



Department  
for Education

# **Early years foundation stage profile return 2019**

**Guide for submitting 2019 assessments**

**May 2019**

# Contents

Version history	3
1. Introduction	4
1.1. Data quality	4
1.2. Audience and purpose	4
1.3. Data protection and data sharing	4
1.3.1 Legal duties under the General Data Protection Regulation and the Data Protection Act 2018: privacy notices	5
1.3.2 Legal duties under the General Data Protection Regulation and the Data Protection Act 2018: data security	6
2. Data required for funded children	7
2.1. Data required	7
2.2. CTF pupil data	7
3. Guide	9
3.1. Overall description and scope	9
3.2. Expected list of schools / private, voluntary and independent settings submitting results	9
3.3. Local authority data reporting format	10
3.4. Schools / private, voluntary and independent settings recording and reporting options	10
3.4.1. School management information system (MIS)	10
3.4.2. Department for Education spreadsheet and paper sheet	11
3.5. Pupils for whom early years foundation stage profile results are required	11
4. COLLECT	13
4.1. Live system	13
4.2. DfE Sign-in and COLLECT access	13
5. General issues	14
Appendix 1: code set for data items	15
Local authorities	15
Appendix 2: Legislation	17
Appendix 3: Links to relevant websites	18
Appendix 4: Glossary	19

## Version history

Version	Change history	Author / date
0.1	Changes to the guide for the 2019 early years foundation stage profile collection have been made as listed below: <ul style="list-style-type: none"><li>• Roll over of dates</li><li>• Links have been updated</li></ul>	Chris Noble 13/03/2019
0.2	Changes following working group review	Chris Noble 14/02/2019
0.3	Changes following final quality checks (style guide etc)	Chris Noble 23/04/2019

# 1. Introduction

This guide covers the main requirements of the early years foundation stage profile 2019 data collection and submission arrangements to the Department for Education. It should be read in conjunction with the current [Common Basic Dataset](#) definitions and [assessment components](#) (A\_COMP 2018 to 2019 module).

## 1.1. Data quality

In order to properly ascertain the level that children in the early years foundation stage are working at, it is important that the data collected by providers and local authorities, for onward transmission to the Department for Education is both accurate and complete.

The [Early years foundation stage: assessment and reporting arrangements \(ARA\)](#) and the [Early years foundation stage profile handbook](#) should be consulted for further information about data quality in particular the section titled 'Moderation of the EYFS profile'.

## 1.2. Audience and purpose

Local authorities are required to collect and report the results for all funded children at the end of the early years foundation stage in both maintained schools (including academies) and private, voluntary and independent settings. Results for children in private, voluntary and independent settings are only required where the child is receiving early years education that is funded by the Department for Education. The children still eligible for funding in private, voluntary and independent settings will be born between 1 April 2014 and 31 August 2014.

The department does not require data to be submitted for unfunded children. If your local authority chooses to collect any data on these children for internal use, it should not be uploaded to the early years foundation stage profile COLLECT blade.

## 1.3. Data protection and data sharing

The General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018) mandate certain safeguards regarding the use of personal data by organisations, including the department, local authorities and schools. Both give rights to those (known as data subjects) about whom data is processed such as pupils, parents and teachers. This includes (amongst other information that we are obliged to provide):

- the right to know the types of data being held
- why it is being held
- to whom it may be communicated

For the purposes of data protection legislation, the terms ‘process’, ‘processed’ or ‘processing’ apply to any activity involving the personal data, such as:

- collecting
- storing
- sharing
- destroying
- etcetera – please note: this list is not exhaustive

Sections below provide additional information on two aspects of data protection legislation - namely privacy notices and data security. However, as data processors and controllers in their own right, it is important that schools process all data (not just that collected for the purposes of the school census) in accordance with the full requirements of the GDPR. Further information on the GDPR can be found in the Information Commissioner’s Office (ICO) [overview of the General Data Protection Regulation \(GDPR\)](#).

### **1.3.1 Legal duties under the General Data Protection Regulation and the Data Protection Act 2018: privacy notices**

Being transparent and providing accessible information to individuals about how you will use (process) their personal data is a key element of GDPR and the DPA 2018. The most common way to provide such information is through a privacy notice. Please see the Information Commissioner’s Office (ICO) website for [further guidance on privacy notices](#).

For schools and local authorities, this means that you must provide clear and accessible privacy notices that inform parents, pupils and staff:

- what data is collected about them
- for what purposes the data is collected
- how the data is used (processed)
- what the lawful basis is for processing
- for how long the data is retained
- with whom the data is shared
- why the data is shared
- whether you intend to transfer it to another country, and
- whether you do automated decision-making or profiling

The department provides suggested wording for [privacy notices](#) that schools and local authorities may wish to use. However, where the suggested wording is used, the school / local authority **must review and amend** the wording to reflect local business needs and

circumstances. This is especially important, as the school will process data that is not solely for use within census data collections. As such, to comply with GDPR and DPA 2018, the privacy notice should contain details of all uses of data within the school, which may include, for example, information used locally for pupil achievement tracking and (where relevant) the use of CCTV data. The privacy notice should also include [this link](#) to the gov.uk webpage, which provides information on how the department processes data.

It is recommended that the privacy notice is included as part of an induction pack for pupils and staff, is made available on the school website for parents, as well as featuring on the staff notice board / intranet. Privacy notices do not need to be issued on an annual basis, where:

- new pupils and staff are made aware of the notices
- the notices have not been amended
- they are readily available in
  - electronic, or
  - paper format

However, it remains best practice to remind parents of the school's privacy notices at the start of each term (within any other announcements / correspondence to parents) and it is important that any changes made to the way the school processes personal data are highlighted to data subjects.

### **1.3.2 Legal duties under the General Data Protection Regulation and the Data Protection Act 2018: data security**

Schools and local authorities have a (legal) duty under the General Data Protection Regulation (GDPR) and the Data Protection Act 2018 to ensure that any personal data they process is handled and stored securely. Further information on data security is available from the [Information Commissioner's Office](#).

Where personal data is not properly safeguarded, it could compromise the safety of individuals and damage your reputation. Your responsibility as a data controller extends to those who have access to your data beyond your organisation where they are working on your behalf; for example, where external IT suppliers can remotely access your information. The '[School procurement: selecting a school MIS](#)' and '[Responsible for information](#)' pages provide further guidance and advice.

It is **vital** that all staff with access to personal data understand the importance of:

- protecting personal data
- being familiar with your security policy
- putting security procedures into practice

As such, you should provide appropriate initial and refresher training for your staff.

## 2. Data required for funded children

### 2.1. Data required

- local authority number
- establishment number of the school: for local authority maintained schools and nursery schools. This is a 4-digit number.
- early years unique reference number of the school: for all other funded settings, including independent schools and private and voluntary settings. It is a 6-digit number (starting with a 5, 6 or 7) as used for early years census 2019 return.
- academic year: This year will be 2018 to 2019

### 2.2. CTF pupil data

- child's surname
- child's forename
- child's gender
- child's date of birth
- unique pupil number: this is a 13 character identifier
- home postcode

**Note:** You will be aware of the importance of a child's home postcode for analyses based on designated areas of deprivation. Local authorities must ensure that postcodes are included in the early years foundation stage profile data submitted to the Department for Education for every child, except where there are legal or exceptional reasons why this data is not available (for example, traveller children). In these circumstances, please ensure that a notepad entry is recorded in COLLECT providing reason.

There are 17 scales covering 7 areas of learning

	<b>Area of learning</b>	<b>Scale</b>	
Prime areas of learning	Communication and language	Listening and attention	<b>G01</b>
		Understanding	<b>G02</b>
		Speaking	<b>G03</b>
	Physical development	Moving and handling	<b>G04</b>
		Health and self-care	<b>G05</b>
	Personal, social and emotional development	Self-confidence and self-awareness	<b>G06</b>
		Managing feelings and behaviour	<b>G07</b>
		Making relationships	<b>G08</b>
Specific areas of learning	Literacy	Reading	<b>G09</b>
		Writing	<b>G10</b>
	Mathematics	Numbers	<b>G11</b>
		Shape, space and measures	<b>G12</b>
	Understanding the world	People and communities	<b>G13</b>
		The world	<b>G14</b>
		Technology	<b>G15</b>
	Expressive arts, designing and making	Exploring and using media and materials	<b>G16</b>
		Being imaginative	<b>G17</b>

The department requires that the school / setting record an assessment score for each of the 17 early learning goals.

1 for Emerging

2 for Expected

3 for Exceeding



## 3. Guide

### 3.1. Overall description and scope

The live 2019 COLLECT system will be made available on **Monday 3 June 2019**.

The submission deadline for loading data onto COLLECT is **Friday 26 July 2019**. This is to allow for error correction, credibility checking and authorisation to take place before the collection closes.

The collection will close on **Friday 6 September 2019**. It is of utmost importance that the data we receive by this date is complete and accurate, as it is used to inform the department's statistical releases on the early years foundation stage profile.

The database will not remain open to capture any residual returns for longer than is necessary after the September deadline. Local authorities will be informed of when we expect to close the database in due course and should note that amendments will not be accepted after the database is closed.

The department will not be providing a COLLECT school blade. There will be a single blade that local authorities can use to submit early years foundation stage profile data.

The department will continue to collect full individual child level data.

### 3.2. Expected list of schools / private, voluntary and independent settings submitting results

For 2019, the department will be providing local authorities with expected lists of providers, taken from the early years census return, the spring school census and the school level annual school census.

These lists will only contain information on the providers that we expect local authorities to be making returns for. They will not include any information on the number of children we expect results to be submitted for, although the department will continue to use this information internally to identify any returns with numbers of children significantly different to what we would expect in COLLECT.

The criteria we use to produce the expected lists is detailed below:

- early years census - all settings containing child level data from children born between 1 April 2014 to 31 August 2014 only. By default this includes funded children only.
- school census / school level annual school census - all settings (not including independent schools) including children born 1 September 2013 to 31 August 2014. By default this includes funded children only.

We ask that you supply the data collections helpdesk with any amendments to your expected list as soon as possible and preferably before the start of the collection.

### 3.3. Local authority data reporting format

The department continues to have no requirement for data in aggregate forms. A single XML file for each school and setting, containing all eligible pupils, will be created by local authorities central processing system software (such as Keypas, Capita-ONE, or a bespoke local authority system).

The separate school XML files will need to be zipped (with any filename of the local authorities choosing – the only requirement is the .zip suffix) and imported into COLLECT local authority early years foundation stage profile where the respective school / setting files will be extracted.

Data loaded into COLLECT is subjected to validation. For more details of the specific validation rules that will be applied, please see the [EYFSP Technical Specification](#).

After validation is complete you will be able to view your data return, observe the validation outcomes and decide if there is any further action on your part in response to the validations. For example, you may need to query something with a provider and return to COLLECT to make a change to the data. Once all appropriate action has been taken, you will need to “approve” the data so that the department can consider it to be finalised.

### 3.4. Schools / private, voluntary and independent settings recording and reporting options

Schools and private, voluntary and independent settings will have many of the same options for recording and reporting results that were available in 2018, such as (updated) school MIS and 2019 Department for Education spreadsheet (or paper sheet).

**Please note:** As there will be no COLLECT school blade for 2019, the Common Transfer File (CTF) should be transferred to the local authority.

#### 3.4.1. School management information system (MIS)

The school will create a CTF export file for submission to the local authority that will contain the child’s summary scale scores.

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

### 3.4.2. Department for Education spreadsheet and paper sheet

Schools and private, voluntary and independent settings which are recording early years foundation stage profile results, but do not have access to a MIS, can use the EYFSP 2019 spreadsheet or paper sheet.

The spreadsheet / paper score sheet is available to local authorities on request from the data collections helpdesk and the release to schools / private, voluntary and independent settings, is at the discretion of the local authority.

The spreadsheet “Export” option creates a CSV file containing the relevant pupil contextual data and the 17 individual scale scores that have been entered for loading into the local authority’s central processing system.

Please be aware that this CSV file cannot be imported into COLLECT and needs to be loaded into the local authority central software.

When returning data to the local authority, the spreadsheet needs to be transferred securely following the local authority’s local procedures.

If any schools / private, voluntary and independent settings complete a paper return, the local authority will need to enter these results into its central processing system or transfer the data into the Department for Education spreadsheet and create a CSV export file to load into its central processing system. Again, the paper sheet should be returned to the local authority in a secure way.

### 3.5. Pupils for whom early years foundation stage profile results are required

The profile should be completed during the summer term of the academic year in which a child reached age 5 unless:

- an exemption has been granted by the secretary of state from the profile
- the child has recently arrived from abroad and so an accurate and valid assessment cannot be completed.
- the child has spent a lengthy period of time away from the setting, for example: due to illness or medical treatment.

In these situations, the profile should be completed with an ‘A’ code for each scale within the profile.

Or

- the child is continuing in early years foundation stage profile provision beyond the year in which they turn 5

In these exceptional cases, assessment should continue throughout the child's time within EYFS provision. An EYFS profile should be completed once only, at the end of the year before the child moves into KS1.

For further information, practitioners should refer to the ['Assessment and reporting arrangements'](#).

Early years foundation stage profile results are **not** required for children who are non-funded at the end of the early years foundation stage, that is, children who do not receive funding from the local authority in relation to the early education entitlement for eligible three and four year olds.

Local authorities are required to collect and report to the Department for Education the summary results for:

- all children at the end of the early years foundation stage in their maintained schools and nurseries.
- children in private, voluntary and independent settings where the child is still in receipt of government funding at the end of the early years foundation stage (the funding for a child in a private, voluntary and independent setting ceases in the term following the child's 5th birthday).

The local authority software will only include in the XML files for importing into COLLECT - local authority early years foundation stage profile children in private, voluntary and independent settings who are still in receipt of funding. Any children no longer in receipt of funding who were included in the return submitted by the private, voluntary and independent setting will be ignored.

## 4. COLLECT

### 4.1. Live system

The live 2019 early years foundation stage profile COLLECT system will be available from Monday 3 June 2019. Further notifications will be emailed to the relevant local authority officers nearer the time, as will any further information as necessary.

### 4.2. DfE Sign-in and COLLECT access

User names and passwords for COLLECT are managed by the [DfE Sign-in](#) system. Your local authority has a delegated approver(s) who can allocate you access to departmental systems that use DfE Sign-in. If you require access to EYFSP on COLLECT, please contact the approver in your local authority.

More information is available on the [DfE Sign-in help screen](#).

You can also get help using the [DfE Sign-in service request form](#)

## 5. General issues

If you have any COLLECT or early years foundation stage profile queries of a general nature, please use the [data collections service request form](#).

Please use the [feedback form](#) if you have any comments about the data collection content on the web site, the service offered by the data collections helpdesk, the COLLECT system or any other aspect of our data collection service.

# Appendix 1: code set for data items

## Local authorities

<b>NORTH EAST</b>		<b>EAST MIDLANDS</b>		<b>OUTER LONDON</b>	
841	Darlington	831	Derby	301	Barking and Dagenham
840	Durham	830	Derbyshire	302	Barnet
390	Gateshead	856	Leicester	303	Bexley
805	Hartlepool	855	Leicestershire	304	Brent
806	Middlesbrough	925	Lincolnshire	305	Bromley
391	Newcastle upon Tyne	928	Northamptonshire	306	Croydon
392	North Tyneside	892	Nottingham	307	Ealing
929	Northumberland	891	Nottinghamshire	308	Enfield
807	Redcar and Cleveland	857	Rutland	203	Greenwich
393	South Tyneside			310	Harrow
808	Stockton-on-Tees			311	Havering
394	Sunderland			312	Hillingdon
				313	Hounslow
				314	Kingston upon Thames
				315	Merton
				317	Redbridge
				318	Richmond upon Thames
				319	Sutton
				320	Waltham Forest
<b>NORTH WEST</b>		<b>WEST MIDLANDS</b>		<b>SOUTH EAST</b>	
889	Blackburn with Darwen	330	Birmingham	867	Bracknell Forest
890	Blackpool	331	Coventry	846	Brighton and Hove
350	Bolton	332	Dudley	825	Buckinghamshire
351	Bury	332	Dudley	845	East Sussex
895	Cheshire East	884	Herefordshire	850	Hampshire
896	Cheshire West and Chester	333	Sandwell	921	Isle of Wight
909	Cumbria	893	Shropshire	886	Kent
876	Halton	334	Solihull	887	Medway
340	Knowsley	860	Staffordshire	826	Milton Keynes
888	Lancashire	861	Stoke-on-Trent	931	Oxfordshire
341	Liverpool	894	Telford and Wrekin	851	Portsmouth
352	Manchester	335	Walsall	870	Reading
353	Oldham	937	Warwickshire	871	Slough
354	Rochdale	336	Wolverhampton	852	Southampton
355	Salford	885	Worcestershire	936	Surrey
343	Sefton			869	West Berkshire
342	St. Helens			938	West Sussex
356	Stockport			868	Windsor and Maidenhead
357	Tameside			872	Wokingham
358	Trafford				
877	Warrington				
359	Wigan				
344	Wirral				
<b>YORKSHIRE AND HUMBER</b>		<b>EAST OF ENGLAND</b>			
370	Barnsley	822	Bedford		
380	Bradford	873	Cambridgeshire		
381	Calderdale	823	Central Bedfordshire		
371	Doncaster	881	Essex		
811	East Riding of Yorkshire	919	Hertfordshire		
810	Kingston Upon Hull, City of	821	Luton		
382	Kirklees	926	Norfolk		
383	Leeds	874	Peterborough		
812	North East Lincolnshire	882	Southend-on-Sea		
813	North Lincolnshire	935	Suffolk		
815	North Yorkshire	883	Thurrock		
372	Rotherham				
373	Sheffield				
384	Wakefield				
816	York				
		<b>INNER LONDON</b>			
		201	City of London		
		202	Camden		
		204	Hackney		
		205	Hammersmith and Fulham		
		309	Haringey		
		206	Islington		
		207	Kensington and Chelsea		
		208	Lambeth		
		209	Lewisham		
		316	Newham		
		210	Southwark		
		211	Tower Hamlets		
		212	Wandsworth		
		213	Westminster		

**SOUTH WEST**

- 800 Bath and North East Somerset
  - 838 Bournemouth, Chistchurch and Poole
  - 801 Bristol, City of
  - 908 Cornwall
  - 878 Devon
  - 839 Dorset
  - 916 Gloucestershire
  - 420 Isles of Scilly
  - 802 North Somerset
  - 879 Plymouth
  - 933 Somerset
  - 803 South Gloucestershire
  - 866 Swindon
  - 880 Torbay
  - 865 Wiltshire
- 
- 702 Service Children's Education Authority



## Appendix 2: Legislation

The following legislation underpins the requirement for the individual level data collection. The collection is a statutory requirement of providers and local authorities through regulations made under: Section 99 of the Childcare Act 2006 (Statutory Instrument 2008 No. 1722 and The Childcare (Provision of Information about Young Children) Regulations 2009.

Local authorities and providers do not need to obtain consent for the provision of information from parents of individual children. They must, however, meet their obligations to data subjects under the Data Protection Act 1998 and General Data Protection Legislation (GDPR)

## Appendix 3: Links to relevant websites

1. Information about completing the [early years foundation stage profile return](#)
2. Further information about the [early years foundation stage profile](#)

Local authorities can download a copy of the early years foundation stage profile [handbook](#)

3. Early years foundation profile statistics

The early years foundation stage profile results: 2018 to 2019 in England, containing headline figures from the data collection will be published on the government's [statistical publications website](#) on a date to be confirmed.

For reference, the 2018 publications are available at the following link.

[Early years foundations stage profile 2017 to 2018](#)

## Appendix 4: Glossary

<b>COLLECT</b>	COLLECT is a web based data collection tool. It has been developed and made available by the department for education and facilitates the data collection process. It enables the transfer of census data between local authorities and the department. It supports the management of the collection process, with various reports that monitor the quality and completeness of the return. Validation checking and error reporting is also built into COLLECT.
<b>CSV</b>	A comma-separated values (CSV) format data file is a text file consisting of a number of text records. Text values are separated by a comma and can optionally be enclosed in double quotes.
<b>CTF</b>	A <a href="#">Common Transfer File</a> is a file that contains statutory information about a child that should be transferred when they move schools and includes unique pupil number, surname, forename, date of birth, gender together with other information for example, assessments (end of key stage), attendance, special education needs and contacts. A complete list of fields can be found in the CTF guidance notes.
<b>Data sharing protocol</b>	When developing data collection the department is committed to four key principles. These are that: Data should be collected once and used many times Collection and sharing of data should be fully automated The value of any data collected should demonstrably outweigh the costs Personal data on individuals should be properly protected
<b>MIS</b>	Management information system(s) – propriety software system(s) used by schools and local authorities to collect, validate, store, and analyse a range of pupil, school, and workforce data.
<b>XML</b>	XML is the eXtensible Markup Language. It improves the functionality of the web by letting you identify your information in a more accurate, flexible, and adaptable way. XML contains a header followed by a repeating group of data. Government interoperability framework encourages the use of XML for data.



Department  
for Education

© Crown copyright 2019

This publication (not including logos) is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated. Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

To view this licence:

visit [www.nationalarchives.gov.uk/doc/open-government-licence/version/3](http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3)

email [psi@nationalarchives.gsi.gov.uk](mailto:psi@nationalarchives.gsi.gov.uk)

write to Information Policy Team, The National Archives, Kew, London, TW9 4DU

About this publication:

enquiries <https://www.education.gov.uk/form/data-collection-request-form>

download [www.gov.uk/government/publications](http://www.gov.uk/government/publications)

Reference: DFE-00065-2019



Follow us on Twitter:  
[@educationgovuk](https://twitter.com/educationgovuk)



Like us on Facebook:  
[facebook.com/educationgovuk](https://facebook.com/educationgovuk)