



Department  
for Education

# **Early years census 2015**

**Business and technical specification,  
version 1.0**

**June 2014**

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## Version history

1.0	<p>All dates within the document have been updated to reflect the change in census year from 2014 to 2015 (including the birth date / age references for children).</p> <p>1.2 Rewording to bring statement up to date.</p> <p>1.5.1 (a) Childminding networks removed and Childminders added</p> <p>1.5.2 (a) Childminder provider category added (RFC 703 refers)</p> <p>1.5.2 (b) Special educational needs added – reflecting the transition over the academic year from EY action and EY action plus to SEN support category. Further, the introduction of education, health and care (EHC) plans replace SEN statements.</p> <p>1.5.3 Use of XML tags to define data items introduced to bring the EY census processes in line with current processes.</p> <p>4.2.4 Address elements restated in line with current processes.</p> <p>5.2.3 &lt;EYChildminderCategory&gt; added to XML table (RFC 703 refers)</p> <p>5.2.4 Pupil/child XML structure – Data item number for &lt;SENprovision&gt; (100472) updated to (100536)</p> <p>5.3.2 EY childminder category added to CSV format</p> <p>6. Validation rules moved to a separate excel workbook.</p>	Phil Dent 09/06/2014
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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 2015 made in creating this specification

A1	The census will use COLLECT as the data collection mechanism
A2	DfE education data division 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	<p>For the purposes of this collection the following ages are defined as:</p> <ul style="list-style-type: none"><li>• A 2 year old has a date of birth between 1 January 2012 and 31 December 2012</li><li>• A 3 year old has a date of birth between 1 January 2011 and 31 December 2011; and</li><li>• A 4 year old as have a date of birth between 1 January 2010 and 31 December 2010.</li></ul> <p>See scope in section 1.2 for more information.</p>

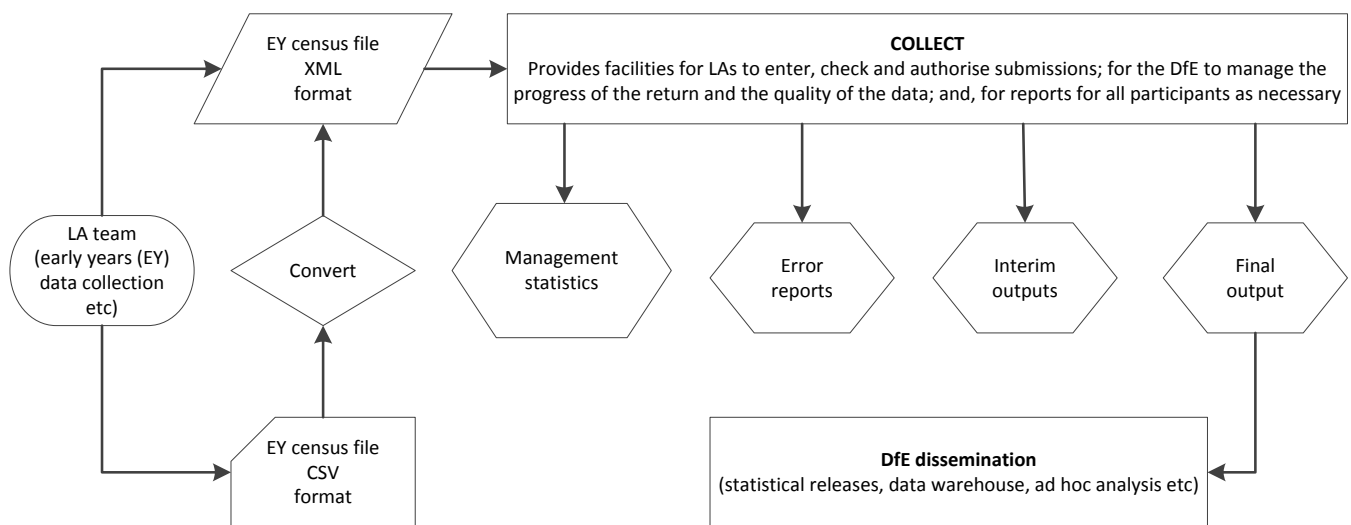
# 1. Introduction

## 1.1 Purpose and audience

This specification describes the early years (EY) census 2015 of private, voluntary and independent (PVI) providers and children. The document will enable local authorities (LAs), 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 for Education (DfE) 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

### (a) Scope

The EY census 2015 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.

## **(b) 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 2014) are receiving early-education that is funded by DfE.

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

## **(c) 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.

## **(d) Census date**

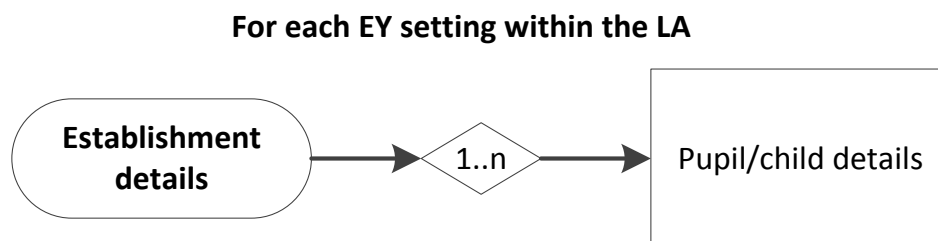
The EY census is collected annually. The census date is the third Thursday in January. Unless otherwise stated, the terms ‘census date’, ‘census day’ in this document will refer to 15 January 2015 and ‘the week of the census’ refers to the week beginning 12 January 2015.

## **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 EY census 2015 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.



**Figure 2: Overall census structure**

## 1.5 Changes for 2015

### 1.5.1 Childminder agencies

From September 2014 childminder agencies will be able to register with, and be inspected by, Ofsted. Agencies will not be childcare providers as they will not directly provide childcare, but, once registered with Ofsted, the agencies will be able to register individual childminders (and childcare providers on domestic premises) who will provide this service. This means that individual childminders will have a choice: either register directly with Ofsted (as now); or, register with a childminder agency.

The introduction of childminder agencies alters the method used by local authorities to collect data and means that the authority will have to collect data from both childminder agencies (on behalf of all childminders registered with the agency) as well as from independent childminders.

#### 1. Independent childminders

Independent childminders (who are not part of an agency) will be required to submit a childminder return to their local authority.

Local authorities with childminder networks (who previously submitted aggregated returns for the network) are now required to submit an individual return for each independent childminder.

As such, the 'CNET' (childminding network) code has been removed from the category of providers.

#### 2. Childminder agencies

Childminder agencies will be required to submit an individual level return for each childminder registered with them to the childminders' home LA (ie the LA providing funding)

In both instances the childminder and any colleagues working with them, should be recorded as the number of staff. For example, a childminder working together with another childminder and an assistant would be recorded as three staff.

#### **Note:**

The Childcare Act indicates that if you provide childcare and work with three, or more, people on domestic premises (after 1 September 2008) then you are either classified as an early or later years childcare provider or both but not as a childminder. Therefore, an individual childminder working with three or more adults will need to be recorded as an early years provider (private, voluntary or other) in the census.



## 1.5.2 New data items

### (a) Childminder provider category

To gain a more accurate and detailed picture about how and when funded early education places are delivered by childminders, a new mandatory data item has been introduced. It will only need to be completed for providers with a category of 'CHMD' (childminder).

Code	Description
AGY	Part of a child-minding agency
IND	Individual child minder

### (b) Special educational needs (SEN)

In line with changes introduced in the [Children and Families Act 2014](#), new codes have been added to allow the recording of pupils with an education, health and care (EHC) Plan and pupils provided with 'SEN support'. 'SEN support' has replaced 'early years action' and 'early years action plus'.

During the transitional period (at least for the 2014 to 2015 academic year) EY providers will be able to record pupils as having either a statement or an EHC plan. EY Providers may have some pupils with statements and some who have already moved to EHC plans but no individual pupil can have both.

The transition period for the change from the EY action /EY action plus categories to the new single 'SEN support' category will be available to the end of the 2015 summer term. We expect EY providers to review their current cohort of pupils in the 'EY action / EY action plus' categories and the support that is provided as they do normally (ie at least termly or as new pupils enter the school) and to record pupils under the 'SEN support' category as described in the new code of practice as part of this regular review.

## 1.5.3 Existing data items

(a) The use of XML tags to define data items has been propagated throughout the document to replace descriptive text. This brings the EY census in line with other census document standards.

(b) The section on validation rules has been removed from the technical specifications and now reside within a separate excel workbook. This brings the EY census in line with other census document standards.

## 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.

<p>Collection &lt;Collection&gt; (200123) will be 'EYC';  <i>Description: Name of the data collection eg EYC.</i></p>
<p>Survey term &lt;Term&gt; (200168) will be 'SPR';  <i>Description: SPR denotes collection is carried out in the spring term.</i></p>
<p>Survey year &lt;Year&gt; (200124) will be '2015';  <i>Description: The calendar year of the collection.</i></p>
<p>Survey reference date &lt;ReferenceDate&gt; (200125) will be '2015-01-15';  <i>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.</i></p>
<p>Source level &lt;SourceLevel&gt; (800005) will be 'L';  <i>Description: The source of the data submission. Should be set to L for a local authority system and S for a school system.</i></p>
<p>LA number &lt;LEA&gt; (200001) is the LA Number.  <i>Description: Standard DfE three digit local authority number.</i></p>
<p>Software code &lt;SoftwareCode&gt; (800006) will be a free format field that can be populated with whatever identifier the software supplier wants to use.  <i>Description: Software supplier reference</i></p>
<p>Release &lt;Release&gt; (800008) which is optional on DfE returns.</p>
<p>Serial No &lt;SerialNo&gt; (800007) will start at '001' and then be incremented by 1 each time a new file is prepared for submission.  <i>Description: An incremented number, generated by a provider's software, enables data collection systems to identify re-submissions.</i></p>
<p>Date and time (&lt;DateTime&gt;) (200126) is the date and time when the file was prepared or generated in CCYY-MM-DDThh:mm:ss format.  <i>Description: Date and time of generation of the return.</i></p>
<p>CBDS Level (&lt;CBDSLevel&gt;) (800011) will be 'establishment' or 'child'. Both should be provided.  <i>Description: Shows which of the defined CBDS levels are present within a data return.</i></p>

## 3. Guidance section - establishment level

### 3.1 Overall description and scope

This section describes the establishment level of the EY census 2015.

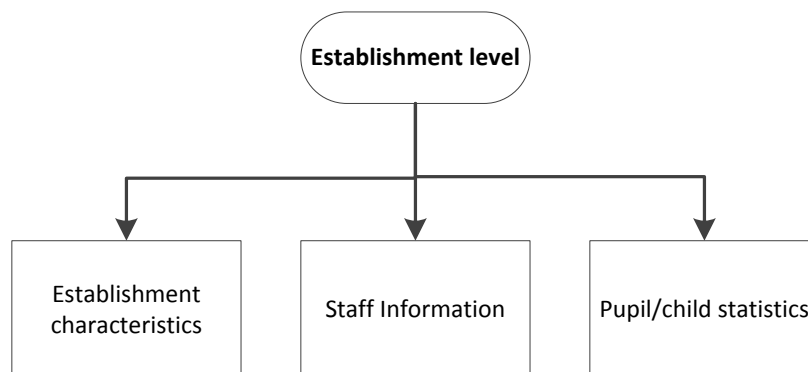


Figure 3: Establishment level modules

### 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:

- Settings should have both a DfE EY number and an OFSTED number
- 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 LA. This enables those LAs that

currently spread the free 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> (200345), 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 should be provided for data items in this module that do not apply to the setting. There should not be any 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 2014) 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 12 January 2015). A return is expected for all PVI providers who are receiving funding from the LA 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 EY census 2015. Data should only be returned for those funded children aged 2, 3 or 4 as at 31 December 2014.

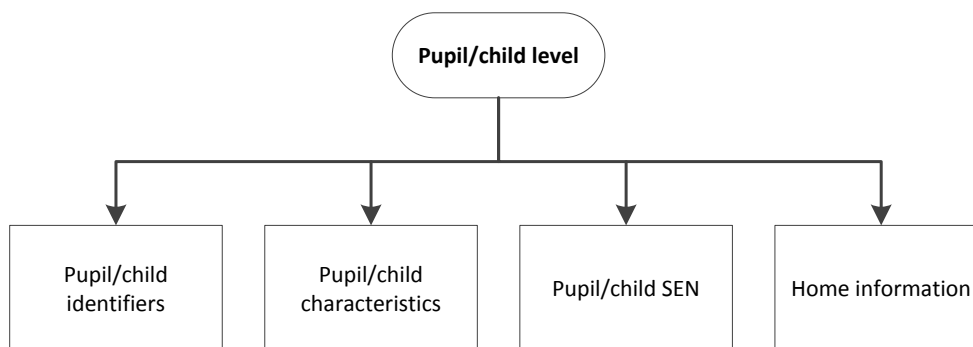


Figure 4: Pupil/child level modules

### 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 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 DfE main codes and extended codes, and these are the same as those specified for the school census. LAs 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.

### **(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> (100510), 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.

<b>Code</b>	<b>Description</b>
ECO	Economic criteria
HSD	High-level SEN or disability
LAA	Looked after or adopted from care
OTH	Other

## **4.2.3 Pupil/child SEN module**

This module contains the child's special educational needs (SEN) provision. The special educational needs definitions are consistent with the [SEN 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**

The 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 may be submitted to DfE 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 provided by DfE 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 can then be 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. These items 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, an optional item that is omitted should not show a tag. Within CSV, an optional item that is omitted is shown by a new comma separator.

### 5.1.2 Block entry

For suppliers creating applications for LA 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>2015</Year>
200125	<ReferenceDate>2015-01-15</ReferenceDate>
	</CollectionDetails>
	<Source>
800005	<SourceLevel>L</SourceLevel>
200001	<LEA>303</LEA>
800006	<SoftwareCode>Software Supplier Reference</SoftwareCode>
800008	<Release></Release>
800007	<SerialNo>001</SerialNo>
200126	<DateTime>2015-01-23T11:14:05</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 DfE collections, is not used here and should be omitted.

## 5.2.3 Establishment XML message structure

Establishment XML message structure	
	<Establishment>
	<EstablishmentCharacteristics>
200635	<URN>510001</URN>
200328	<OFSTEDURN>EY123456</OFSTEDURN>
200005	<EstablishmentName>North Park Nursery</EstablishmentName>
200118	<PhoneNo>01213456789</PhoneNo>
200096	<PostCode>NN1 3NN</PostCode>
200369	<ContactSurname>Smith</ContactSurname>
200370	<ContactForename>Sarah</ContactForename>
200080	<ContactMiddleNames>Susan</ContactMiddleNames>
200022	<Email>NorthParkNursery@aol.com</Email>
200329	<ContactPosition>Proprietor</ContactPosition>
200643	<EYProviderCategory>OTHR</EYProviderCategory>
200331	<EYProviderCategoryOther>Portage Service </EYProviderCategoryOther>
200651	<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>
200565	<EstabEYPSTeachers>2</EstabEYPSTeachers>
200645	<EstabTeachersInEY>12</EstabTeachersInEY>
200646	<EYQTS>3</EYQTS>
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>Bishop</Surname>	
100004	<Forename>Jane</Forename>	
100006	<MiddleNames>Julia</MiddleNames>	
100011	<PreferredSurname>Bishop</PreferredSurname>	
100292	<PersonBirthDate>2008-03-24</PersonBirthDate>	
100287	<GenderCurrent>2</GenderCurrent>	
	</PupilChildIdentifiers>	
	<PupilChildCharacteristics>	
100319	<Ethnicity>WBRI</Ethnicity>	
100290	<FundedHours>8</FundedHours>	
100291	<HoursAtSetting>15</HoursAtSetting>	
100419	<TotalFundedSpringHours>162.5</TotalFundedSpringHours>	
	<FundingBasisItem>	Each <PupilChildCharacteristics> group includes 0 to 1 <FundingBasisItem> group
	<FundingBasisItems>	Each <FundingBasisItem> group includes 1 to 4 <FundingBasisItems> group
100510	<FundingBasis>ECO</FundingBasis>	
	</FundingBasisItems>	
	</FundingBasisItem>	
	</PupilChildCharacteristics>	
	<SpecialEducationalNeeds>	
100536	<SENprovision>N</SENprovision>	
	</SpecialEducationalNeeds>	
	<HomeInformation>	
100121	<PostCode>NN1 3NN</PostCode>	
	<BS7666Format>	
100103	<SAON> 2 Flat</SAON>	
100109	<PAON> 123</PAON>	
100115	<Street>Kirk Lane</Street>	
100116	<Locality>Inner Area</Locality>	
100117	<Town>Redborough</Town>	
100118	<AdministrativeArea></AdministrativeArea>	
100119	<PostTown>Marske</PostTown>	
	</BS7666Format>	
	<LineAddressFormat>	
100128	<AddressLine1>6 High Street</AddressLine1>	
100129	<AddressLine2>North Park</AddressLine2>	
100130	<AddressLine3>Linbury</AddressLine3>	

100131	<AddressLine4>LittleTown</AddressLine4>	
100132	<AddressLine5>Shireborough</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 (&)	&amp;
Left angle bracket (<)	&lt;
Right angle bracket (>)	&gt;
Single quote / apostrophe (')	&apos;
Double quotes (")	&quot;

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 \(Fifth Edition\)](#).

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

## 5.3 CSV format

As an alternative to XML, an LA may produce a comma separate value format file (CSV). 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 should be 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 "6, High 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 LAs may use the csv structures given in the following sections to enable their EY settings to provide the required information which the LA then submits to the department via COLLECT. In such instances, LAs will need to be aware that the EY settings are not expected to provide the basis for funding data items (100510) included in the pupil/child record. These data items must be provided by the LA 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.	2015
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.	2015-01-15
Source level (800005)	The source of the data submission. Should be set to L for a local authority system and S for a school system.	L
LA number (200001)	Standard DfE three digit local authority number.	303
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 DfE returns. This can be a code / date (or combination) provided by the software supplier to assist in identification.	

Field	Description	Used in example
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.	2015-01-24T10:36:42
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,2015,2015-01-15,L,303,Software Supplier Reference,001,2015-01-24T10:36:42,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.	305
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. (Old format is 6 digits - new format prefixes the digits with "EY").	EY123456
Establishment name (200005)	Establishment name in full.	North Park Nursery
Telephone number (200118)	Main establishment telephone number which is used for official purposes.	01213456789



Field/number	Description	Used in example
Post code (200096)	Code allocated by the post office to identify a group of postal delivery points.	NN2 3NN
EY setting email (200022)	Main e-mail address.	<a href="mailto:NorthParkNursery@aol.com">NorthParkNursery@aol.com</a>
Collection contact surname (200369)	Surname of the contact for the survey.	Smith
Collection contact forename (200370)	Forename of the contact for the survey.	Sarah
Collection contact middle Names (200080)	Middle names of the contact for the collection.	
Contact position (200329)	Position of contact within the EY setting.	Proprietor
Category of EY provider (200643)	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 (200651)	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
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 free early education.	False

<b>Field/number</b>	<b>Description</b>	<b>Used in example</b>
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 LA? (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 (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,305,510001,EY123456,North Park Nursery,01213456789,NN2 3NN,  
 NorthParkNursery@aol.com,Smith,Sarah,,Proprietor,PRIV,Portage Service,  
 AGY,OTH,Creche,F,True,Y,True,False,5,40,40,12,3,2,12,3,2,10,16,135.3.3 CSV pupil  
 /child record (single setting and one child)

### 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.	Bishop
Pupil/child forename (100004)	Full given first name of the child (not common contractions).	Sarah
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.	Jane
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 LA).	Bishop
Date of birth (100292)	Date of birth of child.	2008-03-24
Pupil/child gender (100287)	Gender of child	2
Child ethnicity (100319)	Child ethnic code.	WBRI
Funded hours (100290)	Number of hours funded by an LA for the child at the EY setting (to the nearest 0.5 hour).	8
Hours at setting (100291)	Total number of LA 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 LA is paying for the child between 1 January and 31 March (required to the nearest 0.5 hour).	162.5

<b>Field</b>	<b>Description</b>	<b>Used in example</b>
Basis for funding (100510) ECO	Basis on which a two-year-old child is eligible for funding – must have value ECO or blank	ECO
Basis for funding (100510) HSD	Basis on which a two-year-old child is eligible for funding – must have value HSD or blank	
Basis for funding (100510) LAA	Basis on which a two-year-old child is eligible for funding – must have value LAA or blank	
Basis for funding (100510) OTH	Basis on which a two-year-old child is eligible for funding – must have value OTH or blank	
SEN provision (100472)	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.	NN1 3NN
SAON (100103)	Flat, apartment name or number or other sub-division of a dwelling.	2 Flat
PAON (100109)	Dwelling name and/or number.	136
Street (100115)	Street name or street description that has been allocated to a street by the street naming authority.	High Street
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.	North Park
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.	Linbury
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.	LittleTown
Post town (100119)	Post office usually assigns these based on sorting office.	Shireborough
Address line 1 (100128)	First line of address.	
Address line 2 (100129)	Second line of address.	
Address line 3 (100130)	Third line of address.	
Address line 4 (100131)	Fourth line of address.	

Field	Description	Used in example
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,Bishop,Sarah,Jane,Bishop,2008-03-24,2,WBRI,8,15,162.5,ECO,,,,N, NN1 3NN," 2 Flat"," 136",High Street,North Park,Linbury, LittleTown,Shireborough,,,,,
--

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

C,510001,Bishop,Sarah,Jane,Bishop,2008-03-24,2,WBRI,8,15,162.5,,,,,N, NN1 3NN," 2 Flat"," 136",High Street,North Park,Linbury, LittleTown,Shireborough,,,,,
---

### 5.3.4 CSV pupil /child record (single setting and 2 children)

Example of a complete return, with 1 setting and 2 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'; <i>Description: Name of the data collection eg EYC</i>	EYC
Survey term (200168)	Term (<Term>, 200168) will be 'SPR'; <i>Description: SPR denotes collection is carried out in the spring term.</i>	SPR
Survey year (200124)	Year (<Year>, 200124) will be '2015'; <i>Description: The calendar year of the collection.</i>	2015
Survey reference date (200125)	Reference date (<ReferenceDate>, 200125) will be '2015-01-15'; <i>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.</i>	2015-01-15
Source level (800005)	Source level will be 'L'; <i>Description: Should be set to L for a local authority system and S for a school system.</i>	L

<b>Field</b>	<b>Description</b>	<b>Used in example</b>
LA number (200001)	LA (<LEA>, 200001) is the LA number. <i>Description: Standard DfE three digit local authority number.</i>	303
Software code (800006)	Software code is available for suppliers to provide their own identifier. <i>Description: Software supplier reference</i>	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. <i>Description: An incremented number, generated by a provider's software, enables data collection systems to identify re-submissions.</i>	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. <i>Description: Date and time of generation of the return.</i>	2015-01-4T10:36:42
CBDS level (800011) 1	Fixed value of 'establishment'. <i>Description: Shows which of the defined CBDS levels are present within a data return.</i>	Establishment
CBDS level (800012) 2	Fixed value of 'child'. <i>Description: Shows which of the defined CBDS levels are present within a data return.</i>	Child
Record type	Identifies the record type, must be "E".	E
LA number (200001)	Is your local authority number.	305
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. (Old format is 6 digits, new format prefixes the digits with "EY")	EY123456
Establishment name (200005)	Establishment name in full	North Park Nursery

Field	Description	Used in example
Telephone number (200118)	Main establishment telephone number which is used for official purposes.	01213456789
Post code (200096)	Code allocated by the post office to identify a group of postal delivery points.	NN2 3NN
EY setting email (200022)	Main e-mail address.	<a href="mailto:NorthParkNursery@aol.com">NorthParkNursery@aol.com</a>
Collection contact surname (200369)	Surname of the contact for the survey.	Smith
Collection contact forename (200370)	Forename of the contact for the survey.	Sarah
Collection contact middle names (200080)	Middle names of the contact for the collection.	
Contact position (200329)	Position of contact within the EY Setting.	Proprietor
Category of EY provider (200643)	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 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 free early education.	False

<b>Field</b>	<b>Description</b>	<b>Used in example</b>
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 LA? (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 (200644)	Total number of 2 year olds accommodated (funded and non-funded). 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



<b>Field</b>	<b>Description</b>	<b>Used in example</b>
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.	Bishop
Pupil/child forename (100004)	Full given first name of the child (not common contractions).	Sarah
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.	Jane
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).	Bishop
Date of birth (100292)	Date of birth of child.	2008-03-24
Pupil/child gender (100287)	Gender of child	2
Child ethnicity (100319)	Child ethnic code.	WBRI
Funded hours (100290)	Number of hours funded by an LA for the child at the EY setting (to the nearest 0.5 hour).	8
Hours at setting (100291)	Total number of LA 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 LA is paying for the child between 1 January and 31 March (required to the nearest 0.5 hour).	162.5
Basis for funding (100510) ECO	Basis on which a two-year-old child is eligible for funding – must have value ECO or blank	ECO

<b>Field</b>	<b>Description</b>	<b>Used in example</b>
Basis for funding (100510) HSD	Basis on which a two-year-old child is eligible for funding – must have value HSD or blank	
Basis for funding (100510) LAA	Basis on which a two-year-old child is eligible for funding – must have value LAA or blank	
Basis for funding (100510) OTH	Basis on which a two-year-old child is eligible for funding – must have value OTH or blank	
SEN provision (100472)	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.	NN1 3NN
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 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 High Street

<b>Field</b>	<b>Description</b>	<b>Used in example</b>
Address line 2 (100129)	Second line of address.	North Park
Address line 3 (100130)	Third line of address.	Linbury
Address line 4 (100131)	Fourth line of address.	LittleTown
Address line 5 (100132)	Fifth line of address.	Shireborough
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.	Bright
Pupil/child forename (100004)	Full given first name of the child (not common contractions).	Damien
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.	2008-02-02
Pupil/child gender (100287)	Gender of child (as defined in common data elements).	1
Child ethnicity (100319)	Child ethnic code.	MWBC
Funded hours (100290)	Number of hours funded by an LA for the child at the EY setting (to the nearest 0.5 hour).	8
Hours at setting (100291)	Total number of LA funded and unfunded hours that the child spends at the EY setting (to the nearest 0.5 hour).	8

<b>Field</b>	<b>Description</b>	<b>Used in example</b>
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 LA is paying for the child between 1 January and 31 March (required to the nearest 0.5 hour).	162.5
Basis for funding (100510) ECO	Basis on which a two-year-old child is eligible for funding – must have value ECO or blank	
Basis for funding (100510) HSD	Basis on which a two-year-old child is eligible for funding – must have value HSD or blank	
Basis for funding (100510) LAA	Basis on which a two-year-old child is eligible for funding – must have value LAA or blank	LAA
Basis for funding (100510) OTH	Basis on which a two-year-old child is eligible for funding – must have value OTH or blank	
SEN provision (100472)	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.	NN2 4RR
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.	10 Free Road
Address line 2 (100129)	Second line of address.	North Park
Address line 3 (100130)	Third line of address.	Shireborough
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,2013,2013-01-17,L,303,Software Supplier Reference,,001,2013-01-26T10:36:42,Establishment,Child,
E,305,510001,EY123456,North Park Nursery,01213456789,NN2
3NN,NorthParkNursery@aol.com, Smith,Sarah,,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,Bishop,Sarah,Jane,Bishop,2008-03-24,2,WBRI,8,15,162.5,ECO,,,,N,NN1
3NN,,,,,,,,6 High Street,North Park,Linbury,LittleTown,Shireborough,
C,510001,Bright,Damian,,,2008-02-02,1,MWBC,8,8,162.5,,,LAA,,N,NN2 4RR,,,,,,,,,10
Free Road,North Park,Shireborough,,
```

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

```
H,EYC,SPR,2013,2013-01-17,L,303,Software Supplier Reference,,001,2013-01-26T10:36:42,Establishment,Child,
E,305,510001,EY123456,North Park Nursery,01213456789,NN2
3NN,NorthParkNursery@aol.com, Smith,Sarah,,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,Bishop,Sarah,Jane,Bishop,2008-03-24,2,WBRI,8,15,162.5,,,,N,NN1
3NN,,,,,,,,6 High Street,North Park,Linbury,LittleTown,Shireborough,
```

C,510001,Bright,Damian,,,2008-02-02,1,MWBC,8,8,162.5,,,,,N,NN2 4RR,,,,,,10 Free Road,North Park,Shireborough,,
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### **5.3.5 Special notes for CSV returns**

#### **File naming conventions**

DfE recommends that the file is given a meaningful name that includes the LA number, the Setting URN and the 3 digit serial number. The file extension should be .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 DfE using the COLLECT system. They should also be applied, as far as possible, by LAs 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.



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