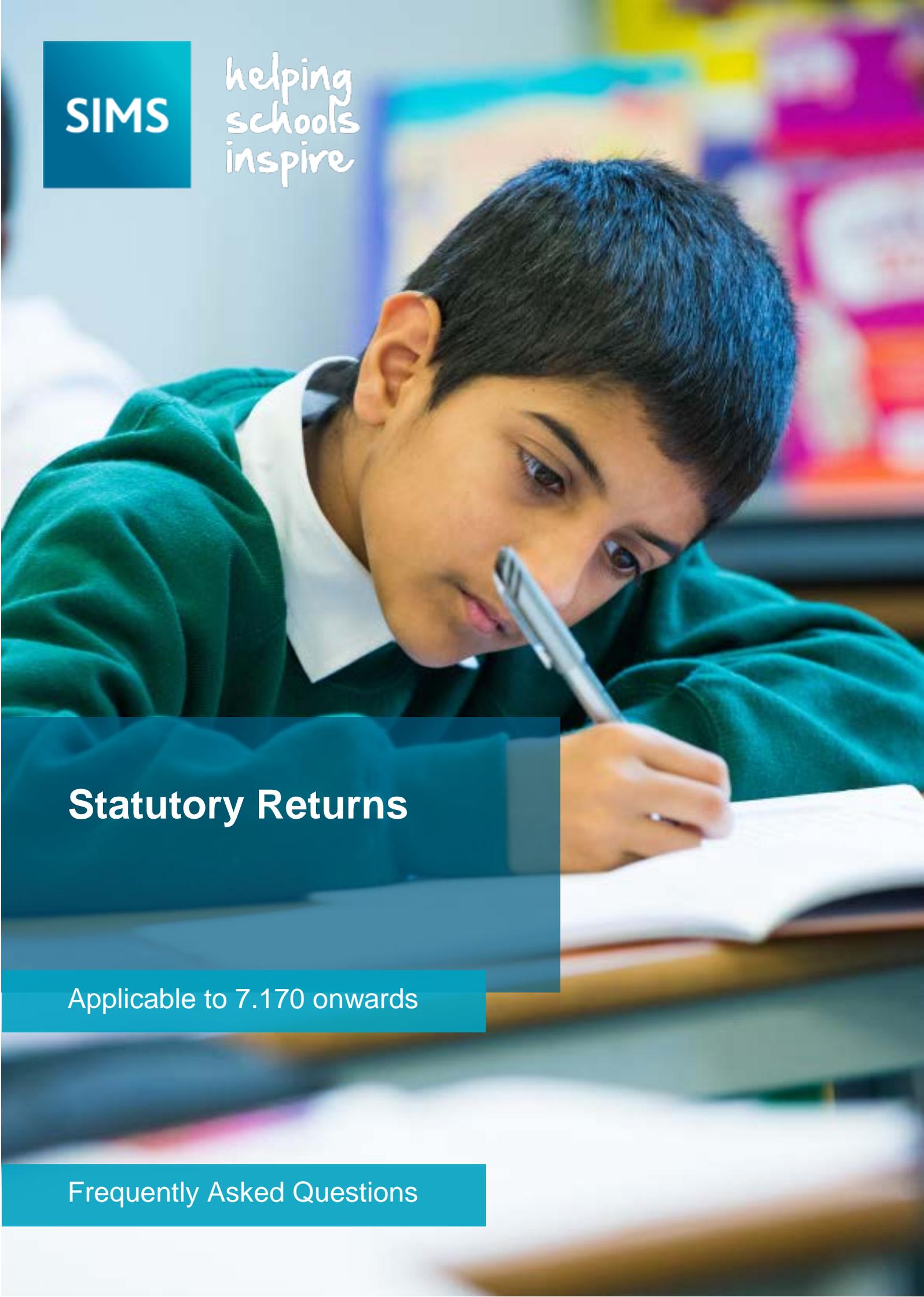




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## Statutory Returns

Applicable to 7.170 onwards

Frequently Asked Questions

## Revision History

Version	Change Description	Date
7.170 – 1.0	Initial release.	31/05/2016

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Capita Doc Ref: StatReturnsFAQ\_7170/HBK/310516/AW

### Providing Feedback on Documentation

We always welcome comments and feedback on the quality of our documentation including online help files and handbooks. If you have any comments, feedback or suggestions regarding the module help file, this handbook (PDF file) or any other aspect of our documentation, please email:

[publications@capita.co.uk](mailto:publications@capita.co.uk)

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

# C | Contents

<b>01  Statutory Returns General Usage Questions.....</b>	<b>1</b>
<b>02  School Census (England) .....</b>	<b>3</b>
<b>03  School Workforce Census (England).....</b>	<b>9</b>
<b>04  Attendance Collection Return (Wales).....</b>	<b>13</b>



# 01 | Statutory Returns General Usage Questions

The following questions and answers are applicable to most statutory returns.



## What is the latest version of the Statutory Returns fileset?



Applicable to the following returns:

England – School Census, School Workforce Census.

Wales – PLASC, Attendance Collection, Post 16.

Details about the latest fileset can be found on the My Account website (<https://myaccount.capita-cs.co.uk>) by using the search facility to find fileset information.



## How do I import the latest Statutory Returns fileset?



Applicable to the following returns:

England – School Census, School Workforce Census.

Wales – PLASC, Attendance Collection, Post 16.

The fileset is available as a .ZIP file, which should be downloaded from the My Account website (<https://myaccount.capita-cs.co.uk>), unzipped then imported into the SIMS Document Management Server (DMS) via **Tools | Setups | Import Fileset**. Ensure that the DMS is configured correctly before attempting to import the files.

After the fileset has been imported, you must log out of SIMS for the change to take effect.



## How do I check which fileset version is currently in use?



Applicable to the following returns:

England – School Census, School Workforce Census.

Wales – PLASC, Attendance Collection, Post 16.

Select **Routines | Statutory Returns | <census name>** to display the Census Return browser. The Validation Fileset ID is displayed in the header of the browser.



### How do I ensure that the return is correct if the Establishment Number changes?



If your **School Name** or **Establishment Number** changes, you must ensure that the date of the change is entered in the **Date Name Changed** or **Date Number Changed** field respectively (via **Focus | School | School Details**). Based on the date recorded, SIMS makes the necessary changes to the data when the return is generated.



### Where can I find the Statutory Return handbooks and when are they available?



The handbooks dealing with the production of the Statutory Returns are published at the time of the SIMS Release. They are available via the SIMS **Documentation Centre**, which is accessed from the SIMS **Home Page** (top right-hand side of the page) and the My Account website (<https://myaccount.capita-cs.co.uk>).

The Errors and Resolutions documents and the Preparation guides (where applicable) are published at the time of the SIMS Release or as soon after the release as possible. These documents are also available via the SIMS **Documentation Centre** and the My Account website.

To locate any of these documents on My Account, select **Knowledge Base, SIMS Publications** (located in the **Popular Searches** list), **Documents** (located in the **Filter search results by type** list). This enables you to specify **Sort by relevance** or **Sort by date** when using the search facility.

Tips for using the search facility to find statutory return documentation:

- Search for CENSUS16 OR SWC16 OR PLASC16.
- Surround a phrase with "double quotes" to return results containing that exact phrase.
- Prefix words with + to make them essential.

For example: "census16" +primary +7.170



### Where can I find the authority's guides and specifications?



**England** – School Census, School Workforce Census:

The DfE guidance documents can be found on the following websites:

<https://www.gov.uk/guidance/school-census>

<https://www.gov.uk/guidance/school-workforce-census>

**Wales** – PLASC, Attendance Collection, Post 16:

The Welsh Government guidance documents can be found on the following website:

<http://wales.gov.uk/topics/educationandskills/>

**Northern Ireland** - DENI Leavers and DENI Main Returns:

The Department of Education Northern Ireland guidance documents can be found on the following website:

[www.deni.gov.uk](http://www.deni.gov.uk)

# 02 | School Census (England)

## Routines | Statutory Returns | School Census

The School Census is required to be completed by Maintained schools in England. Non-maintained Special schools are also required to submit the return.

Currently, there are three School Census returns each year (i.e. Spring, Summer and Autumn), which collect detailed information about school characteristics and pupil/student details. Different data is collected depending on which return is being prepared and your school phase.



### What steps can I take to prepare for the Autumn School Census Return?



1. Run the Database Diagnostics routine (**Tools | System Diagnostics | Database Diagnostics**).
2. Run the Validate Memberships routine (**Tools | Validate Memberships**).
3. Ensure that dry runs are carried out as early as possible to provide time to resolve issues.
4. Download the latest QWS files from the QWS website (<https://collectdata.education.gov.uk/qwsweb/default.aspx>) then import them into SIMS via **Tools | Statutory Return Tools | Import Qualification Data**.
5. Download the latest Performance Measures file from the My Account website (<https://myaccount.capita-cs.co.uk>) and import it into SIMS via **Tools | Statutory Return Tools | Import Qualification Data**.
6. Enter an applicable attendance code for students in Year 11 who did not attend the school after completing their exams.
7. Run the Update Course Memberships routine for the end of this academic year and the start of the next (**Tools | Academic Management | Course Manager | Update Course Memberships**).
8. Check that the links to Exam Awards are correct in the **Examination** panel of Post 16 courses via **Tools | Academic Management | Course Manager | Maintain Course**.
9. Ensure that the links to QWS QAN/Discount Code are correct in the **Classification** panel of Post 16 courses via **Tools | Academic Management | Course Manager | Maintain Course**.
10. Check the applicable School Census notification on the My Account website (<https://myaccount.capita-cs.co.uk>), where information (including known issues) is documented about the forthcoming return.
11. If the required notification is not displayed on the My Account Home page, click the **Notifications** button and then use the search facility to find CENSUS16 documentation.



### How do I deal with two year courses?



A two year courses must be set up correctly to ensure that after the completion of year one, the **Status** for students is displayed as continuing. This indicates that a result is not expected until after year two of the course is completed.

*NOTES: It is possible to extend class memberships within the specified course duration only. For example, class memberships cannot continue for two years if the course duration is only for one year. If a student's class membership is amended in Academic Management, their course memberships are updated automatically without the need to run the Update Course Memberships routine manually.*

1. Select **Tools | Academic Management | Course Manager | Course Manager Settings** to display the **Update Course Manager Settings** page.
2. The **Minimum Course Duration** and **Maximum Course Duration** fields enable you to define the predicted length of time needed to deliver the course material to the students. Select the required duration from the drop-down lists.  
The **Default Course Duration** cannot be outside the range defined by the **Minimum Course Duration** and **Maximum Course Duration** fields. Select the required duration from the drop-down list.
3. Check the applicable courses listed at the bottom of the **Settings** panel and change the **Default Course Duration**, if necessary, by clicking the required cell then selecting from the drop-down list.



### What is a PI file and where can I find it?



The PI file contains information that has been derived from the Register of Regulated Qualifications (RRQ) provided by Ofqual and is available from the My Account website (<https://myaccount.capita-cs.co.uk>).

1. Download `Performance XML files.zip` to a folder of your choice.
2. In SIMS, select **Tools | Statutory Return Tools | Import Qualification Data**. A confirmation dialog is displayed.
3. Click the **OK** button to confirm that the downloaded data you are about to import is up-to-date. The **Import Qualification Data** page is displayed.
4. In the **Select Performance Measures** panel, click the **Browser** button adjacent to the **Performance Measures XML** field then navigate to the stored location of this file.
5. Select the `Performance Measures ENG and NI ONLY.XML` file then click the **Open** button to return to the **Select Performance Measures** panel, where the selected file is displayed.
6. Click the **Import Performance Files** button.
7. Click the **Print** button to print a copy of the file names and locations for future reference, if required.

When you next open the **Import Qualification Data** page, the **Last Updated On** field reflects the date of the most recent import.



### Why are there no Learning Aims displayed in the School Census Learning Aims panel (validation error 2709 and 2870)?



The **Learning Aims** panel on the **Census Return Details** page is populated automatically if there is only one authorised return from the previous Autumn. However, if more than one return was authorised last Autumn, you must select the required return file manually.

1. Select **Routines | Statutory Returns | School Census** to display the **Census Return** browser then select then required return.
2. In the **Learning Aims** panel, click the **Update from Previous Autumn** button to display the **Authorised Autumn Census Return** dialog.
3. Highlight the required authorised return then click the **OK** button.

When the **Learning Aims** panel is populated, click the **Create & Validate** button to produce the **Validation Errors Summary**.



### Why are validation errors 2709 and 2870 being displayed when I create and validate the return?



Check that there are QANs attached to the applicable courses:

1. Ensure that the latest QWS files are downloaded from the DfE QWS website (<https://collectdata.education.gov.uk/qwsweb/default.aspx>) then imported into SIMS via **Tools | Statutory Return Tools | Import Qualification Data**. Update the QANs and Discount Codes for Course Manager then select the required QAN.
2. Select **Tools | Academic Management | Course Manager | Maintain Course** then select the required course.
3. In the **Classification** panel, click the **New** button to display the **Select Code** dialog.
4. Highlight the required **Codeset** then highlight the required **Code**.
5. Click the **OK** button to return to the **Classifications** panel then click the **Save** button.

Ensure that the latest Performance XML files are downloaded from the My Account website (<https://myaccount.capita-cs.co.uk>). Unzip the file to a folder of your choice then import into SIMS via **Tools | Statutory Return Tools | Import Qualification Data**.

If there are still missing or incorrect Learning Aims, carry out the following steps:

In Examinations Organiser:

Results entered via Edit PI Data in Exams are displayed in the **Learning Aims** panel on the **School Census Details** page in SIMS (**Routines | Statutory Returns | School Census**).

Checking Element Details:

Results are gathered for all the seasons in the previous academic year, therefore the following checks on elements may need to be made for each season.

- Ensure that the element has both a QCA Code and a QAN:
  1. Select **Focus | Basedata** to display the **Basedata for <Term> Exams** dialog.
  2. Make a note of the series and the award titles.
  3. Expand the basedata tree then right-click the element and select **Properties** from the drop-down list to display the **Properties of <examination award element>** dialog.
  4. Ensure that both a **QCA Code** and a **QAN** is displayed for the selected Element.

*TIP: To assist with the identification of the element, it may help to add some temporary text, e.g. xxxx, to the end of the internal title of the element. This can be removed later.*

## 02| School Census (England)

- Ensure that students have grade results for the element:
  1. Select **Reports | Results | Element/Component Results** to display the **Report Criteria - Element/Component Results** dialog.
  2. Choose the correct Series (noted earlier) and ensure that Internal is displayed in the **Component/ Element Title** field.
  3. In the **Selections** panel, click the **Search** button then add the correct Element (i.e. the Element's **Internal Title** followed by xxx).
  4. Run the report then check that the students have grade results for this element.
  5. Remember to remove the temporary text added for ease of identification.
- Season dates do not overlap with the learning aim dates:
  1. Select **Tools | School Setup | Seasons** to display the **Season Browse** dialog.
  2. Make a note of the dates of the seasons then compare the dates with the learning aim dates. School Census and Course Manager will search for exam results only in the seasons that overlap the learning aim dates.

In the unlikely event that the dates for a relevant Season do not overlap with the Learning Aim dates, the Season dates in Examinations Organiser should be extended, e.g. if course membership ends in May, the last relevant Season must include May.
  3. Highlight the season you wish to edit then click the **View/Edit** button to display the **Season Details** browser where the date range can be extended, if required.
  4. Edit the **Start Date** and/or **Finish Date** to extend the applicable date range.

**IMPORTANT NOTE:** Date ranges must not be reduced.
  5. Click the **Save Record Changes** button on the Focus Bar.

*NOTE: August is deemed to be at the beginning of the academic year. Any seasons ending on or after 01 August are deemed to be in the forthcoming academic year. Results in such seasons are not included in the Autumn Census. If the season end date is incorrect, it must be changed.*

In Course Manager:

1. Select **Tools | Academic Management | Course Manager | Maintain Course**.
2. Search for then select the required course.
3. Navigate to the **Examination** panel then check that the Award noted in Examinations Organiser is the one displayed here.
4. Check that the Element (with xxx) is displayed in the Certification Elements table.

Some BTECs have entry and results Awards and Elements, so please ensure that the Award selected in Course Manager is the result Award.

In Student Details:

1. Select **Focus | Student | Student Details**.
2. Search for then select the required student.
3. Navigate to the **School History** panel and then check that the student did not leave before the beginning of the Exam Season that contains the result(s).
4. In the **Links** panel (located on the right-hand side of the **Student Details** page), click the **Courses** link to display the **Student Courses** page. Check that the student did not leave the course before the beginning of the Exam Season.

*NOTE: Some BTEC seasons are July, so a student's leaving date is particularly relevant for this. For example, if a student's date of leaving is on 31 May, the best solution is to edit the Exam Season start date back to 25 May.*

**How do I correct Error 1840 – Pupil aged five and over with language missing or invalid?**

First Language must be present for pupil/students aged five and over.

1. Select **Focus | Pupil (or Student) | Pupil (or Student) Details** to display the **Find Pupil (or Student)** browser.
2. Search for then select the required pupil/student to display the **Pupil (or Student) Details** page.
3. Make a note of the pupil/student's **Admission Date**, located in the **Registration** panel.
4. In the **Ethnic/Cultural** panel, select the required **First Language** from the drop-down list.
5. If several 1840 validation errors are displayed, correct the data using the Bulk Update functionality via **Routines | Pupil (or Student) | Bulk Update**.

For more information, please refer to the applicable Preparing for the School Census guide available via the **Documentation** button on the SIMS **Home Page**.

*NOTE: If you make this change after the census date, you will need to click the **History** button (located at the bottom right-hand side of the **Ethnic/Cultural** panel) to apply the change on the census date.*

**How do I correct Error 9999 – Module is missing**

In most cases, this error is triggered by a leaver with missing ethnicity and/or first language.

1. Select **Focus | Pupil (or Student) | Pupil (or Student) Details** to display the **Find Pupil (or Student)** browser.
2. Search for then select the required pupil/student to display the **Pupil (or Student) Details** page.
3. Make a note of the pupil/student's **Admission Date**, located in the **Registration** panel.
4. In the **School History** panel, make a note of then delete the **Date of Leaving** and the **Reason For Leaving**.
5. Click the **Save** button.
6. In the **Ethnic/Cultural** panel, click the **History** button then double-click **Ethnicity (or First Language)** to display the **Ethnicity (or First Language)** dialog.
7. Double-click the timeline adjacent to the required **Ethnicity (or First Language)** to display the **Add/Edit Date Range** dialog.
8. Set the **Start Date** to the pupil/student's **Admission Date** (noted previously). The **End Date** must be left blank.
9. Click the **OK** button to return to the **Ethnicity (or First Language)** dialog.
10. Click the **OK** button to return to the **History Details** dialog.
11. Click the **OK** button to return to the **Pupil (or Student) Details** page.
12. Click the **Save** button.
13. Re-open the applicable pupil/student record.
14. In the **School History** panel, re-enter the **Date of Leaving** and **Reason for Leaving**.
15. Click the **Save** button.



# 03 | School Workforce Census (England)

## Routines | Statutory Returns | School Workforce Census

The School Workforce Census (SWC) is required to be run by English schools in the Maintained sector and usually takes place once a year at the beginning of November.

The information collected includes staff details, e.g. contract details, service agreement details for agency teachers, payment details for all categories of staff, absence details for teachers and teaching assistants in regular service, etc. and school level information, e.g. vacancies, occasional teachers, agency/third party support staff, etc.



### How do I activate the School Workforce Census functionality?



Patch ID 11118 is required in order to activate the School Workforce Census functionality.

However, the School Workforce Census patch is designed to work with SIMS Personnel in read/write mode. Therefore, you must ensure that SIMS Personnel is fully licensed before applying the School Workforce Census patch. To ascertain whether the Personnel licence has been applied, select **Focus | Person | Staff** then check that the **Absences** panel (**Personal Details** tab) and **Employment Details** panel (**Employment Details** tab) are displayed.

If the Personnel licence is required, please contact your Local Support Unit for assistance.

The School Workforce Census patch (ID 11118) is available from SOLUS. Please contact your Local Support Unit for assistance. The patch needs to be applied once only. If you have applied the patch in the past, it is not necessary to re-apply it for this year's return.

**IMPORTANT NOTE:** *It is strongly recommended that a backup of SIMS is taken before applying any patch and that no users are logged into SIMS at the time of applying the patch.*

When the School Workforce Census functionality is activated, ensure that the **Eligible for SWR** check box (**Focus | Person | Staff - Personal Details** tab - **Basic Details** panel) is selected for all staff who are required to be included in the return.



### Where can I find the School Workforce pre-defined reports?



#### NOTES:

- The availability of reports depends on the permissions assigned. Please contact your System Manager, if in doubt of the permissions assigned to you.
- Pre-defined reports must be imported into SIMS. New reports and updates to existing reports are made available with each SIMS release, where applicable.

To import pre-defined reports into SIMS:

1. Select **Reports | Import** to display the **Import report(s)** dialog.
2. Click the **Open** button then navigate to the required pre-defined reports file. The files can usually be found in C:\Program Files (Or Program Files (x86))\SIMS\SIMS .net.

### 03 | School Workforce Census (England)

3. Highlight the required file then click the **Open** button to return to the **Import report(s)** dialog.
4. Specify the import options then click the **Import** button.
5. When the import is complete, click the **Close** button then restart SIMS to ensure that the newly imported reports are available for use.

To locate and run the SWC pre-defined reports:

1. Select **Reports | Run Report** to display the **Report** browser.
2. Expand the **Focus** menu by clicking the plus (+) button in the navigation tree then click **Staff** to display a list of staff-related pre-defined reports.
3. Scroll down to view several SWC reports.
4. Double-click the required report name to run the report.

For more information, please refer to the *Designing and Running Reports* handbook.



#### Why is the Workforce Member Contract/Service Agreement Details report blank?



If this detail report is blank, it indicates that there are no changes to contractual data within the date range specified for this return. If this is the case, the report does not display any basic staff details.

Even though there may not be any contract changes for staff members at the school, the DfE still requires that an empty return is sent to them so that they have a record that there have been no changes. Therefore, it may be that the XML file contains header information only but it is important that the census return file is still provided to the DfE.

To ensure that a member of staff is considered for inclusion in the return:

1. Select **Focus | Person | Staff** to display the **Employee Details** browser.
2. Search for then select the required person to display the **Employee Details** page.
3. In the **Basic Details** panel (**Personal Details** tab), select the **Eligible for SWR** (School Workforce Return) check box.

If **Contract Information**, **Absences**, **Qualifications** or curriculum details are populated, the person's basic details are displayed on the report.

*NOTE: If the **Eligible for SWR** check box is not selected, the person is excluded from the SWC return.*



#### Is curriculum data included for staff without a contract?



A contract is required to enable staff to ascertain School Workforce Census eligibility.

Even though a staff member's timetable is recorded in SIMS, the School Workforce Census looks at the contract to determine the type of staff for the data collection. Therefore, having no contract means that no curriculum data will be displayed when calculating the return.

**Why is the Calculate All Details button not displayed when using a Primary dataset?**

The **Calculate All Details** button is used to calculate curriculum data. Curriculum data is not collected from Primary schools.

**Why is the Curriculum for Teachers and Teaching Assistants panel not populated as expected?****Applicable to Secondary and All-Through schools only**

When the **Calculate All Details** button is clicked, information recorded in SIMS is extracted and displayed in the applicable panels on the **School Workforce Census Details** page.

The **Curriculum for Teachers and Teaching Assistants** panel is populated only if:

- the timetable has been transferred from Nova-T into the relevant academic year in SIMS.
- the subject codes have been mapped to DfE subjects.
- the timetable for the curriculum year has been applied via **Tools | Academic Management | Apply Timetable**.

**IMPORTANT NOTE:** *It is recommended that you check with your System Manager before running the Apply Timetable routine. Cover assignments and Lesson Monitor marks can be removed if the timetable is applied for dates in the past.*

**Do both groups show for derived year? If not, which one is chosen?****Applicable to schools using Nova-T6 only**

On the School Workforce Census, only one year group is shown for derived years.

The derived year that is shown is the last derived year on the derived block in Nova-T6, e.g. if a derived block is sourced by years 7, 8 and 9, Curriculum Year 9 is displayed on the census panel.

If the derived year does not have a National Curriculum Year in Nova-T6, the classes are not picked up on the School Workforce Census.

**How do I deal with the error messages 'Workforce setting corrupt' or 'Object response not set'?**

1. Open Windows Explorer then navigate to C:\Program Files (x86)\SIMS\SIMS .net.
2. Rename the SIMS .net folder, e.g. SIMS .netOLD
3. SOLUS<sup>2</sup> users: Re-install SIMSApplicationSetup.exe.  
SOLUS<sup>3</sup> users: Redeploy SOLUS<sup>3</sup>, redeploy History and then highlight the relevant workstation and redeploy last update.



# 04 | Attendance Collection Return (Wales)

## Routines | Statutory Returns | Attendance Collection

The Attendance Collection Return is applicable to Primary, Secondary and Middle schools in Wales.

The return focuses on attendance data, which is used, for example, to generate statistical analyses of attendance levels in schools and across Wales. It contains data relating to pupil/students (including leavers and boarders) of statutory school age, who were on-roll during the collection period and have a registration status of Single Registration, Dual-Main or Dual-Subsidiary. This return does not apply to Guest pupil/students.



### What steps can I take to prepare for the return?



- Ensure that you have the appropriate permissions to run the Attendance Collection and record associated data.
- Upgrade to the latest SIMS release and carry out dry runs to identify errors in the return data.
- Produce detail reports to assist with the resolution of validation errors and queries.
- Ensure that the school, pupil/student and leavers details are correct and up-to-date.
- Ensure that all pupil/student attendance data is up-to-date.

For more information, please refer to the *Preparing for the Attendance Collection Return* guide.



### How do I deal with validation queries 6006Q and 6014Q?



*6006Q – Sessions Possible must be greater than 0.*

*6014Q – More sessions not required to attend than sessions possible.*

These queries are usually triggered if a pupil/student did not join the school at the beginning of the academic year, i.e. they joined part way through the Autumn term or in the Spring or Summer term.

If you encounter query 6006Q or 6014Q while checking DEWi, and you are sure that the query has been triggered by pupil/students joining the school late in the year, enter a comment to explain this fact. The Welsh Government will then accept the queries as resolved.



### Where do I find the information to help resolve validation failures?



#### Via the SIMS software

After performing the Create and Validate routine:

- When the mouse pointer is hovered over an error or query row, it changes to a hand if a hyperlink is available to the area of SIMS where the issue can be checked. A hyperlink is also indicated by a hash symbol (#) preceding the **Solution** text.  
Click the appropriate hyperlink to display the specific SIMS area where the record(s) can be checked/corrected.
- The Validation Errors Summary report can be run by clicking the **Report** button (located above the **Validation Errors Summary** panel).

#### Via documentation

A Validation Errors and Resolutions document, which provides suggestions on how to resolve the errors or queries, is available:

- via the SIMS **Documentation Centre** (located on the top right-hand side of the SIMS **Home Page**).
- on the My Account website (<https://myaccount.capita-cs.co.uk>) by using the search facility to find PLASC16.



### How does the Attendance Collection return deal with dual registered pupil/students?



Where pupil/students are registered in more than one educational establishment, e.g. dual registration in a mainstream school and a special school, both institutions should maintain a pupil/student record for that pupil/student. One establishment should record the pupil/student's registration status as **Main** and the other as **Subsidiary**.

Main Schools:

The Main school must submit a completed return for pupil/students who are recorded with a registration status of **Main**. This should include attendance data for the pupil/student from when they received their education at the subsidiary establishment.

*NOTE: It should not be assumed that the pupil/student is in attendance at the subsidiary establishment until this has been confirmed.*

In cases where the pupil/student's registration status is **Main** at a special school and **Subsidiary** at a mainstream school, it is still the responsibility of the mainstream school to submit a completed Attendance Collection return for that pupil/student for the whole academic year, irrespective of whether their main school was a special school.

Dual Registered at two Mainstream Schools:

In cases where a pupil/student is dual registered at two mainstream schools, their attendance data is reported by both schools regardless of their enrolment status. That pupil/student's attendance figures are counted and published only at the school where their enrolment status is **Main**.

When the files are uploaded to DEWi:

- An error message might be displayed, informing the LA that a duplicate UPN exists. The LA will contact the Welsh Government to help ascertain which school's file holds the pupil/student's complete attendance data.
- The school with the pupil/student's incomplete data set, i.e. the subsidiary school, will still see validation errors reported for the Attendance Collection Return in their school MIS error report and on DEWi. However, the Welsh Government will work with that school to ensure the data is not included in the school's published figures.