Early years census 2016

Business and technical specification – version 1.1

November 2015

Contents

Version history

1.0	All dates within the document have been updated to reflect the change in census year from 2015 to 2016 (including the birth date / age references for children).	Phil Dent 24/07/2015
	Where data item numbers have been altered, these have been changes and marked as such, but not individually listed in the history.	
	1.2.5 – Which census should be used - added	
	1.5.1 (a) – Early years pupil premium – added	
	4.2.2 (a) – Ethnicity – note on new codes added	
	4.2.2 (c) – Basis for funding – Data item 100576 amended from 100510 to 100576	
	4.2.2 (d) – Early years pupil premium – added	
	5.2.3 – Establishment XML message structure	
	• Data item 200673<EstabEYTSTeachers> - added (CBDS RFC 830 refers)	
	• Data item 200674 <EYEYTS> - added (CBDS RFC 830 refers)	
	5.2.4 – Pupil / child XML message structure	
	• Data item 100559 <EYPPE> - added	
	• Data item 100560 <EYPPBF> - added	
	• Data item 100576 <FundingBasis> - amended from 100510 to 100576	
	5.3.2 – CSV establishment record	
	• Data item 200673 <EstabEYTSTeachers> - added (CBDCS RFC 830 refers)	
	• Data item 200674 <EYEYTS> - added (CBDS RFC 830 refers)	
	5.3.3 – CSV pupil / child record (single setting and once child) –	
	• Data item 100559 <EYPPE> - added	
	• Data item 100560 <EYPPBF> - added	
	• Data item 100576 <FundingBasis> - amended from 100510 to 100576	

	5.3.4 – CSV pupil / child record (single setting and two children) – • Data item 100559 <EYPPE> - added • Data item 100560 <EYPPBF> - added • Data item 100576 <FundingBasis> - amended from 100510 to 100576	
1.1	5.3.4 – CSV pupil / child record (single setting and two children) – • Data item 100576 <FundingBasis> - cardinality corrected from 1 to 4 to 1 to 3	Phil Dent 11/11/2015

This specification must be read in conjunction with the Excel workbook giving the current version of the revised common basic data set (CBDS).

Assumptions for 2016 made in creating this specification

A1	The census will use COLLECT as the data collection mechanism
A2	The department will only accept submissions in XML format, but a CSV to XML converter will be provided to convert fixed format CSV data into the required XML format.
A3	For the purposes of this collection the following ages are defined as: A 2 year old has a date of birth between 1 January 2013 and 31 December 2013 A 3 year old has a date of birth between 1 January 2012 and 31 December 2012; and A 4 year old as have a date of birth between 1 January 2011 and 31 December 2011. See scope in section 1.2 for more information.

1. Introduction

1.1 Purpose and audience

This specification describes the 2016 early years (EY) census of private, voluntary and independent (PVI) providers and children. The document will enable local authorities, and those such as software suppliers working on their behalf, to prepare the necessary processes and data to ensure compliance.

The specification covers the expected census return to the department and the validation rules which will be applied.

The following diagram outlines the overall scope of the collection:
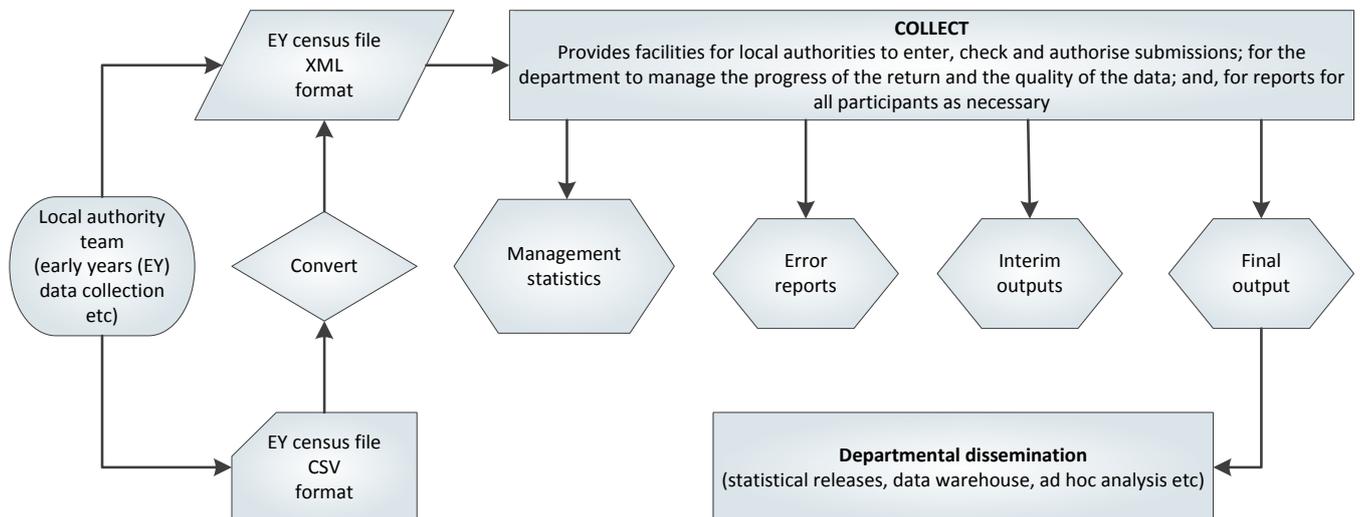
Figure 1: High level data collection process

This requirements specification consists of three documents:

This Word document containing a narrative; sample XML message structures and CSV records; and validation rules;

The common basic data set (CBDS) Excel workbook;

XML schemas which will be supplied separately.

1.2 Scope of the EY census

1.2.1 Scope

The 2016 (EY) census consists of establishment and pupil / child level data (as detailed in sections 3 and 4 respectively). Pupil / child level information is collected for 2, 3 and 4 year old children.

1.2.2 Private, voluntary and independent settings (PVI)

The EY census is required from any PVI setting where one or more of their children (aged 2, 3 and 4 years as at 31 December 2015) are receiving early education that is funded by the department.

Any setting which has no children aged 2, 3 or 4 receiving funding should **not** make an EY census (EYC) return.

1.2.3 Establishments not included

This census does **not** cover local authority maintained nursery or nursery classes in maintained schools and academies which are included as part of the school census. Additionally, an EYC return is **not** required from those PVI settings without funded children aged 2, 3 or 4 years.

1.2.4 Census date

The EY census is collected annually. The census date is the third Thursday in January. Unless otherwise stated, the terms 'census date', 'census day' in this document will refer to 21 January 2016 and 'the week of the census' refers to the week commencing 18 January 2016.

Analysis of the data collected via the 2015 spring school census and 2015 early years census has identified a small number of cases where schools and/or local authorities have completed both the school census and early years census for the same set of children at the same establishment.

1.2.5 Which census should be used?

Schools with onsite early years **funded** provision make their return via **EITHER** the school census **OR** the early years census**, BUT NOT BOTH**. This paragraph sets out which census is to be used to return data on children receiving **funded** early education:

- registered pupils of the school (2, 3 and 4 year olds depending on the statutory age range of the school) are recorded via the **school census** (and **not** the early years census)
- children (aged 2, 3 and 4) attending a separate Ofsted registered PVI provider on a school site, are recorded via the **early years census** (and **not** the school census)
- children attending s27 (governor run) provision should be **either**:
  - recorded via the **school census** if they are registered pupils of the school (can include 2 year olds if the school's statutory age range covers 2-year-olds); **or**
  - recoded via the **early years census** if they are not registered pupils of the school

Children may, of course, appear on the two different censuses if their free entitlement is split between two different settings. In which case, of course, the number of funded hours for each child across all provision is limited to 15 (or 25 if they are aged 4 at the start of the academic year and attending full-time).

1.3 Business rationale

The business rationale behind this approach is the principle that local authorities and EY settings are expected to hold / manage data for their own purposes, or have data held on their behalf so that they can access and extract it.

1.4 Structure of the EY census

The 2016 EY census consists of two levels, namely a pupil / 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 EY setting.

For each EY setting within the LA
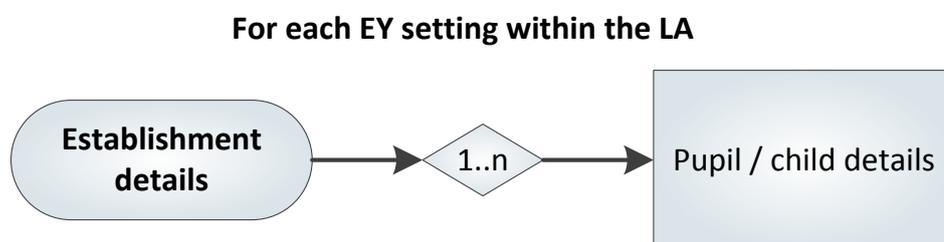
**Figure 2: Overall census structure**

1.5 Changes for 2016

1.5.1 New data items

a) Early years pupil premium [used for funding]

This new data item (see paragraph 4.2.2 (d) below) records the eligibility; and basis of funding; for the early years pupil premium. This information is used to fund schools and private, voluntary and independent providers and therefore must be accurately recorded.

2. Guidance section - header details

Section 5 describes two formats for the return of the data, XML or CSV. For either format, the data items required within the header are shown below. This is a standard header and some items will not be relevant to this census.

Collection <Collection> (200123) will be 'EYC';   Description: Name of the data collection eg EYC.
Survey term <Term> (200168) will be 'SPR';   Description: SPR denotes collection is carried out in the spring term.
Survey year <Year> (200124) will be '2016';   Description: The calendar year of the collection.
Survey reference date <ReferenceDate> (200125) will be '2016-01-21';   Description: The reference date is normally the day of the census or collection and. this is used as the baseline date from which comparisons with other dates in the return can be made.
Source level <SourceLevel> (800005) will be 'L';   Description: The source of the data submission. Set to L for a local authority system and S for a school system.
LA number <LEA> (200001) is the local authority number.   Description: Standard DfE three digit local authority number.
Software code <SoftwareCode> (800006) will be a free format field that can be populated with whatever identifier the software supplier wants to use.   Description: Software supplier reference
Release <Release> (800008) which is optional on returns to the department.
Serial No <SerialNo> (800007) will start at '001' and then be incremented by 1 each time a new file is prepared for submission.   Description: An incremented number, generated by a provider's software, enables data collection systems to identify re-submissions.
Date and time (<DateTime>) (200126) is the date and time when the file was prepared or generated in CCYY-MM-DDThh:mm:ss format.   Description: Date and time of generation of the return.
CBDS Level (<CBDSLevel>) (800011) will be 'establishment' or 'child'. Both should be provided.   Description: Shows which of the defined CBDS levels are present within a data return.

3. Guidance section - establishment level

3.1 Overall description and scope

This section describes the establishment level of the 2016 EY census.
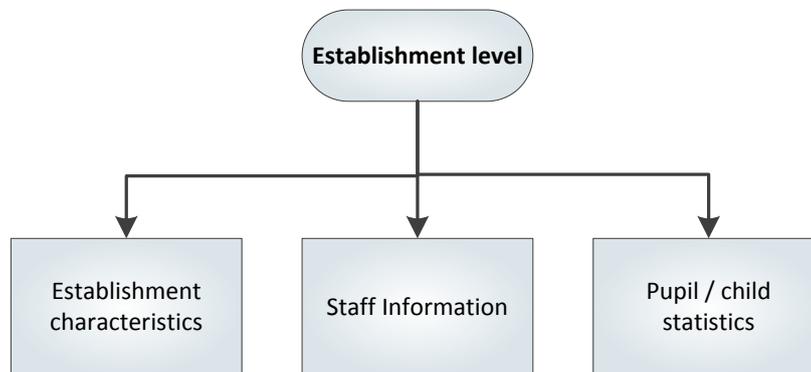
Figure 3: Establishment level modules

3.2 Outline data content

The return will contain three modules for each establishment (see Figure 3) - establishment characteristics, staff information and pupil/child statistics. The paragraphs below contain guidance. Section 5.2.3 contains the establishment level XML message structure which shows the modular nature of the return

3.2.1 Establishment characteristics module

This module contains information about the name of a setting, its postcode and contact details.

Please note the following:

Individual settings should have both a local authority EY number and an OFSTED number.

However, where a setting is registered with a childminder agency (CMA) the local authority will need to issue a local authority EY number to each setting before they submit a return.

Type of "EY setting" and "EY day care" are only required for settings whose category of EY provider is private or voluntary (PRIV or VOLY) and should not be provided for settings with other categories of EY provider.

EY provider category "other" is only required for settings whose category of EY provider is "other" (OTHR).

EY setting type "other" is only required for settings whose category of EY provider is private or voluntary (PRIV or VOLY) and type of EY setting is "other" (OTH).

EY day care "other" is only required for settings whose category of EY provider is private or voluntary (PRIV or VOLY) and EY day care is "other" (O).

The data item <EYFundingWeeks> (200601) shows for how many weeks in the calendar year 2015 the provider is open **and funded** by the local authority. This enables those local authorities that currently spread the funded entitlement over more than 38 weeks of the year, in response to parental demand, to receive accurate funding. This item is mandatory for some settings and optional for others, according to the following rules:

If the number of funded weeks is greater than 38, a value must be provided. In this case, the item will be used together with a child-level item, total funded spring hours; data item <TotalFundedSpringHours> (100419), which is described in the next section;

If the number of funded weeks is less than or equal to 38, then the item is optional. However, it should be provided where possible since this information helps the department to monitor patterns of provision.

3.2.2 Staff Information module

This module contains the required information about the staff working at the EY settings. It is required for all settings.

Please note the following:

There are two sections on teaching staff - the first relates to the whole establishment and the other to those involved in the provision for 2, 3 and 4 year olds.

Total teaching staff at establishment; data item <EstabTeachingTotal> (200629) and total teaching staff at establishment with early years professional status (EYPS); data item <EstabEYPSteachers> (200565) or qualified teacher status (QTS); data item <EYQTS> (200645), should reflect the whole of the establishment and not just the early years part.

Teaching staff are defined as those with and without EYPS or QTS who are involved in providing the early years curriculum for the foundation stage.

Information about the staff should relate to those that have been present in the week of the census. If unusual circumstances occur, such as the premises not being available, then usual staffing levels should be provided.

Zero is to be input / provided for data items in this module that do not apply to the setting and, as such, there will be no blank items.

3.2.3 Pupil / child statistics module

Information collected as part of this module is based only on those PVI settings that have any funded children (aged 2, 3 or 4 as at 31 December 2015) at the time of the census.

In such settings, a separate count is required of 2, 3 and 4 year old children, both funded and unfunded.

Any PVI setting within the authority that does not have any funded children aged 2, 3 or 4 at the time of the census must **NOT** submit an EYC return.

3.3 Coverage and timing

The data provided must apply to the PVI provider as of the census week (ie week commencing Monday 18 January 2016). A return is expected for all PVI providers who are receiving funding from the local authority to provide funded early education.

4. Guidance section – pupil / child level

4.1 Overall description and scope

This section describes the pupil/child level of the 2016 EY census. Data should only be returned for those funded children aged 2, 3 or 4 as at 31 December 2015.
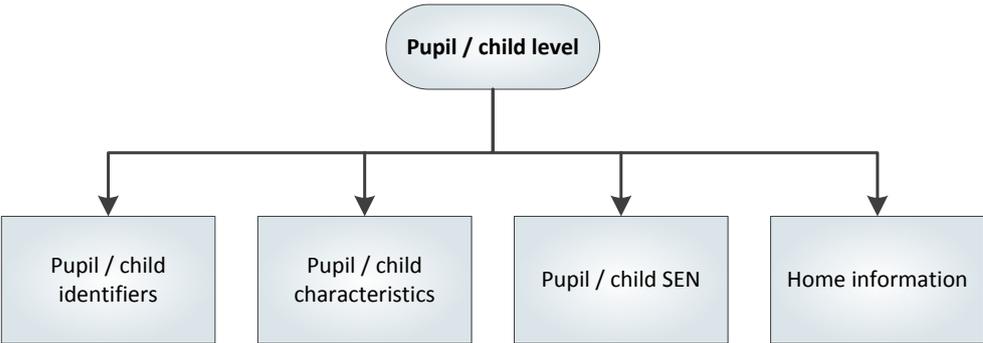
Figure 4: Pupil / child level modules

4.2 Outline data content

The return will contain four modules for each child (see figure 4) – pupil / child identifiers, pupil / child characteristics, pupil / child SEN and home information. The paragraphs below contain guidance. Section 5.2.4 contains the pupil level XML message structure which shows the modular nature of the return.

4.2.1 Pupil / child identifiers module

This module contains the child's name, date of birth and gender.

4.2.2 Pupil / child characteristics module

a) Ethnicity
This module contains the child's ethnicity (100319) code. Submission of this item is **optional** within the return to allow for variations in local authority practice. Authorities can return this data should they so choose.

The code set provided for the return, shown in the common basic data set (CBDS) contains the department's main codes and extended codes, and these are the same as those specified for the school census. Local authorities that use extended codes for pupils in schools should also use them for early years. Conversely, those that use only the main codes should also use these for early years.

Please note: The code for Gypsy / Roma has had 3 sub-sets added:

- Gypsy
- Roma
- Other Gypsy / Roma

Whilst the main code remains in use, these new codes provide scope for more detailed classification where required.

b) Funded hours and hours at setting

The module also contains the number of funded hours and the total number of hours, both funded and unfunded, spent by the child at the setting during the week of the census.

Total funded spring hours; data item <TotalFundedSpringHours> (100419) must be provided where the establishment-level item EY funding weeks; data item <EYFundingWeeks> (200601) is greater than 38. This must show the total number of hours for which the LA is paying for the child between 1 January and 31 March inclusive. If EY funding weeks; data item <EYFundingWeeks> (200601) is less than or equal to 38, or is omitted, then this item is not required and can be omitted.

c) Basis for funding

This data item; <FundingBasis> (100576), records the basis on which a 2 year old has been funded for an early education place. This information will be provided for the EY census by the local authority providing the funding for a 2 year old child rather than the early years setting that provides the education for that child. This data item is not required for 3 and 4 year olds.

Children may meet more than one criterion given in the codeset below and each will need to be returned in the census.

Code	Description
ECO	Economic criteria
HSD	High-level SEN or disability
LAA	Looked after or adopted from care

d) Early years pupil premium [used for funding]

Early years pupil premium (EYPP) was introduced for disadvantaged three and four year olds in April 2015. All three and four year olds are entitled to up to 15 hours per week of government funded early education for 38 weeks of the year. Children will be eligible for EYPP (100559) if they are receiving any hours of funded early education and:

- meet the benefits related criteria for Free School Meals (please note: meals delivered as part of the universal entitlement are **not** FSM)

- are in the care of the local authority (in England or Wales)

- have left care (in England or Wales) through:

    o adoption

    o special guardianship

    o a child arrangement order (formally known as a residence order)

The department also record the basis of eligibility (100560):

- [EE] – eligible through economic reasons

- [EO] – eligible through other reasons

- [EB] – eligible through both reasons

- [EU] – eligible through unknown basis

4.2.3 Pupil / child SEN module

This module contains the child's special educational needs and disability (SEND) provision. The special educational needs and disability definitions are consistent with the 2015 SEND Code of Practice.

4.2.4 Home information module

This module contains the child's home address which can be provided in one of two formats; in both of which, the postcode must always be supplied (200096); which are:

BS7666 (V1.4) address:

- SAON (200089)

- PAON (200090)

- street (200091)

- locality (200092)

- town (200093)

- administrative area (200094)

- post town (200095)

Or line address format items

- address line 1 (200101)

- address line 2 (200102)

- address line 3 (200103)

- address line 4 (200104)

- address line 5 (200105)

Providers should not mix the two formats.

4.3 Coverage and timing

Census data must be provided for children at the setting who receive funding for places during the week of the census, provided they are aged 2, 3 or 4. Assumption A3 sets out the relevant dates of birth.

5. Data return formats

Please note that 'example data' shown in this section is for illustration only.

5.1 Available formats

The EY return is to be submitted to the department in XML format as described in this section.

There is provision to convert fixed format CSV data into the required XML format by using a provided CSV to XML converter which is available from the department on request.

The department has provided a data entry spreadsheet which enables the input of file header and individual child record information. On completion of entry of the data the file is then converted to XML format, via the spreadsheet, to allow for uploading to COLLECT. The data entry spreadsheet will be made available on the [department's website](#).

The following general points should be noted for either format.

5.1.1 Data items with no values

There are three scenarios when there may be no values for particular data items. These are:

Standard header information that is not relevant to this census. The only data item that should not be present is: Establishment

Values contingent on the content of other data items. These items are:

- (EY) setting type
- (EY) provider category other
- (EY) setting type other
- (EY) day care
- (EY) day care other
- total funded spring hours

Values which are described in this specification as optional are:

- child ethnicity
- pupil / child preferred surname
- pupil / child middle names

- contact middle names

- (EY) funding weeks

- release

In these scenarios the XML tag is not required to be present in the EYC return.

In all other scenarios, a missing item or value will result in an error being generated. Within XML, where an optional item is omitted, the xml tag would not be shown ie the tag is also omitted. Within CSV, an optional item that is omitted is recorded / shown by including a new comma separator.

5.1.2 Block entry

For suppliers creating applications for local authority or EY settings, a block entry facility for fields is highly desirable in order to save time. This should allow the user to choose a selection of children (eg a year group) and specify a value to be applied to all. However, it should also allow data to be edited on an individual basis.

5.2   XML format

An XML submission will be a single message consisting of a:

- header

- node containing data on one establishment

- series of repeated nodes containing data on one or more funded children

5.2.1 Overall message structure

Overall message structure
<Message>
<Header> - see 5.2.1 below for details
<Establishment> see 5.2.2 below for details
<PupilsChildren> see 5.2.3 below for details
</Message>

5.2.2 XML header

A standard XML message header is required for each census file. The data items should be populated according to the guidance in section 2. The layout is as follows:

Header structure		
	<Header>	
		<CollectionDetails>
200123		<Collection>EYC</Collection>
200168		<Term>SPR</Term>
200124		<Year>2016</Year>
200125		<ReferenceDate>2016-01-21</ReferenceDate>
		</CollectionDetails>
		<Source>
800005		<SourceLevel>L</SourceLevel>
200001		<LEA>999</LEA>
800006		<SoftwareCode>Software Supplier Reference</SoftwareCode>
800008		<Release></Release>
800007		<SerialNo>001</SerialNo>
200126		<DateTime>2016-01-21T11:14:05</DateTime>
		</Source>
		<Content>
		<CBDSLevels>
800011		<CBDSLevel>Establishment</CBDSLevel>
800011		<CBDSLevel>Child</CBDSLevel>
		</CBDSLevels>
		</Content>
	</Header>	

(Please note that the <Source><Estab> item, used in some of the department's collections, is not used here and is therefore omitted).

5.2.3 Establishment XML message structure

Establishment XML message structure		
	<Establishment>	
		<EstablishmentCharacteristics>
200635		<URN>510001</URN>
200328		<OFSTEDURN>EY123456</OFSTEDURN>
200005		<EstablishmentName>Early Year Nursery</EstablishmentName>
200118		<PhoneNo>01234567890</PhoneNo>
200096		<PostCode>ZZ99 9ZZ</PostCode>
200369		<ContactSurname>Lastname</ContactSurname>
200370		<ContactForename>Firstname</ContactForename>
200080		<ContactMiddleNames>Betweenname</ContactMiddleNames>
200022		<Email>EarlyYearsNursery@provider.con</Email>
200329		<ContactPosition>Proprietor</ContactPosition>
200650		<EYProviderCategory>OTHR</EYProviderCategory>

200331	<EYProviderCategoryOther>Portage Service </EYProviderCategoryOther>
200654	<EYChildminderCategory>AGY</EYChildminderCategory>
200332	<EYSettingType>OTH</EYSettingType>
200333	<EYSettingTypeOther>Creche</EYSettingTypeOther>
200334	<EYDayCare>O</EYDayCare>
200335	<EYDayCareOther>Extended Day Care</EYDayCareOther>
200338	<ContinuousOpening>true</ContinuousOpening>
200339	<EYSchoolRelationship>True</EYSchoolRelationship>
200340	<EYEstablishmentPartnership>False </EYEstablishmentPartnership>
200341	<EYHoursOpen>11.5</EYHoursOpen>
200342	<EYWeeksOpen>40.0</EYWeeksOpen>
200601	<EYFundingWeeks>40.0</EYFundingWeeks>
	</EstablishmentCharacteristics>
	<StaffInformation>
200629	<EstabTeachingTotal>12</EstabTeachingTotal>
200344	<EstabQTSTeachers>3</EstabQTSTeachers>
200673	<EstabEYTSTeachers>4</EstabEYTSTeachers>
200565	<EstabEYPSteachers>2</EstabEYPSteachers>
200645	<EstabTeachersInEY>12</EstabTeachersInEY>
200646	<EYQTS>3</EYQTS>
200674	<EYEYTS>4</EYEYTS>
200647	<EYEYPS>2</EYEYPS>
	</StaffInformation>
	<PupilChildStatistics>
200644	<EY2Years>10</EY2Years>
200630	<EY3Years>16</EY3Years>
200631	<EY4Years>13</EY4Years>
	</PupilChildStatistics>
	</Establishment>

5.2.4 Pupil/child XML message structure

	Pupil/child XML message structure	Cardinality
	\<PupilsChildren\>	
	\<PupilChild\>	
	\<PupilChildIdentifiers\>	
100003	\<Surname\>Lastname\</Surname\>	
100004	\<Forename\>Firstname\</Forename\>	
100006	\<MiddleNames\>Betweenname\</MiddleNames\>	
100011	\<PreferredSurname\>Lastname\</PreferredSurname\>	
100292	\<PersonBirthDate\>1066-03-24\</PersonBirthDate\>	
100287	\<GenderCurrent\>2\</GenderCurrent\>	
	\</PupilChildIdentifiers\>	
	\<PupilChildCharacteristics\>	
100563	\<Ethnicity\>WBRI\</Ethnicity\>	
100290	\<FundedHours\>8\</FundedHours\>	
100291	\<HoursAtSetting\>15\</HoursAtSetting\>	
100419	\<TotalFundedSpringHours\>162.5\</TotalFundedSpringHours\>	
100559	\<EYPPE\>Y\</EYPPE\>	
100560	\<EYPPBF\>EE\</EYPPBF\>	
	\<FundingBasisItem\>	Each \<PupilChildCharacteristics\> group includes 0 to 1 \<FundingBasisItem\> group
	\<FundingBasisItems\>	Each \<FundingBasisItem\> group includes 1 to 3 \<FundingBasisItems\> group
100576	\<FundingBasis\>ECO\</FundingBasis\>	
	\</FundingBasisItems\>	
	\</FundingBasisItem\>	
	\</PupilChildCharacteristics\>	
	\<SpecialEducationalNeeds\>	
100580	\<SENprovision\>N\</SENprovision\>	
	\</SpecialEducationalNeeds\>	
	\<HomeInformation\>	
100121	\<PostCode\>ZZ99 9ZZ\</PostCode\>	
	\<BS7666Format\>	
100103	\<SAON\> 2 Flat\</SAON\>	
100109	\<PAON\> 1\</PAON\>	
100115	\<Street\>Lane Street\</Street\>	
100116	\<Locality\>Local Area\</Locality\>	
100117	\<Town\>Townbury\</Town\>	
100118	\<AdministrativeArea\>\</AdministrativeArea\>	
100119	\<PostTown\>Postaltown\</PostTown\>	
	\</BS7666Format\>	
	\<LineAddressFormat\>	
100128	\<AddressLine1\>1 Lane Street\</AddressLine1\>	
100129	\<AddressLine2\>Local Area\</AddressLine2\>	
100130	\<AddressLine3\>Townbury\</AddressLine3\>	
100131	\<AddressLine4\>Postaltown\</AddressLine4\>	

100132	<AddressLine5>Countyshire</AddressLine5>	
	</LineAddressFormat>	
	</HomeInformation>	
	</PupilChild>	
	</PupilsChildren>	

The column headed cardinality is used to indicate where groups of data items are repeatable and the number of times that they may be repeated.

5.2.5 Special notes for XML returns

The standard XML entity references should 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 &#233. 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 - see for example section 2.2 of Extensible Markup Language (XML) 1.0 (Fifth Edition).

The department recommends that the file is given a meaningful name that includes the local authority number, the EY setting URN and the 3 digit serial number. The file extension is .xml. This will help users in selecting the correct file(s) to upload to COLLECT.

5.3 CSV format

As an alternative to XML, a local authority may produce a comma separate value (CSV) format file. Please note that the e-Government Interoperability Framework encourages the use of XML for data transfer. XML is the department's format of choice and is preferred for future proofing. However, in order to allow local authorities the time for the development of XML facilities, a CSV file may be produced and converted using the supplied CSV to XML converter.

A CSV format data file is an ASCII text file consisting of a number of text records. One value, or data item, is separated from the next by a comma. The item can also be enclosed in double quotes - this is optional unless the text value **contains** a comma in which case it **must be** enclosed in double quotes eg Address Line 1 could contain "1, Lane Street". An empty text value is recorded as either "" or simply left blank (see examples of this below). The final item in each record does not have a comma after it.

For this census, the file must contain a number of different record types. The type of record is identified by the first text value. There should be a header record, an establishment record and a minimum of one child record.

The assumption is that data supplied by local authorities will never contain double quotes (ie "). If this is not the case for you, please contact the department as special handling of such characters is required.

Be careful if using Microsoft Excel, as the format of some fields may be changed, such as dates, when converting between Excel and CSV formats.

Some local authorities may use the CSV structures given in the following sections to enable their EY settings to provide the required information which the local authority then submits to the department via COLLECT. In such instances, local authorities will need to be aware that the EY settings are not expected to provide the basis for funding data items (100576) included in the pupil / child record. These data items must be provided by the local authority itself.

5.3.1 CSV header

The first record in any CSV file **must be** a header record. There can only be one header record in a file. A header record has the following structure:

Field	Description	Used in example
Record type	Identifies the record type, must be "H".	H
Collection (200123)	Name of the data collection. Fixed value of 'EYC'.	EYC
Survey term (200168)	'SPR' denotes collection is carried out in the spring term.	SPR
Survey year (200124)	The calendar year of the collection.	2016
Survey reference date (200125)	The reference date is normally the day of the census or collection and this is used as the baseline date from which comparisons with other dates in the return can be made.	2016-01-21
Source level (800005)	The source of the data submission. Set to L for a local authority system and S for a school system.	L
LA number (200001)	Standard departmental three digit local authority number.	999
Software code (800006)	Software code is available for suppliers to provide their own identifier. Description: Software supplier reference	Software supplier reference
Release (800008)	Optional on returns to the department. This can be a code / date (or combination) provided by	

Field	Description	Used in example
	the software supplier to assist in identification.	
Serial number (800007)	An incremented number (starting at '001') generated by a provider's software, enables data collection systems to identify re-submissions.	001
Date and time (800010)	Date and time when the file was prepared or generated in CCYY-MM-DDThh:mm:ss format.	2016-01-21T10:36:42
CBDS level (800011) 1	Fixed value of 'Establishment' Shows which of the defined CBDS levels are present within a data return.	Establishment
CBDS level (800011) 2	Fixed value of 'Child' Shows which of the defined CBDS levels are present within a data return.	Child

Example:

```
H,EYC,SPR,2016,2016-01-21,L,999,Software Supplier Reference,001,2016-01-21T10:36:42,
Establishment,Child
```

If the export facility on a source system does not allow you to add a header record you will have to add it manually. For example, use a text editor such as Windows notepad to open the export file and type in the appropriate header record at the beginning of the file. Be careful not to accidentally change anything else within the file.

5.3.2 CSV establishment record

An establishment record has the following structure:

Field/number	Description	Used in example
Record type	Identifies the record type, must be "E".	E
LA number (200001)	Is your local authority number.	999
Establishment unique reference number (200635)	The unique reference number (URN) is a 6 digit unique reference number that is allocated to records in sequential number order.	5100001

Field/number	Description	Used in example
Ofsted EY URN (200328)	Ofsted unique reference number for the EY Setting or CMA. (Old format is 6 digits - new format prefixes the digits with "EY").	EY123456
Establishment name (200005)	Establishment name in full.	Early Years Nursery
Telephone number (200118)	Main establishment telephone number which is used for official purposes.	01234567890
Post code (200096)	Code allocated by the post office to identify a group of postal delivery points.	ZZ99 9ZZ
EY provider email (200022)	Main e-mail address.	EarlyYearsNursery@provider.con
Collection contact surname (200369)	Surname of the contact for the survey.	Lastname
Collection contact forename (200370)	Forename of the contact for the survey.	Firstname
Collection contact middle Names (200080)	Middle names of the contact for the collection.	Betweenname
Contact position (200329)	Position of contact within the EY setting.	Proprietor
Category of EY provider (200650)	Category of provision eg 'Private' or 'Voluntary'.	PRIV
EY provider category other (200331)	Category of provision where the category is not one of the named values.	Portage service
EY Childminder Category (200654)	Childminder category eg 'Agency' or 'Independent'	AGY
Type of EY setting (200332)	Type of setting eg day nursery.	OTH
EY setting type other (200333)	Type of setting where the EY setting is not one of the named values.	Creche
EY day care (200334)	Whether full day or sessional care is provided.	F

Field/number	Description	Used in example
EY day care other (200335)	Type of day care where the care provider is not one of the named values.	True
Continuous opening (200338)	Whether the setting is open continuously throughout the day.	Y
Maintained school relationship (200339)	Indicates whether an EY setting operates on the premises of a maintained school, or has a contract or partnership agreement with a maintained school.	True
Other establishment partnership (200340)	Indicates whether an EY setting works in partnership with another establishment to provide funded early education.	False
EY hours open per week (200341)	Number of hours each week that the EY setting is open (to the nearest half hour, and where the half hour is represented by 0.5).	5
EY weeks open per year (200342)	Number of weeks per year that the EY setting is open (to the nearest half week, and where the half week is represented by 0.5).	40
Early years funding weeks (200601)	For how many weeks in the current calendar year is the provider open and funded by the local authority? (to the nearest half week, and where this is represented by 0.5). This item is only mandatory for providers open and funded for over 38 weeks.	40
Total teaching staff at establishment (200629)	The number of staff at an establishment from which EY data is collected. Includes EY and other staff.	12
Total staff at establishment with QTS (200344)	The number of staff at an establishment from which EY data is collected with QTS.	3
Total staff at establishment with EYTS (200673)	The number of staff at an establishment from which EY data is collected with EYTS.	4

Field/number	Description	Used in example
Total staff at establishment with EYPS (200565)	The number of staff at an establishment from which EY data is collected with EYPS.	2
Teaching staff participating in EY education (200645)	Number of staff working directly with 2, 3 and 4 year old children.	12
EY staff with QTS (200646)	Number of staff working directly with 2, 3 and 4 year old children with QTS.	3
EY staff with EYTS (200674)	Number of staff working directly with 2, 3 and 4 year old children with EYTS.	4
EY staff with EYPS (200647)	Number of staff working directly with 2, 3 and 4 year old children with EYPS.	2
Number of 2 year olds (200644)	Total number of 2 year olds accommodated (funded and non-funded children). Zero means none at this age.	10
Number of 3 year olds (200630)	Total number of 3 year olds accommodated (funded and non-funded children). Zero means none at this age.	16
Number of 4 year olds (200631)	Total number of 4 year olds accommodated (funded and non-funded children). Zero means none at this age.	13

Example:

E,999,510001,EY123456,Early Years Nursery,01234567890,ZZ99 9ZZ,
EarlyYearsNursery@provider.con,Lastname,Firstname,Betweenname,Proprietor,PRIV,Portage
Service, AGY,OTH,Creche,F,True,Y,True,False,5,40,40,12,3, 4,2, 12,3, 4,2, 10,16,13

5.3.3 CSV pupil /child record (single setting and one child)

A child record has the following structure:

Field	Description	Used in example
Record type	Identifies the record type, must be "C".	C
Establishment unique reference number (200635)	Must match the setting URN on the associated establishment record.	510001
Pupil / child surname (100003)	Full legal surname (derived from family, clan or marital association) of the child.	Lastname
Pupil / child forename (100004)	Full given first name of the child (not common contractions).	Firstname
Pupil / child middle names (100006)	In full, not shortened or familiar versions. If pupil has no middle name(s) then this field must be left blank.	Betweenname
Pupil / child preferred surname (100011)	The surname preferred by the child (as written) most commonly used in the establishment (for pupils in alternative provision, the surname most commonly used in the local authority).	Lastname
Date of birth (100292)	Date of birth of child.	1066-03-24
Pupil / child gender (100287)	Gender of child	2
Child ethnicity (100563)	Child ethnic code.	WBRI
Funded hours (100290)	Number of hours funded by a local authority for the child at the EY setting (to the nearest 0.5 hour).	8
Hours at setting (100291)	Total number of local authority funded and unfunded hours that the child spends at the EY setting (to the nearest 0.5 hour).	15
Total funded spring hours (100419)	Where the provider is funded for more than 38 weeks of the year, the number of hours for which the local authority is paying for the child between 1 January and 31 March (required to the nearest 0.5 hour).	162.5
Early years pupil premium eligibility (100559)	Eligibility to receive the early years pupil premium	Y
Early years pupil premium basis for funding (100560)	The basis on which funding is made	EE

Field	Description	Used in example
Basis for funding (100576) ECO	Basis on which a two-year-old child is eligible for funding – must have value ECO or blank	ECO
Basis for funding (100576) HSD	Basis on which a two-year-old child is eligible for funding – must have value HSD or blank	
Basis for funding (100576) LAA	Basis on which a two-year-old child is eligible for funding – must have value LAA or blank	
SEN provision (100580)	Provision types under the SEN Code of Practice.	N
Post code (100121)	The code allocated by the post office to identify a group of postal delivery points.	XX88 8XX
SAON (100103)	Flat, apartment name or number or other sub-division of a dwelling.	2 Flat
PAON (100109)	Dwelling name and/or number.	1
Street (100115)	Street name or street description that has been allocated to a street by the street naming authority.	Street Lane
Locality (100116)	The locality name refers to a neighbourhood, suburb, district, village, estate, settlement, or parish that may form part of a town, or stand in its own right within the context of an administrative area. Where an industrial estate contains streets it is defined as a locality in its own right.	Local Area
Town (100117)	The town name refers to a city or town that is not an administrative area, a suburb of an administrative area that does not form part of another town or a London district.	Townbury
Administrative area (100118)	The administrative area is a geographic area that may be the highest level local administrative area, which may be a county or a unitary authority, an island or island group or London.	Countyshire
Post town (100119)	Post office usually assigns these based on sorting office.	Postaltown
Address line 1 (100128)	First line of address.	

Field	Description	Used in example
Address line 2 (100129)	Second line of address.	
Address line 3 (100130)	Third line of address.	
Address line 4 (100131)	Fourth line of address.	
Address line 5 (100132)	Fifth line of address.	

Example (this example uses the BS7666 (v1.4) format and leaves the line address items blank):

```
C,510001,Lastname,Firstname,Betweenname,Lastname,1066-03-
24,2,WBRI,8,15,162.5,Y,EE,ECO,,,,N, XX11 1XX,"    2     Flat"," 1",Street Lane,Local
Area,Townbury,Postaltown,CountyshShire,,,,,
```

If an early years setting is using this structure to submit data to the local authority, then the example would be as follows with no information included for basis for funding:

```
C,510001,Lastname,Firstname,Betweenname,Lastname,1066-03-
24,2,WBRI,8,15,162.5,Y,EE,,,,,N, XX11 1XX,"    2     Flat"," 1",Street Lane,Local
Area,Townbury,Postaltown,Countyshire,,,,,
```

5.3.4 CSV pupil / child record (single setting and two children)

Example of a complete return, with one setting and two children (All addresses are in line address format):

Field	Description	Used in example
Record type	Identifies the record type, must be "H".	H
Collection (200123)	Collection name (<Collection>, 200123) will be 'EYC'; Description: Name of the data collection eg EYC	EYC
Survey term (200168)	Term (<Term>, 200168) will be 'SPR'; Description: SPR denotes collection is carried out in the spring term.	SPR
Survey year (200124)	Year (<Year>, 200124) will be '2016'; Description: The calendar year of the collection.	2016
Survey reference date	Reference date (<ReferenceDate>,	2016-01-21

Field	Description	Used in example
(200125)	200125) will be '2016-01-21'; Description: The reference date is normally the day of the census or collection and this is used as the baseline date from which comparisons with other dates in the return can be made.	
Source level (800005)	Source level will be 'L' Description: Set to L for a local authority system and S for a school system.	L
LA number (200001)	LA (<LEA>, 200001) is the local authority number. Description: Standard DfE three digit local authority number.	999
Software code (800006)	Software code is available for suppliers to provide their own identifier. Description: Software supplier reference	Software supplier reference
Release (800008)	Release (<Release>) which is optional on DfE returns.	
Serial number (800007)	Serial No (<SerialNo>) will start at '001' and then be incremented by 1 each time a new file is prepared for submission. Description: An incremented number, generated by a provider's software, enables data collection systems to identify re-submissions.	001
Date and time (200126)	Date and time (<DateTime>) (200126) is the Date and time when the file was prepared or generated in CCYY-MM-DDThh:mm:ss format. Description: Date and time of generation of the return.	2016-01-21T10:36:42
CBDS level (800011) 1	Fixed value of 'establishment'. Description: Shows which of the defined CBDS levels are present within a data return.	Establishment
CBDS level (800012) 2	Fixed value of 'child'. Description: Shows which of the defined CBDS levels are present within a data return.	Child

Field	Description	Used in example
Record type	Identifies the record type, must be "E".	E
LA number (200001)	Is your local authority number.	999
Establishment unique reference number (200635)	The unique reference number (URN) is a 6 digit unique reference number that is allocated to records in sequential number order.	5100001
Ofsted EY URN (200328)	Ofsted unique reference number for the EY setting or CMA. (Old format is 6 digits, new format prefixes the digits with "EY")	EY123456
Establishment name (200005)	Establishment name in full	Early Years Nursery
Telephone number (200118)	Main establishment telephone number which is used for official purposes.	01234567890
Post code (200096)	Code allocated by the post office to identify a group of postal delivery points.	ZZ99 9ZZ
EY setting email (200022)	Main e-mail address.	EarlYearsNursery @provider.con
Collection contact surname (200369)	Surname of the contact for the survey.	Lastname
Collection contact forename (200370)	Forename of the contact for the survey.	Firstname
Collection contact middle names (200080)	Middle names of the contact for the collection.	Betweenname
Contact position (200329)	Position of contact within the EY Setting.	Proprietor
Category of EY provider (200650)	Category of provision eg 'private' or 'voluntary'.	PRIV
EY provider category other (200331)	Category of provision where the category is not one of the named values.	Portage Service
Type of EY setting (200332)	Type of setting eg day nursery.	OTH
EY setting type other (200333)	Type of setting where the EY setting is not one of the named values.	Crèche
EY day care (200334)	Whether full day or sessional care is provided.	F
EY day care other (200335)	Type of day care where the care provider is not one of the named values.	True
Continuous opening (200338)	Whether the setting is open continuously	Y

Field	Description	Used in example
	throughout the day.	
Maintained school relationship (200339)	Indicates whether an EY setting operates on the premises of a maintained school, or has a contract or partnership agreement with a maintained school.	True
Other establishment partnership (200340)	Indicates whether an EY setting works in partnership with another establishment to provide funded early education.	False
EY hours open per week (200341)	Number of hours each week that the EY setting is open (to the nearest half hour, and where the half hour is represented by 0.5).	5
EY weeks open per year (200342)	Number of weeks per year that the EY setting is open (to the nearest half week, and where the half week is represented by 0.5).	40
Early years funding weeks (200601)	For how many weeks in the current calendar year is the provider open and funded by the local authority? (to the nearest half week, and where this is represented by 0.5). This item is only mandatory for providers open and funded for over 38 weeks.	40
Total teaching staff at establishment (200629)	The number of staff at an establishment from which EY data is collected. Includes EY and other staff.	12
Total staff at establishment with QTS (200344)	The number of staff at an establishment from which EY data is collected with QTS.	3
Total staff at establishment with EYPS (200565)	The number of staff at an establishment from which EY data is collected with EYPS.	2
Teaching staff participating in EY education (200645)	Number of staff working directly with 2, 3 and 4 year old children.	12
EY staff with QTS (200646)	Number of staff working directly with 2, 3 and 4 year old children with QTS.	3
EY staff with EYPS (200647)	Number of staff working directly with 2, 3 and 4 year old children with EYPS.	2
Number of 2 year olds	Total number of 2 year olds	10

Field	Description	Used in example
(200644)	accommodated (funded and non-funded). Zero means none at this age.	
Number of 3 year olds (200630)	Total number of 3 year olds accommodated (funded and non-funded children). Zero means none at this age.	16
Number of 4 year olds (200631)	Total number of 4 year olds accommodated (funded and non-funded children). Zero means none at this age.	13
Record type	Identifies the record type, must be "C".	C
Establishment unique reference number (200635)	Must match the setting URN on the associated establishment record.	510001
Pupil / child surname (100003)	Full legal surname (derived from family, clan or marital association) of the child.	Lastname1
Pupil / child forename (100004)	Full given first name of the child (not common contractions).	Firstname1
Pupil / child middle names (100006)	In full, not shortened or familiar versions. If pupil has no middle name(s) then this field must be left blank.	Betweenname1
Pupil / child preferred surname (100011)	The surname preferred by the pupil (as written) most commonly used in the establishment (for pupils in alternative provision, the surname most commonly used in the local authority).	Lastname1
Date of birth (100292)	Date of birth of child.	1066-03-24
Pupil / child gender (100287)	Gender of child	2
Child ethnicity (100563)	Child ethnic code.	WBRI
Funded hours (100290)	Number of hours funded by a local authority for the child at the EY setting (to the nearest 0.5 hour).	8
Hours at setting (100291)	Total number of local authority funded and unfunded hours that the child spends at the EY setting (to the nearest 0.5 hour).	15
Total funded spring hours (100419)	Where the provider is funded for more than 38 weeks of the year, the number of hours for which the local authority is paying for the child between 1 January and 31 March (required to the nearest 0.5 hour).	162.5

Field	Description	Used in example
Early years pupil premium eligibility (100559)	Eligibility to receive the early years pupil premium	Y
Early years pupil premium basis for funding (100560)	The basis on which funding is made	EE
Basis for funding (100576) ECO	Basis on which a two-year-old child is eligible for funding – must have value ECO or blank	ECO
Basis for funding (100576) HSD	Basis on which a two-year-old child is eligible for funding – must have value HSD or blank	
Basis for funding (100576) LAA	Basis on which a two-year-old child is eligible for funding – must have value LAA or blank	
SEN provision (100580)	Provision types under the SEN code of practice.	N
Post code (100121)	The code allocated by the post office to identify a group of postal delivery points.	ZZ99 9ZZ
SAON (100103)	Flat, apartment name or number or other sub-division of a dwelling.	
PAON (100109)	Dwelling name and/or number.	
Street (100115)	Street name or street description that has been allocated to a street by the street naming authority.	
Locality (100116)	The locality name refers to a neighbourhood, suburb, district, village, estate, settlement, or parish that may form part of a town, or stand in its own right within the context of an administrative area. Where an industrial estate contains streets it is defined as a locality in its own right.	
Town (100117)	The town name refers to a city or town that is not an administrative area, a suburb of an administrative area that does not form part of another town or a London district.	
Administrative area (100118)	The administrative area is a geographic area that may be the highest level local administrative area, which may be a county or a unitary authority, an island or	

Field	Description	Used in example
	island group or London.	
Post town (100119)	Post office usually assigns these based on sorting office.	
Address line 1 (100128)	First line of address.	6 Lane Street
Address line 2 (100129)	Second line of address.	Local Area
Address line 3 (100130)	Third line of address.	Townbury
Address line 4 (100131)	Fourth line of address.	Postaltown
Address line 5 (100132)	Fifth line of address.	Countyshire
Record type	Identifies the record type, must be "C".	C
Establishment unique reference number (200635)	Must match the setting URN on the associated establishment record.	510001
Pupil / child surname (100003)	Full legal surname (derived from family, clan or marital association) of the child.	Lastname2
Pupil / child forename (100004)	Full given first name of the child (not common contractions).	Firstname2
Pupil / child middle names (100006)	In full, not shortened or familiar versions. If pupil has no middle name(s) then this field must be left blank.	
Pupil / child preferred surname (100011)	The surname preferred by the pupil (as written) most commonly used in the establishment (for pupils in alternative provision, the surname most commonly used in the LA).	
Date of birth (100292)	Date of birth of child.	1066-02-02
Pupil / child gender (100287)	Gender of child (as defined in common data elements).	1
Child ethnicity (100563)	Child ethnic code.	MWBC
Funded hours (100290)	Number of hours funded by a local authority for the child at the EY setting (to the nearest 0.5 hour).	8
Hours at setting (100291)	Total number of local authority funded and unfunded hours that the child spends at the EY setting (to the nearest 0.5 hour).	8
Total funded spring hours	Where the provider is funded for more than 38 weeks of the year, the number of	162.5

Field	Description	Used in example
(100419)	hours for which the local authority is paying for the child between 1 January and 31 March (required to the nearest 0.5 hour).	
Early years pupil premium eligibility (100559)	Eligibility to receive the early years pupil premium	Y
Early years pupil premium basis for funding (100560)	The basis on which funding is made	EE
Basis for funding (100576) ECO	Basis on which a two-year-old child is eligible for funding – must have value ECO or blank	
Basis for funding (100576) HSD	Basis on which a two-year-old child is eligible for funding – must have value HSD or blank	
Basis for funding (100576) LAA	Basis on which a two-year-old child is eligible for funding – must have value LAA or blank	LAA
SEN provision (100580)	Provision types under the SEN code of practice.	N
Post code (100121)	The code allocated by the post office to identify a group of postal delivery points.	XX88 8XX
SAON (100103)	Flat, apartment name or number or other sub-division of a dwelling.	
PAON (100109)	Dwelling name and/or number.	
Street (100115)	Street name or street description that has been allocated to a street by the street naming authority.	
Locality (100116)	The locality name refers to a neighbourhood, suburb, district, village, estate, settlement, or parish that may form part of a town, or stand in its own right within the context of an administrative area. Where an industrial estate contains streets it is defined as a locality in its own right.	
Town (100117)	The town name refers to a city or town that is not an administrative area, a suburb of an administrative area that does not form part of another town or a London district.	

Field	Description	Used in example
Administrative area (100118)	The administrative area is a geographic area that may be the highest level local administrative area, which may be a county or a unitary authority, an island or island group or London.	
Post town (100119)	Post office usually assigns these based on sorting office.	
Address line 1 (100128)	First line of address.	1 Road Lane
Address line 2 (100129)	Second line of address.	Local Area
Address line 3 (100130)	Third line of address.	Countyshire
Address line 4 (100131)	Fourth line of address.	
Address line 5 (100132)	Fifth line of address.	

Example (this example uses the line address format, and leaves the BS7666 (v1.4) items blank):

H,EYC,SPR,2016,2016-01-21,L,999,Software Supplier Reference,,001,2016-01-21T10:36:42,Establishment,Child,

E,999,510001,EY123456,Early Years Nursery,01234567890,ZZ99 9ZZ,EarlyYearsNursery@provider.con,Lastname,Firstname,Betweenname,Proprietor,PRIV,Portage Service,OTH,Creche,F,True,Y,True,False,5,40,40,12,3,2,12,3,2,10,16,13,

C,510001,Lastname1,Firstname1,Betweenname1,Lastname1,1066-03-24,2,WBRI,8,15,162.5,Y,EE,ECO,,,,N,ZZ99 9ZZ,,,,,,,,6 Lane Street,Local Area,Townbury,Postaltown,Countyshire,

C,510001,Lastname2,Firstname2,,,1066-02-02,1,MWBC,8,8,162.5,Y,EE,,,,LAA,,N,XX88 8XX,,,,,,,,,1 Road Lane,Local Area,Countyshire,,

If an early years setting is using this structure to submit data to the local authority, then the example would be as follows with no information included for basis for funding:

```
H,EYC,SPR,2016,2016-01-21,L,999,Software Supplier Reference,,001,2016-01-21T10:36:42,Establishment,Child,

E,999,510001,EY123456,Early Years Nursery,01234567890,ZZ99 9ZZ,EarlyYearsNursery@provider.con,Lastname,Firstname,Betweenname,Proprietor,PRIV,Portage Service,OTH,Creche,F,True,Y,True,False,5,40,40,12,3,2,12,3,2,10,16,13,

C,510001,Lastname1,Firstname1,Betweenname1,Lastname1,1066-03-24,2,WBRI,8,15,162.5,Y,EE,,,,,N,ZZ99 9ZZ,,,,,,,,6 Lane Street,Local Area,Townbury,Postaltown,Countyshire,,

C,510001,Lastname2,Firstname2,,,1066-02-02,1,MWBC,8,8,162.5,Y,EE,,,,,N,XX88 8XX,,,,,,,,1 Road Lane,Local Area,Countyshire,,
```

5.3.5   Special notes for CSV returns

File naming conventions

The department recommends that the file is given a meaningful name that includes the local authority number, the Setting URN and the 3 digit serial number. The file extension is .csv. This will help users in selecting the correct file(s) to upload to COLLECT.

6 Validation checks

An Excel workbook specifies the validation rules that are applied to the data by the department using the COLLECT system. They should also be applied, as far as possible, by local authorities prior to loading the data onto the COLLECT system and any issues resolved.

The Excel workbook is available on the department's [website](#).

Those data items included in the Tables but not appearing in the validation rules - that is, those not shown in the validation rules as "must be present" - should be supplied where available (eg pupil's middle name).

The table also shows which validations are 'errors' and which ones are 'queries'. An error is a failed validation check that **must be corrected**. A query is one which **must be investigated**, and potentially corrected, as it identifies data that would usually be invalid.

Where a validation rule is identical to one that is specified for the school census, the same Sequence number is used. Otherwise, new sequence numbers are used.

About this publication:

    enquiries https://www.education.gov.uk/form/data-collection-request-form
    download www.gov.uk/government/publications

Reference: DFE-00237-2015

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