Early years foundation stage profile 2015

Technical specification, version 1.1

March 2015

Contents

Version history

Version	Change history	Author / date
0.1	Changes to the specification for the 2015 early years foundation stage profile collection have been made as listed below: • Roll over of dates • Format changes to reflect the template and style guide for documents on GOV.UK • Structure changes to reflect consistency in department for education's technical specification documents • Amendment to URN number field range RFC768 Links that have been updated: • Section 1 – common basic dataset links • Section 1 – assessment components link • Copyright section – all links Items that have been removed are listed below: • Business rationale section • Assumptions section	Amanda Robinson 28/11/14
1.1	Section 1 - A_COMP 2015 website link inserted	Kirsty Bennett 19/03/15

1. Introduction

This specification covers the return of early years foundation stage profile to the department for education. These returns will be made using the department's COLLECT system, in XML format. It should be read in conjunction with the current Common Basic Dataset definitions and assessment components :A_COMP 2015.

1.1 Audience and purpose

This specification describes the early years foundation stage profile collection 2015. It will enable local authorities, and software suppliers working on their behalf, to prepare the necessary data and processes for compliance so that data on all children aged 4 in funded education at maintained schools and private, voluntary and independent early years settings can be returned.

The following legislation underpins the provision and publication of this information: the Education Act 1996 s29(3), The Education (School Performance Information)(England) Regulations 2007, Regulations 5 and 8 School Information (England) Regulations 2008.

This requirements specification consists of one document containing a narrative, sample XML messages, and validation. Local authorities and suppliers must read this specification in conjunction with the Common Basic Dataset.

1.2 Scope

This data collection process covers any maintained school or private, voluntary and independent setting where one or more children are receiving early years education that is funded by the department for education. The data consists of **all** four year olds in maintained schools and all funded four year olds born between April and August in private, voluntary and independent settings.

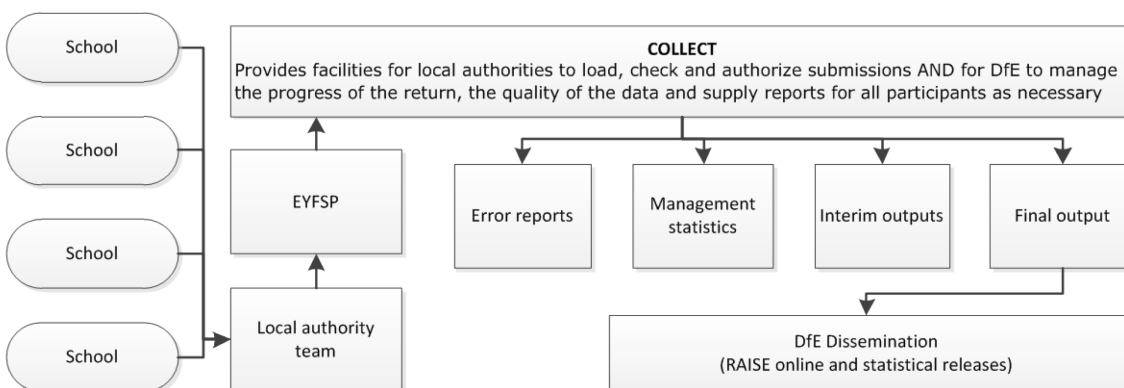The following diagram outlines the overall scope of the collection:

Figure 1: high level data collection process

1.3 Changes for 2015

Changes for the 2015 early years foundation stage profile collection technical specification are:

- roll-over of dates
- Amendment to URN number field range RFC768
- updating of links
- re-formatting to reflect GOV.UK publishing requirements
- removal of the business rationale and assumptions sections.

1.4 Coverage and timings

The early years foundation stage profile is collected annually. The assessment will take place in the final term of the early years foundation stage year (no later than two weeks before the end of the final term and in any event no later than 4 July 2015).

Local authorities will give local guidance on when they require returns from schools / settings to allow the local authority to check and consolidate all data from their schools and private, voluntary and independent settings and return data to the department for education no later than 28 August 2015.

2. Structure and guidance

2.1 Outline data content

Each return from a local authority will consist of a child level and an establishment level. Each level comprises one or more modules (the term "module" is used to describe a subset of a data level). Both levels will be returned together as a single data return for each school / setting.
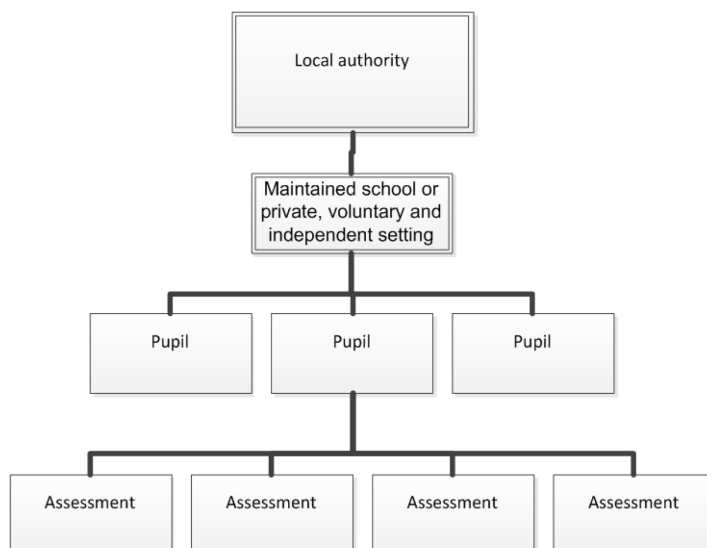

Figure 2: outline structure of data

2.2 Process

2.2.1 School / settings management information system

A CTF file may be prepared from the school / settings MIS system and exported to the local authority using the school to school secure transfer mechanism.

The software will allow the local authority to import into its central management system the CTF created from the school MIS. The validation rules that will be applied to this data are included at Section 4. The local authority software will carry out these checks when the CTF is loaded into the local authority central database / processing system. Any missing subjects or components or results or any invalid values / totals will be reported by the local authority software.

2.2.2 Excel spreadsheet

For those schools / settings without a MIS, a spreadsheet (available from department for education) may be completed and exported to the local authority via school to school secure transfer or some other secure transfer mechanism.

The software will also allow the local authority to load into its central management system a CSV file created from an early years foundation stage profile Excel spreadsheet (to be supplied to local authorities by the department for education for distribution as necessary) with the export filename of either "EYFSP_xxxx_15.CSV" from schools or "EYFSP_yyyyyy_15.CSV" from early years' settings, where xxxx is the department for education school number and yyyyyy is the setting's unique reference number (this is an early year's setting example with a 6-digit unique reference number; a school CSV would have a 4-digit establishment number).

Below is an example spreadsheet

Excel spreadsheet example

School Name	LEA No	School No	URN	Child's Surname	Child's Forenames (see notes)	UPN (see notes)	Gender (M or F)	Date of Birth (DD/MM/YYY)
SUNSHINE SCHOOL	201		555555	BRASHER	WILLIAM		M	13/02/2010
SUNSHINE SCHOOL	201		555555	PERR	DIANE	W222222222222	F	31/12/2009

Home Post code	Communication & Language			Physical Development		Personal, Social and Emotional			Literacy		Mathematics		Understanding the world			Expressive Arts & Design	
(see notes)	LA	U	S	M&H	HSC	SC/SA	MFB	MR	R	W	N	SSM	P&C	World	Tech	EMM	BI
SW1H 3LP	1	1	2	2	2	3	2	3	1	1	1	2	1	1	2	2	2
SW2P 3EE	3	2	3	2	2	3	2	2	3	2	3	3	2	3	3	2	3

Figure 3: example spreadsheet

Note: LA = Listening and attention, U = Understanding, S = Speaking M&H = Moving and Handling, HSC = Health and self-care SC/SA = Self-confidence and self-awareness, MFB = Managing feelings and behaviour, MR = Making relationships, R = Reading, W = Writing, N = Numbers, SSM = shape, space and measures, P&C = People and communities, EMM = Exploring and using media and materials, BI = Being imaginative.

2.2.3 Paper format

For those settings without access to a secure computer, the local authority may arrange some other paper recording system, and then key the data into the centralised local authority system.

2.2.4 Notes about local authority systems

Where any pupil identifying data or contextual data included in the CTF are already present in the local authority database / processing system, there will be a prompt to ask if the existing data will be overwritten by the CTF or CSV import.

The software will allow the local authority to:

- remove and to add pupils;

- amend a pupil's identifying data or summary scale scores that have been loaded, and for the area of learning totals and overall score to be automatically recalculated;

- re-import corrected CTF and / or CSV files with a prompt to allow the operator to overwrite existing data.

2.3 Creating local authority XML results files of individual pupil data

The software will allow the local authority to create separate XML files of individual pupil data by school / setting to load into COLLECT as necessary, even if they still contain errors. The XML will include the following data items:

- local authority number

- establishment (school number) or unique reference number

- unique pupil number (where present)

- surname

- forename

- gender

- date of birth

- home postcode (where present)

- subject, component and result (which will be one of 1, 2, 3 or A)

The name of the individual school / setting XML file will be:

xxxyyyy_FTF_xxxDfE_001.XML where xxx is the local authority number and yyyy is the school establishment number. (The final 3 digits will only be incremented if another XML is created.)

For private and voluntary settings the name of the XML file will be:

xxxyyyyyy_FTF_xxxDfE_001.XML where xxx is the local authority number and yyyyyy is the setting unique reference number. (The final 3 digits will only be incremented if another XML is created.)

Please note: private, voluntary and independent settings are required to quote their unique reference number, as used for early years census, when making an early years foundation stage profile submission.

The validation rules are shown in section 4. Any data failing the validation checks will be reported using the error codes and messages specified in this document. The local authority will be given the option to correct the errors and revalidate and recreate the files as necessary.

Local authorities will zip the individual XML files into a single file for importing into COLLECT.

3. Data return formats

The early years foundation stage profile return must be submitted to the department for education in XML format.

Any missing item or value will result in an error being generated. Within XML, empty tags should not be returned.

3.1 Special notes for XML returns

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

Character	Entity reference
Ampersand (&)	&
Left angle bracket (<)	<
Right angle bracket (>)	>
Single quote / apostrophe (')	'
Double quotes (")	"

For special characters such as é use a character reference such as é This produces a generic XML file which can be viewed as such in a suitable browser. Details of all such characters are found within the XML standard documentation, section 2.2.

3.2 XML format

CBDS number	EYFSP Return 2015 XML Structure	Notes
	<EYFSPfile>	
	<Header>	
800001	<Collection>Early Years Foundation Stage Profile</Collection>	
800010	<DateTime>2015-08-27T11:52:21</DateTime>	
100266	<Year>2015</Year>	
200001	<LEA>303</LEA>	
800006	<SoftwareCode>846</SoftwareCode>	
	</Header>	
	<School>	
200002	<Estab></Estab>	
200003	<URN>510001</URN>	
	<Pupils>	
	<Pupil>	
100001	<UPN>A123981456002</UPN>	
100003	<Surname>York</Surname>	
100004	<Forename>Tiffany</Forename>	
100007	<DOB>2010-01-01</DOB>	
100008	<Gender>F</Gender>	
100121	<PostCode>TS13 3DW</PostCode>	
	<Assessments>	
	<Assessment>	
100466	<Subject>PSE</Subject>	
100273	<Method>FA</Method>	
100274	<Component>G09</Component>	
100275	<ResultQualifier>FD</ResultQualifier>	
100276	<Result>2</Result>	
	</Assessment>	
	</Assessments>	
	</Pupil>	
	</Pupils>	
	</School>	
	</EYFSPfile>	

4. Data validation rules

This section specifies validation rules that are applied to the data by the department for education, using COLLECT. They must also be applied, as far as possible, by local authorities prior to loading the data onto the COLLECT system and any issues resolved. Those data items included in the specification but not appearing in the validation rules - that is, those not shown in the validation rules as "must be present" - must be supplied where available (eg child's unique pupil number). The rules also show which validations are errors and which ones are queries. An error is a failed validation check that must be corrected. A query is one which must be investigated, and potentially corrected, as it identifies data that would usually be invalid.

Syntax:

- Validation checks are expressed as conditions that must be true (errors) or that should be true (queries). The error message shows what is displayed if the condition is not met.

- data items are indicated using the XML tag with the CBDS number in parentheses, for example <UPN> (100001)

- data groups are indicated using the XML tag only, for example <Assessments>

- single dates or date ranges are sometimes defined in relation to <ReferenceDate>, which is from the XML Header

4.1 Header validation

Seq Number	Error/ Query	Validation Check	Error Message
001	Error	<Collection> (800001) must be present with a value of "Early Years Foundation Stage Profile"	Document Name missing or invalid. The file must be recreated
101	Error	<SoftwareCode> (800006) must be present	SupplierID is missing
110	Error	<Year> (100266) must be present and = 2015	Year is missing or invalid

4.2 Establishment level validation

Seq Number	Error/ Query	Validation Check	Error Message
		School module	
8000	Error	<LEA> (200001) must be provided and must be a valid value	Local Authority number missing or invalid
120	Error	If <Estab> (200002) is present it must be in the ranges 1000-1150; 1800-3999; 4000-4999, 5200-5299, 5400-5499, 5900-6999, 7000-7999)	Establishment No is invalid
3782	Error	If <URN> (200003) is present it must be in the range 500000-799999	URN is invalid
3783	Error	At least one of <Estab> (200002) OR <URN> (200003) must be present	Establishment No or URN must be present

4.3 Child level validation

Seq Number	Error/ Query	Validation Check	Error Message
		Pupil Identifiers module	
106	Error	<DOB> (100007) for <URN> (200003) in the range 500000-799999 (PVIs) must be between 1/4/2010 and 31/8/2010	Outside the date range for PVI settings
3781	Error	For Independent schools <DOB> (100007) must be between 1/4/2010 and 31/8/2010	Outside the date range for Independent schools
3750Q	Query	All schools except Independent schools DOB> (100007) must be between 1/9/2009 and 31/8/2010	Pupil's Date of Birth is outside expected date range
1500	Error	All schools except Independent schools and PVIs <UPN> (100001) (Unique Pupil Number) must be present	UPN is missing

Seq Number	Error/ Query	Validation Check	Error Message
1510	Error	<UPN> (100001) must contain the correct check letter To calculate the check letter: 1. Multiply the individual digits by their weights as follows: digit 2 by weight 2; digit 3 by weight 3; digit 4 by weight 4; digit 5 by weight 5; digit 6 by weight 6; digit 7 by weight 7; digit 8 by weight 8; digit 9 by weight 9; digit 10 by weight 10; digit 11 by weight 11; digit 12 by weight 12; digit 13 by weight 13. 2. Sum the individual results, divide the total by 23, and take the remainder. 3. Calculate the check letter from the result as follows: 0 = A; 1 = B; 2 = C; 3 = D; 4 = E; 5 = F; 6 = G; 7 = H; 8 = J; 9 = K; 10 = L; 11 = M; 12 = N; 13 = P; 14 = Q; 15 = R; 16 = T; 17 = U; 18 = V; 19 = W; 20 = X; 21 = Y; 22 = Z. For calculating the check letter (see above) any alphabetical character at digit 13 is accorded the same numerical value as listed in paragraph 3 above, ie A=0, B=1, C=2 etc.	UPN invalid (wrong check letter at character 1)
1520	Error	Each pupil <UPN> (100001) must be unique across all pupils in the Estab	More than one pupil record with the same UPN
1530	Error	If <UPN> (100001) is present Characters 2-4 of <UPN> (100001) must be a valid post April 1999 LA code or a recognised "pseudo LA" code (001-005, 201-213, 301-320, 330-336, 340-344, 350-359, 370-373, 380-384, 390-394, 420, 660-681, 701-708, 800-803, 805-808, 810-813, 815, 816, 820-823, 825, 826, 830, 831, 835-837, 840, 841, 845, 846, 850-852, 855-857, 860, 861, 865-896, 908, 909, 916, 919, 921, 925, 926, 928, 929, 931, 933, 935-38)	UPN invalid (characters 2-4 not a recognised LA code)
1540	Error	If <UPN> (100001) is present Characters 5-12 of <UPN> (100001) must be numeric	UPN invalid (characters 5-12 not all numeric)

Seq Number	Error/ Query	Validation Check	Error Message
1550	Error	If <UPN> (100001) is present Characters 13 of <UPN> (100001) must be numeric or A-Z omitting I, O and S	UPN invalid (character 13 not a recognised value)
1580	Error	<Surname> (100003) must be present	Pupil with last name missing
1590	Error	<Forename> (100004) must be present	Pupil with forename missing
1600	Error	<DOB> (100007) must be present	Pupil's date of birth is missing
1610	Error	<Gender> (100008) must be present and a valid value	Pupil Gender missing or invalid
Home Information			
2340	Error	<PostCode> (100121) must be present and a valid format. Valid formats are: An nAA Ann nAA AAn nAA AAnn nAA AnA nAA AAnA nAA where 'A' is alphabetic and 'n' is numeric. Also valid: BFPO n BFPO nn BFPO nnn	Postcode is missing or invalid
Assessment			
3779	Error	Each of the following combinations of parameters must be present once and once only, and only these combinations are valid. Subject Method Component ResultQualifier	Assessments are either missing or invalid

Seq Number	Error/ Query	Validation Check				Error Message
		COM	FA	G01	FD	
		COM	FA	G02	FD	
		COM	FA	G03	FD	
		PHY	FA	G04	FD	
		PHY	FA	G05	FD	
		PSE	FA	G06	FD	
		PSE	FA	G07	FD	
		PSE	FA	G08	FD	
		LIT	FA	G09	FD	
		LIT	FA	G10	FD	
		MAT	FA	G11	FD	
		MAT	FA	G12	FD	
		UTW	FA	G13	FD	
		UTW	FA	G14	FD	
		UTW	FA	G15	FD	
		EXP	FA	G16	FD	

Seq Number	Error/ Query	Validation Check				Error Message
		EXP	FA	G17	FD	
002	Error	<Subject>(100271) must be present and a valid value				Subject is either mission or invalid
005	Error	<Method>(100273) must be present and = FA				Method is either missing or invalid
003	Error	<Component> (100274) must be present and a valid value				Component is either missing or invalid
004	Error	<ResultQualifier>(100275) must be present and = FD				Result Qualifier is either missing or invalid
3751	Error	<Result>(100276) must be present and a valid value				Result is either missing or invalid
3752	Error	<Assessment> (<Subject> (100271) = COM, <Component> (100274) = G01 and <ResultQualifier> (100275) = FD) must be present				COM G01 (Listening and Attention Component) Result missing
3753	Error	<Assessment> (<Subject> (100271) = COM, <Component> (100274) = G02 and <ResultQualifier> (100275) = FD) must be present				COM G02 (Understanding Component) Result missing
3754	Error	<Assessment> (<Subject> (100271) = COM, <Component> (100274) = G03 and <ResultQualifier> (100275) = FD) must be present				COM G03 (Speaking Component) Result missing
3758	Error	<Assessment>(<Subject> (100271) =PHY, <Component> (100274)= G04 and <ResultQualifier> (100275) = FD) must be present				PHY G04 (Moving and handling Component) Result missing
3759	Error	<Assessment>(<Subject> (100271) =PHY, <Component> (100274)= G05 and <ResultQualifier> (100275) = FD) must be present				PHY G05 (Health and self-care Component) Result missing
3760	Error	<Assesment>(<Subject> (100271) =PSE , <Component> (100274)= G06 and <ResultQualifier> (100275) = FD) must be present				PSE G06 (Self-confidence and self-awareness Component) Result missing
3761	Error	<Assessment>(<Subject> (100271) =PSE, <Component> (100274)= G07 and				PSE G07 (Managing feelings and

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Seq Number	Error/ Query	Validation Check	Error Message
		<ResultQualifier> (100275) = FD) must be present	behaviour Component) Result missing
3766	Error	<Assessment>(<Subject> (100271) =PSE, <Component> (100274)= G08 and <ResultQualifier> (100275) = FD) must be present	PSE G08 (Making relationships Component) Result missing
3767	Error	<Assessment>(<Subject> (100271) =LIT, <Component> (100274)= G09 and <ResultQualifier> (100275) = FD) must be present	LIT G09 (Reading Component) Result missing
3790	Error	<Assessment>(<Subject> (100271) =LIT, <Component> (100274)= G10 and <ResultQualifier> (100275) = FD) must be present	LIT G10 (Writing Component) Result missing
3791	Error	<Assessment>(<Subject> (100271) =MAT, <Component> (100274)= G11 and <ResultQualifier> (100275) = FD) must be present	MAT G11 (Numbers Component) Result missing
3792	Error	<Assessment>(<Subject> (100271) =MAT, <Component> (100274)= G12 and <ResultQualifier> (100275) = FD) must be present	MAT G12 (Shape, space and measures Component) Result missing
3793	Error	<Assessment>(<Subject> (100271) =UTW, <Component> (100274)= G13 and <ResultQualifier> (100275) = FD) must be present	UTW G13 (People and Communities Component) Result missing
3794	Error	<Assessment>(<Subject> (100271) =UTW, <Component> (100274)= G14 and <ResultQualifier> (100275) = FD) must be present	UTW G14 (The World Component) Result missing
3795	Error	<Assessment>(<Subject> (100271) =UTW, <Component> (100274)= G15 and <ResultQualifier> (100275) = FD) must be present	UTW G15 (Technology Component) Result missing
3796	Error	<Assessment>(<Subject> (100271) =EXP, <Component> (100274)= G16 and <ResultQualifier> (100275) = FD) must be present	EXP G16 (Exploring and using media and materials Component) Result missing
3797	Error	<Assessment>(<Subject> (100271) =EXP, <Component> (100274)= G17 and <ResultQualifier> (100275) = FD) must be present	EXP G17 (Being Imaginative Component) Result missing

5. Valid values

Valid item values must be in the list or range specified in the common basic dataset, subject to the exceptions and restrictions below.

Local authority codes (CBDS item number 200001, codeset D00004) for this collection only covers ENGLAND local authorities. Coverage also excludes local authority codes:

- 001, 003, 167

- codes starting with 6 and 7 except 702 (service children's education, which is valid)

- XXX, MMM and NAA