Given Name (Legal Forename) is missing - person omitted."

## Former Family Names

This is sourced from the **Staff focus | Basic Details** tab - right click on **Surname** and select **Name History**. The **Name History Legal Surname** data item is output only if the Surname value is different from the current Legal Surname displayed on the **Basic Details** tab's **Legal Surname** data item. Multiple values may be output.

This is an optional tag.

Former **Family Names** are only output for the following categories of person if they are stored in the system:

- **Contracted Teachers**
- **Contracted Teaching Assistants**

## National Insurance Number

This is sourced from the **Staff focus | Basic Details** tab's **NI Number**.

The DfE specification document **2013 School Workforce Census Specification v1-1** section 3.3.1 states

*The department prefers that temporary NI numbers are not used. If a correct NI number cannot be obtained this field should be left null, i.e. not exported.*

If there is no <NINumber > value then the member of staff is not omitted from the XML file, but instead is included in the census without this tag and a validation error is raised: "4160Q: NI Number missing, but person still included."

The NI Number must meet the following format criteria:

- Must be 9 characters
- First 2 characters must be alpha, next 6 characters must be numeric and final character can be A, B, C, D or space
- First character must not be D,F,I,Q,U or V
- Second character must not be D, F, I, O, Q, U or V.

If the format of the NI Number is invalid then the member of staff is not omitted from the XML file, but instead the NI Number should stop exporting and a validation error is raised: "4150: NI Number has invalid Format – please check".

The first 2 characters of <NINumber> should not be GB, BG, NK, KN, TN, NT or ZZ. If this validation rule is not met, then the member of staff is not omitted from the file. Instead the member of staff is included and the NI Number tag **should stop exporting** and a validation error is raised: "4155: NI Number Check. Temporary or non-standard NI Number"

## Gender

Sourced from the **Staff focus | Basic Details** tab's **Gender** data item.

The Gender value will be output from the **One** database as follows in the XML File:

One value of Gender	XML output
M	1
F	2
null	9

This is mandatory for all members of the workforce. In the unlikely event that 'Gender' stores a value other than M, F or null then the member of staff will be omitted from the XML file and a validation error will be raised: "Gender – unrecognised value – person omitted".

## Date of Birth

Sourced from the **Staff focus | Basic Details** tab's **Date of Birth**.

This is mandatory for all members of the workforce. If there is no DOB value then the member of staff is omitted from the XML file and a validation error is raised: "4190: Date of Birth missing – person omitted".

The software calculates the person's age on Census Day. The age should be greater than 13 years of age (i.e. at least 14) and less than 100 years of age. If this validation rule is not met then the member of staff is omitted from the XML file and a validation error is raised: "4200: Date of Birth inappropriate. Age must be > 13 and < 100 – person omitted".

## Ethnic Code

Sourced from the **Staff focus | Basic Details** tab's **Ethnic Origin**'s internal lookup code's mapped external lookup code.

The Ethnicity value is output from the One database as follows in the XML File:

One value of Ethnic Origin's mapped external code	DfE Description	XML output
7, ABAN or BAN	Bangladeshi	ABAN
5, AIND or IND	Indian	AIND
17, AAFR, AKAO, AKAS, ANEP, AOTA, AOTH, ASLT, ASNL or <b>ASRO</b>	Any Other Asian Background	AOTH
6, AKPA, AMPK, AOPK, APKN or PAK	Pakistani	APKN
2, BAFR, BANN, BAOF, BCON, BGHA, BLA, BNGN, BSLN, BSOM or BSUD	Black African	BAFR
3, BCRB or BLC	Black Caribbean	BCRB
4, BEUR, BLO, BNAM, BOTB or BOTH	Any Other Black Background	BOTH
8, CHI, CHKC, CHNE, CMAL, COCH, CSNG or CTWN	Chinese	CHNE
MABL, MACH, MAOE, MBCH, MBOE, MCOE, MOTH, MOTM, MWCH or MWOE	Any Other Mixed Background	MOTH
MWAI, MWAO, MWAP or MWAS	White and Asian	MWAS
MWBA	White and Black African	MWBA
MWBC	White and Black Caribbean	MWBC
<b>Ethnic Code is null</b> , or one of 98, NOBT or X99	Information Not Yet Obtained	NOBT
AOG, OAFG, OARA, OEGY, OFIL, OIRN, OIRQ, OJPN, OKOR, OKRD, OLAM, OLEB, OLIB, OMAL, OMRC, OOEG, OOTH, OPOL, OTHA, OVIE or OYEM	Any Other Ethnic Group	OOTH
REFU or X98	Refused	REFU
1, WBRI, WENG, WHI, WOWB, WWEL, WSCO or <b>WCOR</b>	White – British	WBRI
<b>WIRI</b>	White - Irish	WIRI
<b>WIRT</b>	<b>Traveller of Irish Heritage</b>	<b>WIRT</b>
WALB, WBOS, WCRO, WEEU, WEUR, WGRC, WGRE, WGRK, WHE, WHO, WITA, WKOS, WOTH, WOTW, WPOR, WSER, WTUC, WTUK, WTUR or WWEU	Any Other White Background	WOTH
107 <b>WROG, WROM, WROO or WROR</b>	Gypsy / Roma	WROM

These mappings are also used in the 618G Ethnicity Report.

If there is an entry in the Ethnic Origin data item in **One** for the person but there is no mapped external code value or the external code value does not match one of the values listed in the first column of **One** values then the member of the workforce is not omitted from the XML file but a validation error is raised: “4220: Ethnicity external code is invalid.”

In this case the <Ethnicity> tag is omitted for the specific member of the workforce. This is because Ethnicity is not part of the minimum data set.

## Disability

This is included for all SWC types.

It is derived from the **Staff focus | Basic Details** tab’s hard-coded lookup ‘Are day to day activities substantially affected by physical or mental impairment?’ as follows:

One Value	One Description	SWC Output Value	DfE Description
Y	Disabled	YES	Yes
N	Not Disabled	NO	No
U	Not Known	NOBT	Information not yet obtained
D	Declined to specify	REFU	Refused
Null		NOBT	Information not yet obtained

Only the values listed above in the **SWC Output Value** column are permitted. If there is an entry that does not match any of those listed above then the member of the workforce is not omitted from the XML file but a validation error is raised: “4225: Disability is invalid.” In this case the <Disability> tag is omitted for the specific member of the workforce. This is because **Disability** is not part of the minimum data set.

## Qualified Teacher Status

In One there are two potential sources of this information – the primary source is from the **Staff focus | Additional** tab’s **Teacher Status** internal lookup code’s mapped external lookup code.

For Service Agreements, there is also a **QT Status** data item stored against the Service Agreement.

This tag is output for the following categories of person:

### Contracted Teachers

#### Agency/Service Agreement Teachers in Regular Service

#### Contracted Teaching Assistants

This tag is omitted for the following category of person:

#### Other Contracted Support Staff

The output for this tag is true or false, according to the following rules:

- (a) First the system finds the **Staff focus | Additional** tab’s **Teacher Status**’ internal lookup code’s mapped external lookup code.
- (b) If the **Teacher Status** external code is **QUAL** then the XML Output value for the tag is **true**.
- (c) If not, it then checks for any active service agreements for the person where the ‘**QT Status**’ is mapped to external code ‘**QTS**’. If found then the XML Output value for the tag is **true**.

If found it also raises a validation message “Qualified Teacher Status output as true due to linked Service Agreement, but Additional tab’s **Teacher Status** does not match. Please check.”

- (e) If the **Qualified Teacher Status** external code value is one of **GTPE, GTPO, INSE, INSO, INST, LICT, NONT, OTHT, RTPPE, RTPPO** or **STUD** then output the <QTStatus> as **false**
- (f) If there are any active Service Agreements where the following applies then it outputs the <QTStatus> as **false**:

- Service Agreement 'QT Status' lookup entry is mapped to external code 'NOTQTS' AND
- Service Agreement Start Date =< Census Day > AND
- Service Agreement End Date is null or < Service Agreement End Date >= Census Day

If found it also raises a validation message "Qualified Teacher Status output as No due to linked Service Agreement, but Additional tab's Teacher Status is blank. Please check."

(g) If there is no entry in the Additional tab's Teacher Status data item, then an additional check is carried out to see if the <Post> tag is one of the following values:

'HDT', 'DHT', 'AHT', 'TCM', 'TCU', 'LDP', 'AVT', 'TCH'

If so, then the member of the workforce is assumed to be qualified and **Yes** is output in the XML file.

In this circumstance a validation message is raised: "Qualified Teacher Status output as true due to linked Post, but Additional tab's Teacher Status is blank. Please check."

(h) If the Additional tab's Teacher Status is null but the post doesn't correspond to one of the posts listed above in (f). It outputs the tag value as false.

A validation message is raised: "Qualified Teacher Status output as No: Additional tab's Teacher Status is blank and Post is not a teaching post."

**Further validation:** If <QTStatus> = Yes then the software carries out a further validation with respect to the Date of Birth tag <PersonBirthDate>.

- <PersonBirthDate> should be prior to 1 January in the year 21 years prior to the first four digits of <ReferenceDate>.

If the member of the workforce fails this validation then they are not omitted from the XML file but the <QTStatus> is omitted for the specific member of the workforce. This is because Qualified Teacher Status is not part of the minimum data set. In this case a validation error message is raised: "4235: Person cannot be shown as having QT status and be < 21 on 1 Jan – QT Status omitted".

## Higher Level Teaching Assistant Status

This is sourced from the **Staff focus | Additional** tab's **HLTA Status** checkbox.

Where the HLTA Status checkbox is selected then the tag value is derived as true.

Where the checkbox value is deselected then the tag value is derived as false.

This is included for the following categories of person:

**Contracted Teachers**

**Contracted Teaching Assistants**

**Other Contracted Support Staff**

This tag is omitted for the following category of person:

**Agency/Service Agreement Teachers in Regular Service**

If HLTASStatus is ticked, then the software carries out a further validation with respect to the DOB. Date of Birth should be prior to Census Day in the year 18 years prior to the first four digits of <ReferenceDate>.

If the member of the workforce fails this validation then they are not omitted from the XML file but the <HLTASStatus> tag is omitted for the specific member of the workforce. This is because HLTA Status is not part of the DfE's minimum data set. In this case a validation error message is raised: "4245: Person cannot be shown as having HLTA status and be < 18 on Census Day – HLTA Status omitted"

## Qualified Teacher Status Route

This is sourced from the **Staff focus | Additional** tab's QTS Route lookup code's mapped external code.

It is output for the following categories of person if a value is recorded, otherwise the tag is omitted:

### Contracted Teachers

#### Agency/Service Agreement Teachers in Regular Service

The DfE acceptable values to be output are:

Code	Description
ACEG	Annual College Exit - Graduate course
ACEP	Annual College Exit - Post graduate course
OTTP	Overseas Trained Teacher Programme
RTPR	Registered Teacher programme
GTPR	Graduate Teacher Programme
TFST	Teach First programme
RECG	Mutual Recognition from NI, Scotland or the EEA
FLEX	Flexible Routes
OTTN	Overseas Trained Teacher, not yet on programme
SCD	School Direct
SCDS	School Direct (Salaried)

**QTS (Qualified Teacher Status) Route** is now expected to be returned for all service staff, where the staff have assigned to external service term TE, since the previous year's School Workforce Census, has taken up their first position since qualifying as a teacher, regardless of when they qualified. If the SWC return has no 'QTS Route' value for the staff and satisfying the following business rules, then a warning message is displayed as:

- The Staff focus | Additional tab 'Date of Arrival in LA' (EMPLOYEES.DOA), is either null or a date which is greater than the previous SWC census date, and
- There is a Service/Service Agreement which starts after the previous census date and on/before the current census date which maps to the external service term TE, and
- There are no Service/Service Agreements which start before the previous census date which map to the external service term TE.

***'QTS Route missing, please check. This should be returned for staff who, since previous SWC, have taken up their 1<sup>st</sup> position since qualifying.'*** and still includes the member of staff in School workforce.

## Contracts/Service Agreements Data Group

---

This includes the role(s) that a person is engaged to perform, their contracted hours and salary details.

### Contracts/Service Agreements Inclusion Rules

Data for the Contracts/Service Agreements Data Group is only output for the Base being processed (Base(s) if this is a Type 3, or Type 4 Central Return) if the **Contracts Data Group** has been selected for that base on the **Report | External Returns | School Workforce Census | Administration** tab.

The section *Initial Selection Criteria of Members of Staff for the Census* on page 1 outlines the business rules for deciding who to include in the XML files by initially retrieving a set of Service records and Service Agreements. **That set of retrieved Service records and Service Agreements is considered as the basis for the records to be included in the Contracts/Service Agreements Data Group.**

A member of the workforce who has been deemed to be included in a specific School Workforce Census file may have multiple services and/or service agreements at different establishments for the period of the return. The following rules are also followed when deciding which records is to be output in the Contracts/Service Agreements Data Group area of the XML file. Any other services not matching the criteria listed below are not output in the file.

1. The Service/Service Agreement Base is retrieved. For bases where specific service terms have been selected via **Report | External Returns | School Workforce Census | Administration** tab, then the next stage is to discard any Service records or Service Agreements where the service term does not match one of the specified service terms.

By default all Services/Service Agreements for the base being processed are considered (subject to the following business rules), regardless of service term. Therefore the default is that no service terms are linked to a base on the **School Workforce Census | Administration** tab. However, if it is necessary to only consider certain groups of service for staff at the base for inclusion in the workforce return, then the LA will have selected those service terms that should be included for that base.

If at least one Service Term has been selected for an individual base via the **Report | External Returns | School Workforce Census | Administration** tab, then any Service records or Service Agreement records where the service term internal code does not match one of the service terms selected for that base, are discarded at this stage.

2. The DfE wishes to collate information on 'snapshot data' - i.e. contracts/service agreements active on the census day - as well as continuous data - where contracts/service agreements started or ended in the census period. The inclusion rules stated above are appropriate for the Autumn Census.

Service Agreements are not output for central returns.

3. Service or Service Agreement records linked to the base currently being processed only are included.



## Important Note on Service Agreements for v3.40 onwards

1. The **Staff focus | Service Agreements** tab in One provides an area to record Service Agreements to represent the work done regularly at a school by people not directly employed by the school. In early versions of the SWC, the advice was that Service Agreements should be recorded for centrally employed staff regularly working at schools, representing the number of hours worked at that specific school in a given week. Previously this ensured that these details were included in the Schools' SWC files. However, the DfE requirement was changed and the School SWC file no longer needs to include the details of service undertaken by centrally-employed staff unless the LA is acting as a supply agency and supply teachers work in the school for more than 28 days.
2. It is expected that the Service Agreements area will only ever be used in One to record details necessary to return in the SWC, therefore, given that there is no longer a requirement to record Service Agreements in the circumstances stated above, it is assumed that such Service Agreements will no longer be recorded in One.
3. The underlying business rules that establish eligibility criteria have not been changed to exclude such Service Agreements at this time, given this assumption, and also that it continues to be relevant to include some Service Agreements in the SWC.

## Further Business Rules for Different File Types

1. When processing a **Type 3** and **Type 4** file (for **centrally-employed** staff ) then the Contracts/Service Agreements data group output is only from service records linked to a base marked as **Central** in the **Report | External Returns | School Workforce Census | Administration** tab.

Data from the Service Agreements area is not output for this file type. This is because the DfE intends that the central return does not include details of specific work at specific schools since that would be included in the schools returns, but rather that this provides the centrally-employed workforce members' general contract details.

Therefore for **Type 3** and **Type 4** files only, data is output in the Contracts/Service Agreements Data Group for the selected members of the workforce linked to SERVICE records where:

SERVICE.BASE\_ID = the unique identifier of a 'central Base'.

This includes related records for **Pay, Roles** and **Additional Payments**.

2. When processing **Type 1b** or **Type 2** files (where the LA is submitting **school-level data**) then only details of the Service or Service Agreement where the **Service Base** equals the base currently being processed are included. Any other services are discarded for that specific XML file, even though they may be included in other separate XML files. This is because a school-level return should only include service details relevant to that school.

These rules are based on the following extract from the DfE document [2015\\_School\\_Workforce\\_Census\\_Specification\\_v1-0](#), section 2.1.4

*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) will need to be returned within the Contract/Service Agreement module.*

## Contract or Service Agreement Type

For **Service records** this is sourced from **Staff focus | Service | Service Details** tab's **Contract Type** as follows:

One Contract Type	Description/Note	XML File Output
P	<b>Permanent</b>	PRM
F	<b>Fixed Term</b>	FXT
T	<b>Temporary</b>	TMP
C	<b>Changed.</b> This is used in <b>One</b> to indicate that a person has changed their working hours. It is assumed that this is a permanent contract.	PRM
A	<b>Acting.</b> The system assumes that Acting or Seconded contracts should be considered as temporary for the purposes of the SWC.	TMP
S	<b>Seconded.</b> See note for Acting.	TMP

Note that Contract Types of 'N' (Non-contracted/Claims-based) will have already been discarded by the initial selection criteria.

For **Service Agreements** this is sourced from the **Staff focus | Service Agreement** tab's Service Type's mapped external code and is derived as follows:

Service Agreement Service Type mapped external code	Description	XML File Output
SLA	Service Agreement with Local Authority	SLA
SAG	Service Agreement with an Agency	SAG
SOT	Service Agreement with Other Source	SOT

This is a mandatory tag. If the tag cannot be derived then the whole contract or service agreement record is omitted from the file and a validation error message is raised. This error message is dependent on whether a Service or Service Agreement has been retrieved:  
 "Contract/Service Agreement omitted: Contract Type missing for Service with Start Date <Service Start Date>".

## Contract Start

For **Service records** this is sourced from the **Staff focus | Service | Service Details** tab's **Service Start Date**.

For **Service Agreements** this will be sourced from the **Staff focus | Service Agreements** tab's **Service Start Date**.

This is a mandatory item. If the Start Date is not present then the whole contract or service agreement record is omitted from the file and a validation error message is raised: "4350 Contract/Service Agreement omitted: Start Date missing".

## Contract End

For **Service records** this is sourced from the **Staff focus | Service | Service Details** tab's **Service End Date**.

For **Service Agreements** this is sourced from **Staff focus | Service Agreements** tab's **Service End Date**.

If the One **Service End Date** is null then this tag is omitted.

A contract end date is only output for **Fixed Term** contracts, where the contract type is 'FXT'. This is because the DfE only wishes to collect future contract end dates for fixed term contracts. They feel that other future end dates are too likely to change and that this will be difficult for them to track over time.

The software will check to ensure that the **End Date** is the same as or greater than the **Start Date**. If not, then the whole Service or Service Agreement record is omitted and a validation error raised "4400 Contract/Service Agreement omitted: Service End Date before Start Date".


If the <ContractType> is 'FXT' (Fixed Term) but there is no <ContractEnd> value because the 'Service End Date' is null then the whole Service record will be omitted and a validation error raised: "4380 Contract omitted: Contract Type is Fixed Term but no Service End Date specified".

## Post

This indicates the post of the person within the school or LA, e.g. Teacher, Head teacher, Support staff.

The DfE acceptable values to be output are:

XML Tag	Description
AVT	Advisory Teacher
AHT	Assistant Head
DHT	Deputy Head
EXH	Executive Head Teacher
HDT	Head Teacher
LDP	Leading Practitioner
SUP	Support Staff
TAS	Teaching Assistant
TCM	Classroom Teacher, main pay range
TCU	Classroom Teacher, upper pay range
<b>TCH</b>	<b>Classroom Teacher</b>

 Educational Psychologists and Education Welfare Officer Service records should be mapped to external One Post code SUPT.

For **Service records** this is derived from a combination of the **Staff focus | Service | Service Details** tab's **Post Description** lookup's mapped external code as well as the **Staff focus | Service | Scale** tab's **Salary Scale** mapped external scale for the appropriate scale as follows. In addition in one case, in order to deduce a post of Executive Head Teacher, the **Role** must be referenced:

1. First, the software retrieves the **Salary Scale** external code. There can be multiple **Scale** records linked to a **Service** record. Only one salary scale code is retrieved here.
  - o For Service records that are current on the Census Day, then it retrieves the Salary Scale external Scale Code for the Scale Record that is current on the Census Day.

- Otherwise, if the Service has ended before the Census Day (since the initial selection criteria only picks up service records that are either current on Census Day or started or ended in the previous term). The last scale linked with this Service is retrieved, i.e. the Scale where the Scale End Date matches the Service End Date.
- 2. Next, the software retrieves the **Post Description** external code for the Service record.
- 3. The following rules are applied in order to ascertain the value for this tag:
  - a). If external **Post** code is '**HEAD**' Head Teacher then the system first checks to see if there is a Role linked to the Service record where the Role lookup external code is '**EXHT** – Executive Head Teacher' and the Role Dates match the following criteria:
    - If the **Service Start Date** is on or after **Census Period Start** and before **Census Period End** or
    - **Service End Date** is on or after **Census Period Start** and is on or before **Census Period End**

Then the roles linked to that Service where the following applies are checked:

- **Role Start Date** is before the **Census Period End** and
- **Role End Date** is on/after the **Census Period Start** or **Role End Date** is null
- b). If the service is active on Census Day, roles linked to the Service where the following applies are checked:
  - **Role Start Date** is on/before the Census Day **AND**
  - **Role End Date** is on/after Census Day or **Role End Date** is null

If so, then the XML value for the tag is output as: **EXH**

If not (but the external Post code is still 'HEAD'), then the XML value for the tag is output as: **HDT**

- c). If external Post code is '**DEPU**' Deputy Head Teacher then the XML value for the tag is: **DHT**
- d). If external Post code is '**ASSH**' Assistant Head Teacher then the XML value for the tag is: **AHT**
- e). If external Post code is '**PSYC**' Educational Psychologist then the XML value for the tag is: **SUP**
- f). If external Post code is '**SUPT**' Support Staff then the XML value for the tag is: **SUP**
- g). If external Post code is '**ADVI**' Advisory Teacher then the XML value for the tag is: **AVT**
- h). If external Post code is '**TAS**' Teaching Assistant then the XML value for the tag is: **TAS**
- i). If external Scale Code is one of '**CPS**' Common Pay Scale or '**U04**' Unqualified Teacher Scale, then the person should be assumed to be in the post of a Classroom Teacher and the XML value for the tag is: **TCH**
- j). If external Scale Code is one of '**PTT**' Post Threshold Teacher or '**UPS**' Upper Pay Scale then the person should be assumed to be in the post of a Classroom Teacher and the XML value for the tag is: **TCU**
- k). If external Scale code is **LP** then export post of '**LDP**'

If no <Post> value can be derived (i.e. none of the business rules above are met) then the whole Service record is omitted and a validation error raised: "Contract omitted: Cannot deduce Post tag where Post is mapped to <Post External Code> and Scale is mapped to <Scale External Code>". For example, "Contract omitted: Cannot deduce Post tag where Post is mapped to SUPP and Scale is mapped to OTH."

For **Service Agreements** this is sourced directly from the data item **Service Agreement 'SWC Post'** lookup's mapped external code. If **Service Agreement Post** is null then the whole Service Agreement record is omitted and a validation error raised: "Service Agreement omitted: Post not mapped to a recognised Workforce Census value."

## School Arrival Date

This is only output for **Type 1b and Type 2** (school) files. It is not output for **Type 3 and Type 4** (central returns) files.

This is only output for the following contract categories of members of the workforce:

### Contracted Teachers

#### Agency/Service Agreement Teachers in Regular Service

#### Contracted Teaching Assistants

This will be derived by looking across both the retrieved Service records and Service Agreement records for the member of the workforce as well as any other continuous/contiguous Service records and Service Agreement records linked to the same base that may be outside of the initial selection criteria. This is done according to the following rules:

1. For the retrieved Service or Service Agreement, the Service Base, the Service Start Date and the Service End Date are noted.
2. The software looks for any other Service or Service Agreement where the following applies:
  - o Service/Service Agreement is for the same person, and
  - o Service/Service Agreement is for the same base, and
  - o Service Start Date is before the retrieved Service/Service Agreement Start Date
3. The software then calculates a history of Service and/or Service Agreement records from this retrieved information of Start Dates and End Dates (where specified since End Dates may be null) in reverse Start Date order. The system then finds the first Service or Service Agreement Start Date that begins a period of *continuous service at that base* for that person. This is the **School Arrival Date**. If there has been a break in service *at that base* at any point then the **School Arrival Date** is after the break in service. Any other services for other bases are ignored in this calculation.

The software validates that the School Arrival Date is not more than 50 years ago. If it fails this validation then the tag continues to be output but a validation error is raised as follows: "4425Q Contract Check: School Arrival Date is more than 50 years ago – please check."

## Daily Rate

The DfE's Workforce Level School Census 2010 Tables comments on this as follows: "Indicates that the school is paying for the teacher on a daily rate, e.g. to an Agency. (Note that if Daily Rate = Y, then no Payment items are provided, even if required for the staff member type.)"

This will be calculated for the Contracts/Service Agreements for the following contract category of members of the workforce:

#### Agency/Service Agreement Teacher in Regular Service

For **Service records** this represents regular service with salary details included in the system, so the value output is N.

For **Service Agreement** records the system checks the contents of the **Staff | Service Agreement's Daily Rate** checkbox. If this is selected then the value of the tag is Y. If it has been deselected then the value of the tag is N.

## Destination Code

This will be calculated for Contracts/Service Agreements for the following categories of members of the workforce:

### Contracted Teachers in Regular Service

### Contracted Teaching Assistants

It will only be output for contracts or service agreements that have been terminated. Therefore it will only be output if the tag <ContractEnd> has been output in the XML file and the <ContractEnd> is on/before Census Day.

For **Service Records** this is sourced directly from the **Staff focus | Service | Service Details – Destination** lookup's mapped external code.

For **Service Agreements** this is sourced directly from the **Staff focus | Service Agreement's Destination** lookup's mapped external code.

If the <ContractEnd> value has been output and is on/before <ReferenceDate> but the Destination Code data item is empty then the Service or Service Agreement record will still be included in the XML file but a validation error raised: "4385 Contract <Service Start Date> – <Service End Date>: Destination missing for terminated contract" for contracts and "4385 Service Agreement <Service Agreement Start Date> – <Service Agreement End Date>: Destination missing for terminated service agreement" for service agreements.

## Origin

This will be calculated for Contracts/Service Agreements for the following categories of members of the workforce:

### Contracted Teachers in Regular Service

### Contracted Teaching Assistants

This tag is only output for contracts or service agreements where the start date is on or after 31/8/2009.

For **Service records** this is sourced directly from the **Staff focus | Service | Service Details – Origin** lookup's mapped external code.

For **Service Agreements**, the **Origin** is not stored since this is not required for non-contracted staff. Therefore the **Origin** tag is omitted for Service Agreements.

If <Post> is not 'SUP' or 'AVT' and <ContractType> is 'PRM' or 'FXT' or 'TMP' and the <ContractStart> tag has a value greater than 31/08/2009 but Origin is empty for the Service, then the Service record continues to be included but a validation error is raised: "4610Q Contract Check for contract starting <Service Start Date>: Origin missing".

## Pay Review Date

This is calculated for Contracts/Service Agreements for the following categories of members of the workforce:

### Contracted Teachers in Regular Service

### Agency/Service Agreement Teachers in Regular Service

The value is derived from the '**Pay Review Date**' date field on the **Staff focus | Service | Service/Service Agreements** tab. Pay Review Date is only exported when <Post> is one of EXH (or) HDT (or) DHT (or) AHT (or) TCM (or) TCU (or) TCH (or) LDP values.

These rules are based on the following extract from the DfE document [2015\\_School\\_Workforce\\_Census\\_Specification\\_v1-0](#), section 5.2 Note 15

*This is the date of the most recent determination of a school teacher's remuneration. Maintained schools are required by statute to carry out these determinations annually and we would expect academies to do likewise. A determination of a school teacher's remuneration must also be made when they take up a new post or become entitled to be paid on the upper pay range. The date supplied should be the most recent pay determination, even if this did not result in a change to the teacher's pay.*

*This data item is required for all staff on posts of Executive Head Teacher, Head Teacher, Deputy Head, Assistant Head, Classroom Teacher (regardless of pay range) or Leading Practitioner.*

**Validation.** Where the value of the staff service <ContractStart> (400091) is before 31/8/2014 AND <DailyRate> is not equal to 'Y' and <Post> is one of EXH (or) HDT (or) DHT (or) AHT (or) TCM (or) TCU (or) TCH (or) LDP **AND** <ContractType> is one of 'PRM' or 'FXT' or 'TMP'. If **Pay Review Date** is empty for service record, then the tag is omitted and a warning message is included in the Error Log: "4516Q Contract starting <Service Start Date>: Post is <Post> but Pay Review Date is missing. Please check."

Where the value of the staff service <ContractStart> (400091) is before 31/8/2014 AND <DailyRate> is not equal to 'Y' and <Post> is one of EXH (or) HDT (or) DHT (or) AHT (or) TCM (or) TCU (or) TCH (or) LDP **AND** <ContractType> is one of 'PRM' or 'FXT' or 'TMP' and Pay Review Date should be after 31/8/2014. If not, the tag is included and a warning message is included in the Error Log: "4516Q Contract starting <Service Start Date>: Post is <Post> but Pay Review Date is not after 31st August 2014. Please check."

Where <Estab> number is present at least one Pay Review Date should be included across the data return from a single source. If not, a warning message is included in the Save to XML File Error Log: "4517Q Please check: The export file contains no Pay Review Dates."

## LA/School Level Indicator

For school type files this is automatically output as 'S'. For the centrally-employed staff file (**Type 3** and **Type 4**) this is automatically output as 'L'.

## Post Level Details Container

The next set of data items are grouped within a Post Level Details Container in the XML file. This container is included for Contracts/Service Agreements for the following categories of members of the workforce:

**Contracted Teachers**

**Contracted Teaching Assistants**

**Agency/Service Agreement Teachers in Regular Service**

**Other Contracted Support Staff**

This area may contain information on **Payments**, **Additional Payments** and **Hours** depending on the census and the individual data being reported.

## Payments Container

**Note:** As per DfE, the Payment container is derived depending upon *Non-Salary Range*<sup>1</sup>/*SalaryRange*<sup>2</sup> Service/Service Agreements records. These changes are effective from the summer 3.54 release.

<sup>1</sup> **Note:** Category of Person of scales with spinal point Service/Service Agreements records.

<sup>2</sup> **Note:** Category of Person of scales with Salary range Service/Service Agreements records and which are not spinal point scales.

Where it is appropriate to include Payment Details for a Contract/Service Agreement then this is always included in a <PostLevelDetails> container. This is because for the **One** software, salary information is linked to the Post and not the Role (there may be multiple Roles for one Post). This may be different in some other central MI systems. The DfE XML format makes provision for salary details optionally to be placed against the Role instead but **One** does not use this option.

The rules for including the <Payments> container are as follows:

1. The <Payments> container is included in the Autumn census.
2. If the Contracts/Service Agreement tag <DailyRate> is included with a value of **Y** then no <Payments> container is output. This applies to some Service Agreements but not Service records.
3. Payments container information is only included for ‘snapshot data’ (where the contract or service agreement is active on Census Day) rather than ‘continuous data’.
4. Payment information is related to an individual ‘Scale’ record. Multiple scale records can be linked to a Service in One and this also applies to Service Agreements. This is because a member of staff’s pay arrangements changes over time through spinal point increments and/or pay awards and/or moving to a different salary scale and/or moving to a different salary range scales. For the purposes of retrieving payments information for the XML file, the Scale record linked to that Service or Service Agreement that is active on the Census Day is retrieved.
5. Note that not all Service Agreement records will have Scale records attached. In the **One** system the design is such that if the Service Agreement Daily Rate checkbox is selected then there will be no scale record. This scenario is already covered in Business Rule 2 since here the <DailyRate> tag is output as **Y**. Furthermore, Scale records are not mandatory for the Service Agreement.

If the <DailyRate> tag is **N** but there is no Scale record active on Census Day for a Service Agreement retrieved in business rule 4 then the <Payments> container is omitted for the Service Agreement and a validation error raised: “Service Agreement: Payment details omitted – No scale record”.

## Pay Scale

This is calculated for Contracts/Service Agreements for all categories of members of the workforce.

The DfE-accepted values to be output are:

XML Tag	Description
LD	Leadership
TE	Teachers Main
TU	Teachers Upper
LP	Leading Practitioners
UT	Unqualified Teachers from Sep08
SO	Soulbury
NJ	National Joint Council (Local Government Services)
OT	Other

For Service records this is derived from a combination of the **Staff focus | Service | Service Details – Service Term’s** mapped external code and the **Staff focus | Service | Scale Details – Salary Scale** lookup’s mapped external code. The following rules are applied in order to ascertain the tag value:

- (a) If external **Service Term** is ‘NJ’ then the XML value for the tag is: NJ
- (b) If external Service Term is ‘SO’ then the XML value for the tag is: SO
- (c) If external **Salary Scale** meets one of the following criteria then the value for the tag is LD:
  - o External Salary Scale is ‘LAH’



- External Salary Scale begins with 'H'
- External Salary Scale begins with 'V'
- (d) If external Salary Scale is 'CPS' then the XML value for the tag is: TE
- (e) If external Salary Scale is one of 'PTT' or 'UPS' then the XML value for the tag is: TU
- (f) If external Salary Scale is 'LP' then the XML value for the tag is: LP
- (g) If external Salary Scale is one of 'U1', 'U2', 'U3', or 'U04' (note that is U zero 4) then the XML value for the tag is: UT
- (h) Otherwise the XML value for the tag is: OT

For **Service Agreements** this is similarly derived from a combination of the **Staff focus | Service Agreement | Details – Service Term's** mapped external code and the **Staff focus | Service Agreement | Scale Details – Salary Scale** lookup's mapped external code. The same business rules as described above are used to derive the XML tag value for Service Agreements.

**Validation.** Where the value of the `<PayRange>` tag is equal to LD, TE, TU or LP then the system checks the value of the `<QTStatus>` tag from the Staff Details container. The value should be **true**. If the `<QTStatus>` tag value is false or the tag is omitted then the `<PayRange>` tag value is still included but a validation error is raised. "4470Q Contract/Service Agreement starting `<Service Start Date>`: Pay Range is `<PayRange>` but Qualified Teacher Status is not True."

Where the `<PayRange>` value is calculated as being one of LD, TE, TU or LP then the system checks the value of the `<Post>` tag. If the value of the `<Post>` tag is SUP or TAS then the Payments container is omitted and a validation error is raised. "4480 Pay Range is invalid for the given Post."

Where the `<Post>` tag value is one of HDT, DHT or AHT then the system validates that the `<PayRange>` is LD. If the value of the `<PayRange>` tag is not LD then the Payments container is omitted and a validation error is raised: "4490 Contract/Service Agreement starting `<Service Start Date>`: Payments container omitted - Pay Range is `<PayRange>` but Post is `<Post>`, mismatch."

Where the `<Post>` tag value is 'LDP' then the system validates that the `<PayRange>` is LP. If the value of the `<PayRange>` tag is not LP then the Payments container is omitted and a validation error is raised: "4505 Contract starting `<Service Start Date>`: Payments container omitted - Pay Range is `<PayRange>` but Post is `<Post>`, mismatch." . For example, if `<Post>` was 'LDP' and the member of staff had a teaching service record with Start Date of 01/09/2013 and a Pay Range mapped to CPS and `<DailyRate>` is equal to N or is blank – then the error message is displayed.

## Regional Pay Range

This is calculated for Contracts/Service Agreements for the following categories of members of the workforce:

### Contracted Teachers in Regular Service

### Agency/Service Agreement Teachers in Regular Service

This is output with the same value for all `<RegionPayRange>` tags in the file. The value is derived from the 'Regional Pay Range' drop down data item on the **Report | External Returns | School Workforce Census | Pre-Process/Export** tab.

## Pay Framework

This is calculated for Contracts/Service Agreements for the following categories of members of the workforce:

### Contracted Teachers in Regular Service

### Agency/Service Agreement Teachers in Regular Service

The value is derived from the 'Pay Framework' dropdown list box and this field is only available for service term external code 'TE' on the **Staff focus | Service | Service/Service Agreements** tab. Pay Framework is only exported when <Post> is one of EXH (or) HDT (or) DHT (or) AHT values.

The DfE-accepted values to be output are:

XML Tag	Description
Pre 2014	Pre 2014 Pay Framework
2014	2014 Pay Framework

These rules are based on the following extract from the DfE document **2015\_School\_Workforce\_Census\_Specification\_v1-0, section 5.2 Note 12:**

Indicates the pay framework under which leadership teachers are paid. Current values are "Pre 2014 framework" and "2014 pay framework". For contracts with a start date before 1/9/2014 this should be defaulted to "Pre 2014 framework" and for those with a start date from 1/9/2014 this should be defaulted to "2014 framework". The field should be manually editable. This item is only required for staff with posts of EXH, HDT, DHT or AHT.

**Validation.** Where the value of the <Post> tag is equal to 'EXH' or 'HDT' or 'DHT' or 'AHT' then the <PayFramework> should be one of 'Pre 2014' or '2014'. If not, a warning message is included in the Error Log: "4521Q Contract starting <Service Start Date>: Post is <Post> but Pay Framework is missing. Please check."

Or

"4521Q Service Agreement starting <Service Agreement Start Date>: Post is <Post> but Pay Framework is missing. Please check."

Where the value of the <Post> tag is equal to 'EXH' or 'HDT' or 'DHT' or 'AHT' and <SchoolArrivalDate> (400094) is greater than 31st August 2014 then the <PayFramework> should be equal to '2014'. If not, a warning message is included in the Error Log: "4522Q Contract starting <Service Start Date>: School Arrival Date is <SchoolArrivalDate> but Pay Framework is <PayFramework>, mismatch."

Or

"4522Q Service Agreement starting <Service Agreement Start Date>: School Arrival Date is <SchoolArrivalDate> but Pay Framework is <PayFramework>, mismatch."

## Leadership Pay Range Minimum and Maximum

This is calculated for Contracts/Service Agreements for the following categories of members of the workforce:

### Contracted Teachers in Regular Service

### Agency/Service Agreement Teachers in Regular Service

These rules are based on the following extract from the DfE document **2015\_School\_Workforce\_Census\_Specification\_v1-0, section 5.2 Note 13:**

*Each leadership teacher will have a basic salary range within which they can expect to be paid while they remain in the same post at the same school. This item is only required for staff with posts of EXH, HDT, DHT or AHT*

The following business rules are for the following types of services/service agreements:

- For Non-Salary Range scale services
  - For Salary Range services with non-salary range scale records
  - For non-Salary range services converted to Salary range services
1. The system first retrieves the **Scale's Salary Rate** on Census Day.
  2. The Salary Rate is displayed on the Staff focus | Service | Scales tab in the Salary Rate field. This is calculated by the system rather than stored against the record and is based upon salary amounts stored in Tools | Service Terms – either from the View/Edit Amounts button if the Service Term 'Min Point' and 'Max Point' data items have been filled in, or from the Scales sub-tab's View/Edit Amounts button.
  3. For the Scale record active on Census Day retrieve the minimum point (SCALE.MIN\_POINT) and maximum point (SCALE.MAX\_POINT).
  4. For minimum pay range: select minimum scale point retrieved in point (3) and then select corresponding scale point minimum amount from latest Spine Award Amount of the respective service term.
  5. For maximum pay range: select maximum scale point retrieved in point (3) and then select corresponding scale point maximum amount from latest Spine Award Amount of the respective service term.

The following business rules are for the following types of services/service agreements:

- For Salary Range scale services
1. The system first retrieves the Scale's Salary Rate on Census Day
  2. The Salary Rate is displayed on the **Staff focus | Service | Scales** tab or **Staff focus | Service Agreements | Scales** tab in the Salary Rate field.
  3. For the retrieved Salary Range Scale, the respective Salary Range is retrieved from Service Terms.
  4. For the retrieved Salary Range, Minimum Salary and Maximum Salary are retrieved and exported.

**Validation.** Where the value of the <Post> tag is equal to 'EXH' or 'HDT' or 'DHT' or 'AHT' then the <PayRangeMinimum> should be present. If not, a warning message is included in the Error Log: "4523Q Contract starting <Service Start Date>, Pay Range is <PayRange>: Pay Range Minimum for leadership teacher is missing. Please check."

Or

"4523Q Service Agreement starting <Service Agreement Start Date>, Pay Range is <PayRange>: Pay Range Minimum for leadership teacher is missing. Please check."

Where the value of the <Post> tag is equal to 'EXH' or 'HDT' or 'DHT' or 'AHT' then the <PayRangeMaximum> should be present. If not, a warning message is included in the Error Log: "4524Q Contract starting <Service Start Date>, Pay Range is <PayRange>: Pay Range Maximum for leadership teacher is missing. Please check."

Or

"4524Q Service Agreement starting <Service Agreement Start Date>, Pay Range is <PayRange>: Pay Range Maximum for leadership teacher is missing. Please check."

Where the value of the <Post> tag is equal to 'EXH' or 'HDT' or 'DHT' or 'AHT' and the <PayRangeMinimum> value for the tag exceeds 999999.99. Then raise the error message and stop exporting tag: "Contract starting <Service Start Date>, Pay Range is <PayRange>: Pay Range Minimum omitted - Pay Range Minimum for leadership teacher exceeds 999999.99. Please check."

Or

“Service Agreement starting <Service Agreement Start Date>, Pay Range Minimum omitted - Pay Range Minimum for leadership teacher exceeds 999999.99. Please check.”

Where the value of the <Post> tag is equal to ‘EXH’ or ‘HDT’ or ‘DHT’ or ‘AHT’ and the <PayRangeMaximum> value for the tag exceeds 999999.99. Then raise the error message and stop exporting tag: “Contract starting <Service Start Date>, Pay Range is <PayRange>: Pay Range Maximum omitted - Pay Range Maximum for leadership teacher exceeds 999999.99. Please check.”

Or

“Service Agreement starting <Service Agreement Start Date>, Pay Range Maximum omitted - Pay Range Maximum for leadership teacher exceeds 999999.99. Please check.”

Where the Service/Service Agreement record with non-spinal non-salary range scales records with post tag one of EXH (or) HDT (or) DHT (or) AHT, then <PayRangeMinimum> & <PayRangeMaximum> tags are not retrieved and warning message is included in the Error Log: “4523Q Contract starting <Start Date>, Pay Range is <PayRange>: Unable to determine Pay Range Minimum for non-spinal, non-salary range scale.”

Or

“4524Q Contract starting <Start Date>, Pay Range is <PayRange>: Unable to determine Pay Range Maximum for non-spinal, non-salary range scale.”

Or

4523Q Service Agreement starting <Start Date>, Pay Range is <PayRange>: Unable to determine Pay Range Minimum for non-spinal, non-salary range scale.

Or

4524Q Service Agreement starting <Start Date>, Pay Range is <PayRange>: Unable to determine Pay Range Maximum for non-spinal, non-salary range scale.

## Base Pay

**Base Pay** is the pre-tax annual salary of a member of staff as at the **Census Reference Date**. It does not include the annual amount of any additional payments or allowances.

This field is calculated and exported for ALL categories of person irrespective of **Spine Points**, if staff are not being paid via a daily rate. It is included for the following categories of members of the workforce:

**Contracted Teachers in Regular Service**

**Contracted Teaching Assistants**

**Agency/Service Agreement Teachers in Regular Service**

**Other Contracted Support Staff**

The DfE’s specification document [2015\\_School\\_Workforce\\_Census\\_Specification\\_v1-0](#) section 5.2 note 14 includes the following:

*Schools/LAs are required to provide pay data for all staff in scope. Base pay is mandatory for all staff not being paid via a daily rate.*

*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. In other words it is the annual salary that would be earned based on the salary rate at census date. Please note that if any elements of the salary are safeguarded these should also be reflected in the Base Pay.*

*Example 1: A member of staff works full time throughout the year and earns a pre-tax salary of £30,000 plus additional payments of £2000. Base Pay = £30,000.*

*Example 2: Two members of staff job share the post described in example 1, each working 0.5 FTE time throughout the year and share additional payments of £2000 between them. Base 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 2013 and then works full time. Base Pay = £30,000.*

This is calculated for Contracts/Service Agreements for all categories of members of the workforce.

The <SpinePoint> tag has been stopped exporting from SWC return 2015, then also <BasePay> tag will output.

The following business rules are for the following types of services/service agreements:

- For Non-Salary Range scale services
  - For Salary Range services with non-salary range scale records
  - For non-Salary range services converted to Salary range services
1. The system first retrieves the **Scale's Salary Rate** on Census Day
  2. The Salary Rate is displayed on the **Staff focus | Service | Scales** tab or **Staff focus | Service Agreements | Scales** tab in the Salary Rate field. This is calculated by the system rather than stored against the record and is based upon the salary amounts stored in **Tools | Service Terms** – either from the **View/Edit Amounts** button if the Service Term 'Min Point' and 'Max Point' data items have been filled in, or from the Scales sub-tab's **View/Edit Amounts** button.
  3. If the Salary Rate cannot be derived then the Payments container is omitted and a validation error raised. "Contract/Service Agreement starting <Service Start Date>: Payments container omitted – Unable to derive Salary Rate".

The following business rules are for the following types of services/service agreements:

- For Salary Range scale services
1. The system first retrieves the Scale's Salary Rate on Census Day
  2. The Salary Rate is displayed on the **Staff focus | Service | Scales** tab or **Staff focus | Service Agreements | Scales** tab in the Salary Rate field.

Once the Salary Rate is derived, the following business rules are followed to get the Base pay:

1. For **Services**, the Salary Rate is multiplied by the Service Pay Factor (SERVICE.CON\_PAYFAC) in order to get the **Proportioned Basic Salary**. This is rounded to two decimal places.
2. For Service Agreements, no single Service Pay Factor is stored but this can be derived from other information. The **Proportioned Basic Salary** is calculated as follows:  
Salary Rate multiplied by  
(SERVICE\_AGREEMENTS.HOURS\_PER\_WEEK/SERVICE\_AGREEMENTS.FTE\_HOURS  
multiplied by SERVICE\_AGREEMENTS.WEEKS\_PER\_YEAR/SERVICE\_TERM.DEF\_WEEKS)
3. The **Proportioned Basic Salary** is output in the <BasePay> tag, in the format nnnnnn.nn, so the maximum value output is 999999.99. If the calculated value for the tag exceeds 999999.99 then the whole of the Payments container will be omitted and a validation error raised as "Contract starting <Service Start Date>: Payments container omitted – Calculated Base Pay exceeds 999999.99"
4. If the <BasePay> is less than the <HoursPerWeek> (400099) multiplied by <WeeksPerYear> (400100) multiplied by 2.73 for any staff services/service agreements, the <BasePay> value is included and a warning message is displayed as "4545Q: Contract starting <Service Start Date>: Payments <BasePay> BasePay is less than the minimum wage for apprentices. Please check."  
OR

“4545Q: Service Agreement starting <Service Agreement Start Date>: Payments <BasePay> BasePay is less than the minimum wage for apprentices. Please check. “

5. If the staff <Post> (400322) is one of 'SUP' or 'AVT' or 'TAS' AND <RoleIdentifier> (400323) <> (BURS or BUSS) AND <ContractType> (400090) is one of 'PRM' or 'FXT' or 'TMP', then the total Base Pay of the category of person should be less than £46,000, if not, the following validation is raised and still include the <BasePay> value for that employee.

“4565Q Base Pay: Total of <BasePay> should be less than 46,000. Please check.”

6. The DfE validates the <BasePay> value against the corresponding basic salary rate from the Teachers' Pay Excel spreadsheet which is stored on [www.teachernet.gov.uk](http://www.teachernet.gov.uk). They will validate to ensure that the <BasePay> tag is not less than the expected value.

## Safeguarded Salary

This is calculated for Contracts/Service Agreements for the following category of members of the workforce:

### Contracted Teachers in Regular Service

It is derived from one of the following:

1. If the **Staff focus | Service or Service Agreements | Service Details** – 'Safeguarded Salary' checkbox is selected, then the value for the tag is true.
2. If there is an **Allowance** record linked to the Service or Service Agreement, which is active within the previous calendar year, where the external allowance code is 'SAFE' then the value for the tag is true.
3. Otherwise, the value for the tag is false.

## Additional Payments Container

One or more additional payments may be associated with a Contract or Service Agreement. From a **One** perspective, additional payments correspond with **Allowance** records linked to a Service or Service Agreement.

The inclusion rules for the <AdditionalPayments> container are similar to the inclusion rules for the <Payments> container.

Tags in this container are calculated for Contracts/Service Agreements for all categories of members of the workforce.

If the Contracts/Service Agreement tag <DailyRate> is included with a value of **Y** then no <AdditionalPayments> container will be output. This applies to some Service Agreements but not Service records.

The rules are as follows:

1. Additional payments include all payments earned since the previous census reference date (active between the day after the previous census day and the current census day).
2. **Additional Payment** information is related to an individual **Allowance** record. Multiple allowance records can be linked to a Service in One; this also applies to Service Agreements. Allowances can be permanent, temporary, or can be a spot amount that represents a one-off payment. The Additional Payments retrieved for this container are similar to those retrieved for inclusion in the **Base Pay** tag.

The system retrieves any appropriate **Allowance Amounts** linked to the Services or Service Agreements retrieved as a result of rule 1.

For **Service** records Allowances are stored on the **Staff focus | Service | Allowances** tab. They have a **Start** and **End Date**, an **Allowance Amount** and an **Allowance Proportion** (FTE) associated with them amongst other attributes.

The business rules do not filter on **Allowance Code** (including the linked SWF Category of Additional Payment) or **Allowance Type** – all are included as long as the date rules are met.

3. If there are no Allowance records linked to the Service or Service Agreement that were active in the previous calendar year then the <AdditionalPayments> container will be omitted for the Contract or Service Agreement.
4. Each separate additional payment will be contained within its own <AdditionalPayment> sub-container.

## Category of Additional Payment/Payment Type

This is sourced directly from the Service Allowance's **Allowance Code** mapped 'SWC Category of Additional Payment' recorded in **Tools | Module Administration | Service Terms | Allowances**.

The DfE-accepted values to be output are:

XML Tag value	Description
LIN	Inner London Weighting (Support Staff)
LOT	Outer London Weighting (Support Staff)
LFR	London Fringe Weighting (Support Staff)
MAL	Management Allowances
TLE	First and second Teaching and Learning Responsibility Payments, aka TLR1 and TLR2
TL3	Teaching and Learning Responsibility 3 Payments
RAR	Recruitment and Retention
SEN	SEN Allowances
ACT	Acting
RES	Residential duties
INS	INSET
OOS	Out of School Activities
RCP	Recruitment Incentive (Pay)
RCC	Recruitment Incentive (One Off Payment)
RCA	Recruitment Incentive (Other)
WEL	Welcome Back
UQT	Unqualified Teachers
OTH	Other
PPS	Performance Payments to Seconded Teachers

If the Allowance Code has not been mapped to a 'SWC Category of Additional Payment' then the whole <AdditionalPayment> container for that specific allowance record is omitted from the XML file and a validation error raised: "Contract/Service Agreement starting <Service Start Date>: Allowance <Allowance Code> starting <Allowance Start Date> omitted: Allowance Code not mapped to a SWC Category of Additional Payment".

## Payment Amount

This is calculated from the **Allowance Amount** multiplied by the **Allowance Proportion** (FTE).

The system validates that the value of the <PaymentAmount> tag is greater than 0. If the value of the <PaymentAmount> is not greater than zero then the <AdditionalPayment> container is omitted for that specific allowance record. In this case a validation error is raised. "Contract starting <Service Start Date>: Allowance <Allowance Code> starting <Allowance Start Date> omitted: Amount must be greater than 0".

## Payment Start Date

For **Service** records Allowances are stored on the **Staff focus | Service | Allowances** tab. They have a **Start** and **End Date**.

For the selected **Payment Amount** the DfE requires the Additional Payment Start Date (<PayStartDate>) for the **SWC Category of Additional Payment** External code 'TL3'.

**Additional Payment Start Date** is referred from staff Service | Allowances sub tab | Allowance Details 'Start Date' (SERVICE\_ALLOWANCE.A\_START) and from staff Service Agreements | Allowances sub tab | Allowance Details 'Start Date' (SERVICE\_AGREEMENTS\_ALLOWANCE.A\_START).

**Validation.** Where the value of the <PayStartDate> tag is not greater than 31/08/2014 for <PaymentType> equal to '**TL3**', a warning message is included in the Error Log: "4834Q Contract starting <Service Start Date>: Allowance Code <Allowance Code>, Allowance Start Date is <Allowance Start Date> - Additional payment start is before the beginning of the previous academic year. Please check."

Or

"4834Q Service Agreement starting <Service Agreement Start Date>: Allowance Code <Allowance Code>, Allowance Start Date is <Allowance Start Date> - Additional payment start is before the beginning of the previous academic year. Please check."

## Payment End Date

For the selected **Payment Amount** the DfE requires the Additional Payment End Date (<PayEndDate>) for the **SWC Category of Additional Payment** External code is 'TL3'.

**Additional Payment End Date** is referred from staff Service | Allowances sub tab | Allowance Details 'End Date' (SERVICE\_ALLOWANCE.A\_END) and from staff Service Agreements | Allowances sub tab | Allowance Details 'End Date' (SERVICE\_AGREEMENTS\_ALLOWANCE.A\_END).

**Validation.** Where the value of the <PayEndDate> tag is NULL for <PaymentType> equal to 'TL3' then <AdditionalPayment> container is omitted for the specific allowance record and an error message is included in the Error Log: "4833 Contract starting <Service Start Date>: Allowance code <Allowance Code>, starting <Allowance Start Date> omitted - Payment end date is not present. Please check."

Or

"4833 Service Agreement starting <Service Agreement Start Date>: Allowance code <Allowance Code>, starting <Allowance Start Date> omitted - Payment end date is not present. Please check."

## Hours Container

The <Hours> container is included in every census within the Contracts/Service Agreements data group.

## Hours per Week

This is included for **all** categories of person.

For **Service records** this is sourced from the **Staff focus | Service Details | Service – Hours per Week** data item.

For **Service Agreements** this is sourced from the **Staff focus | Service Agreements | Details – Hours per Week** data item.

Note that the One software supports Hours per Week values with up to 4 decimal places. If the value has more than 2 decimal places then it is rounded to the nearest 2 decimal places.



## FTE Hours

This is included for **all** categories of person.

For **Service records** this is sourced from the **Staff focus | Service Details | Service – FTE Hours (Term/Base)** data item.

For **Service Agreements** this is sourced from the **Staff focus | Service Agreements | Details – FTE Hours per Week** data item.

**Note:** The DfE imposes additional validation rules 6520Q and 6530, ensuring that the total FTE **should** not be greater than 1.2 and **must** not be greater than 1.5. At this time One does not impose the same validation for the following reason:

The DfE validation does not take into account that a centrally employed member of the workforce may have a full-time contract with the LA and then multiple Service Agreements for several hours per week for several schools.

## Weeks per Year

This is included for **all** categories of person.

For **Service records** this is sourced from the **Staff focus | Service Details | Service – ‘Weeks per Year’** data item.

For **Service Agreements** this is sourced from the **Staff focus | Service Agreements | Service – ‘Weeks per Year’** data item

**Note:** One software supports ‘Weeks per Year’ values with up to 4 decimal places. If the value has any decimal places then it will be rounded to the nearest integer. .5 will be rounded up, i.e. if the ‘Weeks per Year’ in One is 25.5 then this will be rounded to 26.

## Roles Container

The <Roles> container is included in every census within the Contracts/Service Agreements data group.

This is included for **all** categories of person.

There may be multiple roles for each Service or Service Agreement.

The DfE XML Message Structure and examples include a <RoleLevelDetails> sub-container within each <Role> container. The <RoleLevelDetails> are not output from the **One** system since salary and payments information is being output at the **Post** level instead.

Roles are sourced from the **Staff focus | Service/Service Agreements | Roles** sub-tab.

The software has already filtered the Services/Service Agreements to be included here as part of the inclusion rules for the Contracts/Services Data group. The software also filters further on Roles linked to those Services or Service Agreements based on the role **Start** and **End** dates:

A Service or Service Agreement included in the XML file may be being included as ‘snapshot data’ (because it is active on the Census Day) or it may be included as continuous data (because it started or ended in the Census Period).

The system applies the principle that roles included in the XML file will meet the following criteria:

- If the linked Service or Service Agreement started or ended in the Census Period (i.e. it represents what the DfE call continuous data), then the roles output will be those roles active at any point during that period.
- If this is not the case, then the Service or Service Agreement is being included as snapshot data. In this case then the roles output will be those roles active on Census Day.

It is mandatory in One to record a Role for a Service Agreement. However, it is not mandatory in One to record roles against Services. If the Service record that has already been deemed appropriate to include in the SWC has no roles linked to it then the **Roles** container will be omitted

for that Service record and an error message will be raised: “4700 Contract starting <Service Start Date>: Roles container omitted – No Role defined for service”.

## Role Identifier

The Role Identifier is sourced directly from the **Staff focus | Service/Service Agreements | Roles - 'Role'** lookup's mapped external code.

The system validates the <RoleIdentifier> value(s) for a Contract or Service Agreement against the value output for the <Post> tag as follows. This validation does not cause any roles to be omitted from the return, but validation messages are raised in the error log.

- If the <Post> is 'HDT' then the system checks to see if one of the linked roles for that Contract or Service Agreement is 'HDTR'. If not, then a validation error is raised: “4414 Contract/Service Agreement <Service Start Date> - Post shown as Head Teacher. One of the associated Roles must also be Head Teacher”.
- If the <Post> is 'DHT' then the system checks to see if one of the linked roles for that Contract or Service Agreement is 'DPHT'. If not, then a validation error is raised: “4415 Contract/Service Agreement <Service Start Date> - Post shown as Deputy Head. One of the associated Roles must also be Deputy Head”.
- If the <Post> is 'AHT' then the system checks to see if one of the linked roles for that Contract or Service Agreement is 'ASHT'. If not, then a validation error is raised: “4416 Contract/Service Agreement <Service Start Date> - Post shown as Assistant Head Teacher. One of the associated Roles must also be Assistant Head”.
- If the <Post> is 'SUP' or 'TAS' then the system checks to see if any of the linked roles for that Contract or Service Agreement is one of ADVT, ASHT, DPHT, EXHT, HDTR, MISC, MUSC, PERI, SPLY, TCHR, TMIS, TNON, TPRU. If so, then a validation error is raised: “4720 Contract <Service Start Date> Post shown as Support. Role <RoleIdentifier> is inconsistent with a Support Post”.  
If the post is 'SUP' or 'TAS' then the role for that Contract or Service Agreement should not be 'EXHT- Executive Head Teacher’
- If the <Post> is 'EXH' then the system checks to see one of the linked roles for that Contract or Service Agreement is 'EXHT'. If not, then a validation error is raised, which will depend on whether this is a Service record or Service Agreement.  
  
If a **Service** record has been retrieved then the error message is: “4413 Contract <Service Start Date> - Post shown as Executive Head. One of the associated Roles must also be Executive Head”.  
  
If a **Service Agreement** record has been retrieved then the error message is: “4413 Service Agreement <Service Agreement Start Date> - Post shown as Executive Head. One of the associated Roles must also be Executive Head”.
- If the <Post> is 'SUP' then system checks to see if the <RoleIdentifier> is one of 'TASS' or 'HLTA'. If so, an error message is raised: “4725 Contract <Service Start Date> Role of TASS or HLTA should be linked to post of TAS.” or “4725 Service Agreement <Service Start Date> Role of TASS or HLTA should be linked to post of TAS.” as appropriate.
- If the <RoleIdentifier> tag is HLTA then the value of the Staff Details tag <HLTASstatus> must be <true>. If the <RoleIdentifier> tag is HLTA but the <HLTASstatus> tag is <false> then a validation error is raised: “4417Q Contract <Service Start Date> -Role is HLTA then HLTA Status is expected to be true” or “4417Q Service Agreement <Service Start Date> -Role is HLTA then HLTA Status is expected to be true” as appropriate.
- If a new Service agreement is added with a post in **Staff focus | Service Agreements**, a corresponding role is added. So for the new posts TCH, TCM, TCU & LDP corresponding role as 'TCHR' is added by default.

## Absences Data Group

---

Not just sickness, but absence for secondment, unpaid leave and maternity/paternity (but not training).

### Absences Inclusion Rules

The **Absences** data group is not output for a **Type 3** or **Type 4** Central File, because the DfE does not collect absences for centrally employed staff.

The aim of the School Workforce Return Census with respect to the **Absences** data group is to collect details of individual absence records for the previous calendar year.

Absences are not just sickness absences, but also various types of leave for secondment, unpaid leave and maternity/paternity leave.

Absence records are collected for the following categories of members of the workforce:

#### **Contracted Teachers in Regular Service**

#### **Contracted Teaching Assistants**

However, if a specific person can be classified as both an **Other Support Staff** and **Agency/Service Agreement Teacher**, and one of the two categories listed above, then their Absence record will be considered for inclusion.

Absence records are **not** collected for Centrally Employed Staff (type SLA)

This data group reports on absences starting or ending in the period within the Census Period Start – Census Period End, where one of the following applies:

- This absence is linked to a Service record (contract) that is for the Service Base being currently processed (or for a Central Return, any of the Central bases)
- The member of the workforce has a Service Agreement that is current for the *whole* period of the absence and is **not of type SLA** and is for the Service Base currently being processed (or for a Central return, any of the Central bases).

The collection period for Absences changed in 2011 and no longer matches the collection period for contracts:

- The collection period for absences is 01/09/<Census year -1> – 31/08/<Census year>
- The collection period for contracts is 01/09/<Census year -1> – <1<sup>st</sup> Thursday>/11/<Census year>.

### First Day of Absence

The DfE's Workforce Level School Census 2010 Tables comments on this as follows: "*The first day of absence, **should be a working day.***"

Sourced from the **Staff focus | Absences** tab's **Start Date**. This should be entered as a working day.

In the unlikely event that Absence Start Date is null, then the whole absence record will be omitted from the XML file and a validation error will be raised: "4910 Absence omitted: Start Date missing."

## Last Day of Absence

The DfE's Workforce Level School Census 2010 Tables comments on this as follows: *"The day before the person is again available for work."*

Sourced from the **Staff focus | Absence** tab's **End Date**. This should be entered as the day before the person is again available for work.

This is an optional tag and is only output if **Absence End Date** is not empty. This is because an absence may be ongoing at the time of the census. If **Absence End Date** is empty, then the tag is omitted and a warning message is included in the Error Log: '4935Q Absence with Start Date <Start Date>: Last Day of absence is missing – please check absence is ongoing.'

Where the <LastDayOfAbsence> is provided it must be on or after 1st January of the preceding year. If the record fails this validation then a validation error will be raised: "4936 Last Day of absence must be in the current or preceding calendar year."

If the **Absence End Date** is after the census day then the <LastDayOfAbsence> tag will be omitted, in accordance with DfE's advice.

The system validates that there is no more than one Absence record for a specific member of the workforce where the <LastDayOfAbsence> is not provided. If the record fails this validation then the Absence will continue to be included in the XML file but a validation error is raised: "4950Q Absence Check: More than one absence without an end date."

The system validates that there is no more than one Absence record for a specific member of the workforce that represents a **Sickness Absence** and is covering the same days. If the record fails this validation then the absence will continue to be included in the XML file but a validation error will be raised: "4960Q Absence Check: Overlapping sickness absences."

## Working Days Lost

The DfE's Workforce Level School Census 2010 Tables comments on this as follows: "The number of days within the period of the absence for which the person would normally be at work. Required for sickness absence only, to the nearest half day."

This is sourced from the **Staff focus | Absences** tab's **Days Absent** rounded to the nearest half day.

This tag must be provided where the absence is for sickness and the Last Day of Absence has been provided. If the absence record fails this validation then the whole absence record is omitted from the XML file and a validation error raised: "4990: Absence <Start Date> - <End Date> omitted: Working Days Lost missing"

If the absence is not for sickness (so <AbsenceCategory> is not SIC) then this tag is omitted.

If the absence is for sickness but the Absence End Date is null then the <WorkingDaysLost> tag is omitted.

## Absence Category

This is sourced from **Staff focus | Absences** tab's **Type of Absence** from the internal lookup code's mapped external lookup code as follows:

Type of Absence External Code	DfE Description	XML output
M	Maternity /Paternity leave	MAT
O	Other paid authorised absence, e.g. compassionate leave	OTH
P	Paid absence for public duties	PUB
S	Secondment	SEC
K or L	Sickness	SIC
E or I	Training	TRN
X	Unauthorised absence	UNA
U	Unpaid, authorised absence	UNP

If there is an entry in the **Type of Absence** data item in **One** for the absence for which there is no mapped External Code then the whole absence record is omitted from the XML file and a validation error is raised: "Absence <Start Date> – <End Date> omitted – no external code for Type of Absence".

## Payroll Absence Category

This optional tag will be omitted from the **One** XML files.

The DfE's Workforce Level School Census 2010 Tables comments on this as follows: "The code or category description used by the school and their local payroll provider, if required. NB: This item is not used by the DfE".

## Exporting Absence Records for Secondments

Absence records will be collected for the following categories of seconded members of the workforce:

### Contracted Teachers in Regular Service

### Contracted Teaching Assistants

In the scenario where a member of the workforce is temporarily seconded from School A to work at School B, then this needs to be returned in the SWC XML file as an absence from School A.

As has already been discussed (for the **Absent on Census Day** indicator), in this scenario there may not be an absence record present in the One database.

Therefore the system includes business rules to export an absence record where one or more secondment records exist within the previous calendar year (although it ensures that the absence details do not duplicate a real absence record from One that has been already output in the XML file).

In this scenario the system calculates the values for exporting an absence record for the member of the workforce as follows:

- **First Day Of Absence** - The Acting Service record's **Service Start Date**
- **Last Day Of Absence** - The Acting Service record's **Service End Date** if this is not null and if this date is not after the census day. If the Acting Service record's Service End Date is null then this tag is omitted.
- **Working Days Lost** - this tag is omitted for secondments (as previously stated, it is only required for sickness absences).
- **Absence Category** - Value is output as SEC. This indicates secondment.

- **Payroll Absence Category** - this tag is omitted.
- **Establishment** – same rules as described above.

## Curriculum Data Group

---

For secondary teachers, subjects taught, year groups and hours per week.

The **One** system does not output any data items for Curriculum.

## Qualifications Data Group

---

For teachers and maths/science teaching assistants, this returns relevant teaching qualifications.

### Qualifications Inclusion Rules

The **Qualifications** data group is only collected in the Autumn Census.

It is only output for the Base being processed (or Base(s) if a centrally-employed staff file is being processed) if the Qualifications Data Group has been selected for that base on the Report | External Returns | School Workforce Census | Administration tab.

The general aim of the School Workforce Autumn Census with respect to the Qualifications data group is as follows. This is an extract from the DfE's Workforce Level School Census 2010 Tables v2 spreadsheet:

*The current DfE requirement is for relevant qualifications for teachers and support staff working in the classroom. "Relevant" refers to any post A-level qualification that the school considers qualifies the person to teach the subjects for which they are timetabled. For each person, there may be a number of Qualification records.*

1. Multiple Qualifications records can be returned for a person.
2. **Categories of person.** Qualifications records are collected for all categories of members of the workforce.
3. **Level.** All qualifications graded at NQF Level 4 or above (i.e. post A-level qualifications) are included.

This excludes qualification records where the code is 'ZZZZ' – 'Not for Statutory Returns'.

## Qualification Code

This is sourced directly from the **Staff focus | Qualification** tab's **Level** from the internal lookup code's mapped external lookup code.

If there is an entry in the **Level** data item in One for the qualification for which there is no mapped external code, then the whole qualification record is omitted from the XML file and a validation error is raised: "Qualification <Qualification Code> for subject <Subject Code> omitted – no external code for Level"

The DfE-accepted values to be output are:

XML Tag	Description
PGCE	Post-graduate Initial Teacher Training Qualification (e.g. PGCE)
MAST	Masters Degree
DOCT	Doctorate
BEDO	BEd or other first degree combined with teacher qualifications
FRST	Other First Degree or equivalent
CTED	Certificate in Education or equivalent
NQF4	Any other qualification at NQF level 4 or equivalent
NNUK	Non-UK teaching qualification

## Class of Degree

This tag is not required from schools or LAs and therefore is omitted from the XML file.

## Country of Origin

This tag is not required from schools or LAs and therefore is omitted from the XML file.

## Subject Code 1

This is sourced directly from the **Staff focus | Qualification** tab's **Subject** from the internal lookup code's mapped external lookup code.

This tag is optional for the XML File where the **Qualifications** data group is being exported. Subject is not mandatory in the **One** database.

If the Subject is not selected in One then the Qualifications record will continue to be output in the XML file.

## Subject Code 2

This is sourced directly from the **Staff focus | Qualification** tab's **Second Subject** from the internal lookup code's mapped external lookup code.

This tag is optional for the XML file and is only output if there is a value in Second Subject. If, however, this is empty then the tag and its sub-container are omitted.

The system validates that the second subject is not the same as the first subject for the same qualification record. If it is, then the qualification record continues to be output but the second <QualificationSubject> tag is omitted. A validation error is raised: "6245: Qualification <Qualification Code> for subject <Subject Code> - second Subject omitted, same as first subject."

## Date of Award

This tag is not required from schools or LAs and therefore is omitted from the XML file.

## School Level XML Output

School Level data is output for each XML file in addition to Workforce Level data if the Vacancies and/or Occasional Teachers and/or Agency Support Staff Data Groups have been selected for the Base via the **Report | External Returns | School Workforce Census | Administration** tab.

### Vacancies

Vacancies details may have been recorded for one, some or all bases (except for the Central Return) listed on the **Report | External Returns | School Workforce Census | Pre-Process/Export** tab by highlighting the appropriate base in the browse and recording information under the 'Vacancies' process button.

1. When the **Save to XML file** button is clicked on the **Pre-Process/Export** tab, then as the system is generating XML files for each base it checks to see whether the **Vacancies** data group has been ticked for that base on the **Report | External Returns | School Workforce Census | Administration** tab.
2. If the **Vacancies** data group is not checked for the base then the <Vacancies> container is omitted from the XML file. This indicates that the Vacancies information is not being collected from the **One** database for this base.
3. DfE advice is that *"If a school has no vacancies then the whole module can be omitted from the return."* If the 'Vacancies' data group has been checked for that base but no vacancy information has been recorded then this implies that there are no vacancies current on Census Day for this base, and the <Vacancies> container will be omitted from the file. A message in the Error Log will warn if this has happened.
4. If Vacancy details have been recorded for the Base then these will be output in the XML file. There will be one <Vacancies> container regardless of the number of vacancy records. Each separate vacancy record will be output in its own <Vacancy> sub-container.
5. The tag <VacancyPost> is output with the value of the **Vacancy Postcode** (3 characters in length).

The DfE acceptable values to be output are:

XML Tag	Description
AHT	Assistant Head
DHT	Deputy Head
EXH	Executive Head Teacher
HDT	Head Teacher
LDP	Leading Practitioner
TCM	Classroom Teacher, main pay range
TCU	Classroom Teacher, upper pay range
TCH	Classroom Teacher

6. The tag <Subject> is output with a value of the **Vacancy Subject** code (3 characters in length) if it has been specified for the record. If there is no Vacancy Subject recorded for the record then the <Subject> tag is omitted for that vacancy.
7. The tag <Tenure> is output with 'F' - Full Time or 'P' Part Time.
8. The tag <VacancyTemporarilyFilled> is output with true or false
9. The tag <VacancyAdvertised> will be output with true or false



## Occasional Teachers

The DfE Technical specification 4.1 section 4.2.2. says the following about the requirements for counting Occasional Teachers:

*A count of Occasional Teachers in school on Census Day is required. This is required as a contingency as collecting individual data for teachers who may only be in service for as little as a day may prove too burdensome. A simple count of Occasional Teachers in school on census day, split by categories of Qualified/Unqualified/Not Known is required.*

In the same document in section 2.1.4 the DfE defines “Teacher” as

*“Those paid according to teachers’ pay and conditions, whether employed by the school or the Local Authority, and agency staff working within a school in a post that would be paid according to teachers’ pay and conditions if filled by a teacher employed by the Local Authority or school; plus Centrally employed teaching staff, such as peripatetic and advisory teachers.”*

In the **One** database occasional service may be stored as Supply Claims via the **Personnel | Claims-Based Employees focus | Claims** tab – where each record has a **Claim Date** which represents the specific day of the week that the member of the workforce is working. There may be a series of consecutive claim dates to represent a service period.

Also in the **One** database it is possible to record occasional service via Service Agreements. Service Agreements have a Start Date and End Date so service recorded via Service Agreements is considered to be occasional where the period between the Start Date and the End Date is less than one month. If the Service Agreement End Date is not specified then the service will not be considered as occasional.

### Recording Occasional Teachers Summary Count

Occasional Teachers summary count information may have been recorded for one, some or all Bases (except for the Central Return) listed on the Report | External Returns | School Workforce Census | Pre-Process/Export tab by highlighting the appropriate base in the browse and clicking the ‘Occasional Teachers’ process button.

There are 3 editable totals in this area:

- **Number of Occasional Teachers – Qualified** (this is summarised to ‘Qualified’ for the rest of this section)
- **Number of Occasional Teachers – Without Qualified Teacher Status** (this is summarised to ‘Without Qualified Teacher Status’ for the rest of this section)
- **Number of Occasional Teachers where Qualified status is Not Known** (this is summarised to ‘Not Known for the rest of this section)

The system calculates the numbers of Occasional Teachers in school on Census Day by looking at both Supply Claims and Service Agreements of less than a month. For Supply Claims, as with 618G, the system will retrieve all staff with a Claim Date of Census Day – it does not check to see if there are consecutive claims dates that may, in total, represent a period of one month or more. It groups the retrieved members of the workforce by their Qualified Teacher Status.

- For **Supply Claims** the Qualified Teacher Status is assessed only from the **Additional** tab’s **Teacher Status** data item.
- For **Service Agreements**, both the Additional tab’s Teacher Status data item and the Service Agreement’s QT Status will be assessed and if either indicates that the person is qualified then they will be included in the **Qualified** count.

## Occasional Teachers Validation Rules

- 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. If all of these are not present or are invalid then a validation error is raised: "7100 Some Occasionals Count details are missing or invalid."
- If a value of more than 39 is calculated, or edited for the total for <OccasionalsQTS> (Qualified) then a validation error is raised: "7120Q Please check: The DfE expects that the Number of Occasional Qualified Teachers present on census day should be less than 40." There is no validation on the overall read-only Total.
- Also: If a value of more than 9 is calculated, or edited for the total for <OccasionalsNOTQTS> (Not Qualified) then a validation error will be raised: "7121Q Please check: The DfE expects that the Number of Occasional Not Qualified Teachers present on census day should be less than 10." There is no validation on the overall read-only Total.
- Also: If a value of more than 9 is calculated, or edited for the total for <OccasionalsNOTKNWN> (Not Known) then a validation error is raised: "7122Q Please check: The DfE expects that the Number of Occasional Teachers (qualified status unknown) present on census day should be less than 10" there is no validation on the overall read-only Total.

## Agency Support Staff

A headcount of support staff employed by an agency / other third party is required, split by role.

The DfE requirement is as follows:

*"For 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 day 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."*

This is only required for the Spring Census.

When the XML file is saved, then along with the other Occasional Teachers information, the system will retrieve the headcounts for Agency Support Staff for each base and will output them in the <StaffInformation> container within an <AgencyTPsupport> container. For each row for of Agency Support Staff headcounts saved for the base, a subcontainer <AgencyTPsupportCount> will be output containing 2 tags:

- <AgencyTPsupportCategory> - this will output the external Role Code
- <SupHeadCount> - this will output the Headcount integer for that row.

## Agency Support Staff Validation Rules

If the **Occasional** data group has been selected for a base:

- At least one <AgencyTPsupportCount> node should be included. If this is not present or is invalid then a validation error is raised: "7200Q Please check – no Agency / Third Party Support Count details have been recorded."
- <SupHeadCount> (200568) must be numeric (can be zero). If not then a validation error is raised: "7210 Number of Agency / Third Party support staff present on census day must be a numeric value."
- <SupHeadCount> (200568) should be less than 50. If not then a validation error is raised: "7220Q Please check: Number of Agency / Third Party support staff present on census day should be less than 50."

## Local Authority Level XML Output

---

There is a requirement to output LA level information in **Type 3** and **Type 4** Central files to provide a headcount of Educational Psychologists.

The data required is:

Number of Educational Psychologists in regular service in post, by:

- Full Time Headcount
- Part Time Headcount
- Part Time Total FTE – this is stored to 1 decimal place.

LAs that 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."

This is contained within an <LA> container which is displayed underneath the <School> container.

Educational Psychologist summary count information may have been recorded for the *Central Return only* listed on the **Report | External Returns | School Workforce Census | Pre-Process/Export** tab by highlighting the Central base in the browse and recording totals under the 'Ed Psychs' process button.

There are 3 editable totals in this area:

- Full Time Headcount (whole numbers only) XML tag = <EdPsychsFT>
  - Part Time Headcount (whole numbers only) XML tag = <EdPsychsPT>
  - Part Time Total FTE (this will be stored to 1 decimal place) XML tag = <EdPsychsFTE>
1. When the **Save to XML file** button is clicked on the **Pre-Process/Export** tab, then as the system is generating XML files for the Central Return file it includes the <LA> container and the <EducationalPsychologists> sub-container. This is regardless of whether any non-zero values have been recorded for any of the three Educational Psychologist counts (a zero count for each total would potentially be a valid response, although unlikely).
  2. If both the totals for **Full Time Headcount** and **Part Time Headcount** are zero/null then an information message is written to the Error Log, to alert that the XML file includes zero counts for Educational Psychologists. The information message is: "Educational Psychologists headcount has not been recorded". In this case the tags is still output, with a value of 0.
  3. The message is not displayed if only one of the **Full Time** and **Part Time** headcounts of the counts are zero.
  4. If the total for the **Part Time Total FTE** is 0 but the **Part Time Headcount** is > 0, then an information message is written to the Error Log, to alert that the XML file includes a zero count for Part Time FTE. The information message is "Educational Psychologists Part Time FTE is 0 but Part Time Headcount > 0. Please check". In this case the tag is still output, with a value of 0.