Department for Education

Early Years Foundation Stage Profile 2013 return

Business and technical specification – version 1.0

March 2013

Contents

Version History

0.1	First draft	Gerard Hassett 11/12/12
1.0	Baselined version. Changes from 2012 are listed below. 1.1: Purpose, scope and audience The first paragraph has been amended. 1.5: Changes for 2013 This is text which has been added for this specification 3.2.2: Assessment Module This section has been rewritten for 2013. The old text is shown in strike-through. 4.2: Missing or Blank Values This section has been rewritten for 2013 to shown that any blank values will generate an error. Text that has been removed is shown in strike through. 5.2: Excel Spreadsheet The example table has been replaced. The old example is shown in strikethrough. 6: Creating LA XML results files of individual pupil data The final bullet has been removed and is shown in strike through. The text has been amended because the range of URNs has been extended and now runs from 500000 to 699999. 6.1: XML format The line '<ResultPoints>TTTFTTTFF</ResultPoints>' has been	21/12/12

| | removed.

7.1: Header Validation
Line 110: year must be 2013

7.2: Establishment Level Validation
Line 3782: URN range is 500000-699999

7.3: Child Level Validation
Line 106: URN range is 500000-699999 and Date of Birth in PVI settings must be 1/4/2008 and 31/8/2008.
Line 1500: amended to include PVIs
Line 3779: contains a new set of parameters
Lines 3752, 3753, 3754, 3758, 3759, 3760, 3761, 3766, 3767, 3790, 3791, 3792, 3793, 3794, 3795, 3796 and 3797 are new.
Lines 3755, 3756, 3757, 3762, 3763, 3764, 3765, 3768, 3769, 3770, 3771, 3772, 3773, 3774, 3775, 3776, 3777, 3778, 3770, 218, 300, 301, 302, 303, 400, 500, 3780Q and 600 have been removed and are shown in strikeout. | |

Assumptions for 2013 made in creating this specification:

A1	The return will use COLLECT as the data collection mechanism.
A2	Education Data Division will only accept submissions in XML format
A3	For the purposes of this collection a 4 year old is defined as having a date of birth between 1 September 2007 and 31 August 2008

All maintained schools with four year olds are required to submit an EYFSP return, regardless of date of birth. Also, all funded 4 year old children in PVI's (accounting for about 1.5-2% of the total FSP return) born between April and August should be included. |

1. Introduction

1.1 Purpose, scope and audience

This specification describes the 2013 Early Years Foundation Stage Profile (EYFSP) Return collected from Local Authorities (LAs) and covers all children aged 4 in funded education at maintained schools and private, voluntary and independent early years settings. It is aimed at LAs and those such as software suppliers working on their behalf and is intended to help them to prepare the necessary data and processes for compliance.

The specification covers the expected return to the DfE and the validation rules which will be applied. It does not cover the collection of data from settings by LAs, for which each authority may wish to modify or enhance existing data arrangements.
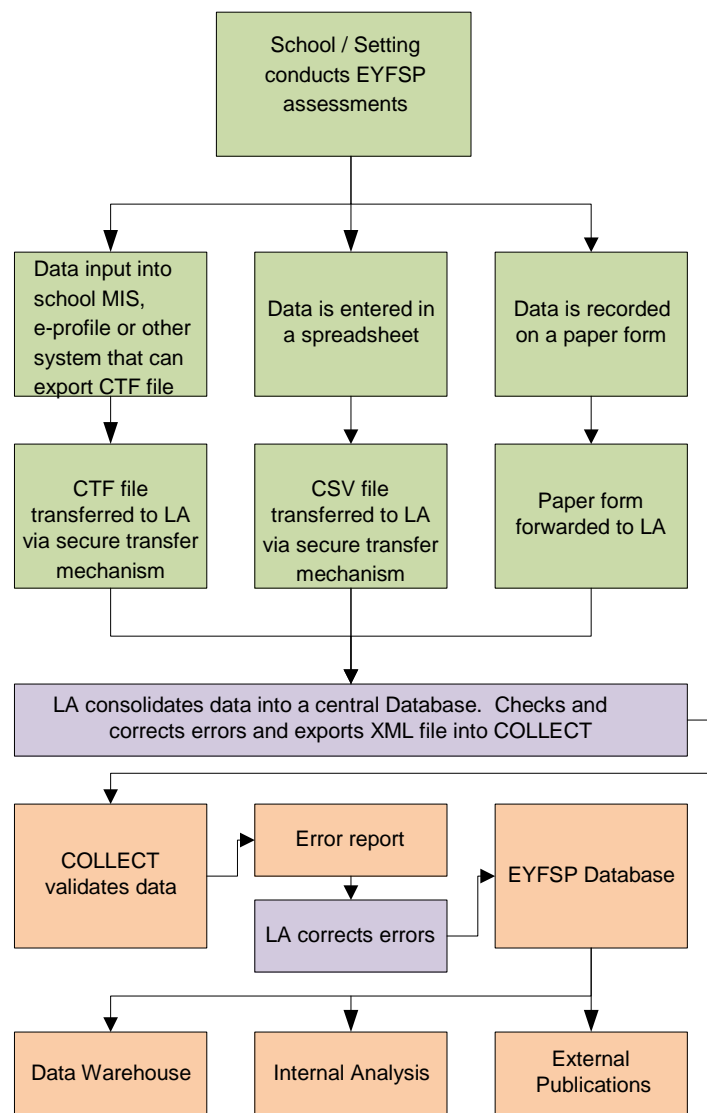
Figure 1: high level data collection process

1.2   Scope of the Early Years Foundation Stage Profile return

The EYFSP Return is required from any maintained school or PVI setting where one or more of their children are receiving Early Years education that is funded by the DfE. The DfE does not require a return from settings without funded children but if the LA needs the data for its own purposes and requests it then the setting is statutorily required to submit it.

All maintained schools with four year olds are required to submit an EYFSP return, regardless of date of birth. Also, all funded 4 year old children in PVIs (accounting for about 1.5-2% of the total EYFSP return) born between April and August should be included.

EYFSP will be collected annually. The assessment will take place in the final term of the early years foundation stage year (no later than two weeks before the end of the final term and in any event no later than 30 June). It is anticipated that Local Authorities will give local guidance on when they require returns from schools/settings to allow the LA to check and consolidate all data from their schools and PVIs and return data to the DfE no later than the last working day in August (31 August 2013).

The 2013 EYFSP Return will consist of Child and Establishment level data, as described below.

1.3   Business Rationale

The following factors are the business drivers behind this approach:

- It is consistent with the overall vision behind the Data Sharing Protocol that data is entered once and used many times;

- It is based on 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 Early Years Return

The 2013 EYFSP Return will consist of two levels, namely a child level and an establishment level. Each level comprises one or more modules (the term "module" is used to describe a subset of a data level). Both levels will be returned together as a single data return for each school/setting.

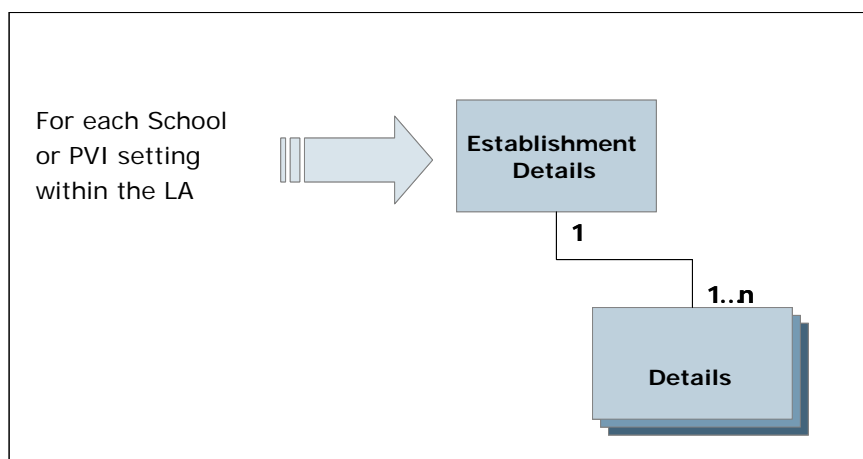**Figure 2: overall return structure**

1.5   Changes for 2013

The thirteen areas of learning have been replaced by seventeen Early Learning Goals (see section 3.2.2 below). This has led to changes in the Excel spreadsheet (see section 5.3) and in the validation rules (see section 7.3). All but four of the validation rules in the assessment section have been substantially altered, removed or replaced.

2. Guidance Section – Establishment Level

2.1   Overall Description and Scope

This section describes the Establishment level of the 2013 EYFSP Return. The only item returned is either the Establishment number or the Unique Reference Number (URN).

3. Guidance Section – Pupil/Child Level

3.1 Overall Description and Scope

This section describes the Child level of the 2013 EYFSP Return.

3.2 Outline data content

Full descriptions of the data items in each module are shown in the CBDS and A_COMP files.

The paragraphs below contain guidance. Section 6 contains a sample XML Message which shows the modular structure.

3.2.1 Pupil/Child Identifiers module

This module contains the child's name, UPN, date of birth and gender and their home post code.

3.2.2 Assessment module

The Department requires that the school/setting record an assessment score for each of the seventeen Early Learning Goals below. This will be recorded within their MIS systems, within e-Profile or via a spreadsheet/paper return.

- Listening and Attention
- Understanding
- Speaking
- Moving and handling
- Health and self care
- Self-confidence and self-awareness
- Managing feelings and behaviour
- Making relationships
- Reading
- Writing
- Numbers
- Shape, space and measures
- People and communities

- The world
- Technology
- Exploring and using media and materials
- Being imaginative

CBDS and A_COMP are the source for the above data items.

The minimum requirement is that the School/Setting will record an assessment scale score or area of learning (AOL) score for each of the thirteen scales below. This will be recorded within their MIS systems, within e-Profile or via a spreadsheet/paper return. In addition, settings may voluntarily submit detail level information (individual points of attainment which show whether each of the 9 points within each scale has been achieved, 117 points in total).

4. Data Return Formats

4.1   Available formats

The EYFSP return must be submitted to the DfE in XML format, as described in this section and in section 6.

4.2   Missing or blank values

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

5. Methods for importing data into local authority systems

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

5.1 School/Settings Management Information System

A CTF file may be prepared from the School/Settings MIS system and exported to the LA using a secure transfer mechanism.

The software should allow the LA to import into its central management system the CTF created from the school MIS. The validation rules that will be applied to this data are included at Section 7. The LA software should carry out these checks when the CTF is loaded into the LA central database/processing system. Any missing Subjects or Components or Results or any invalid values/totals should be reported by the LA software.

5.2 Excel Spreadsheet

For those settings without a MIS, a spreadsheet (available from DfE) may be completed and exported to the LA via a secure transfer mechanism.

The software should also allow the LA to load into its central management system a CSV file created from a EYFSP Excel spreadsheet (to be supplied to LAs by the DfE for distribution as necessary) with the export filename of either "EYFSP_xxxx_13.CSV" from schools or "EYFSP_yyyyyy_13.CSV" from Early Years' settings, where xxxx is the DfE school number and yyyyyy is the setting's URN (this is an Early Year's setting example with a 6-digit URN; a school CSV would have a 4-digit Estab No.).

School Name	LEA No	School No	URN	Child's Surname	Child's Forenames (see notes)	UPN (see notes)	Gender (M or F)	Date of Birth (DD/MM/YYY)
SUNSHINE SCHOOL	201		555555	BRASHER	WILLIAM		M	13/02/2008
SUNSHINE SCHOOL	201		555555	PERR	DIANE	W222222222222	F	31/12/2007

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

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

5.3 Paper Format

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

5.4 Notes about LA systems

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

The software should allow the LA:

- to remove and to add pupils;

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

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

6. Creating LA XML results files of individual pupil data

On completion the software should allow the LA to create separate XML files of individual pupil data by school/setting to load into COLLECT as necessary, even if still containing errors. The XML should include the following data items:

- LA No
- Estab (School No) or URN
- UPN (where present)
- surname
- forename
- gender
- DoB
- home postcode (where present)
- Subject, Component and Result (which will be one of 1, 2, 3 or A)

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

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

for Private and Voluntary settings:

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

Only those pupils in Independent schools (i.e. those with an Estab Number in the range 6000-6899, however not all schools within this range are Independents) or in private and voluntary settings - PVIs (i.e. those with a URN in the range 500000-699999) with 2013 EYFSP results who have a Date of Birth between 1 April 2008 and 31 August 2008 (inclusive) are to be included in the XML export files. All pupils in maintained schools with 2013 EYFSP results are to be included, subject to standard age range checks within the LA central database/processing system.

Please Note: PVIs are required to quote their URN, as used for Early Years Census, when making an EYFSP submission.

The validation rules are shown in section 7. Any data failing the validation checks should be reported using the error codes and messages specified in this Document. The LA should be given the option to correct the errors and revalidate and recreate the files as necessary.

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

6.1 XML format

CBDS number	EYFSP Return 2013 XML Structure
	<EYFSPfile>
	<Header>
800001	<Collection>Early Years Foundation Stage Profile</Collection>
800010	<DateTime>2013-08-10T11:52:21</DateTime>
100266	<Year>2013</Year>
200001	<LEA>303</LEA>
800006	<SoftwareCode>846</SoftwareCode>
	</Header>
	<School>
200002	<Estab></Estab>
200003	<URN>510001</URN>
	<Pupils>
	<Pupil>
100001	<UPN>A123981456002</UPN>
100003	<Surname>York</Surname>
100004	<Forename>Tiffany</Forename>
100007	<DOB>2008-01-01</DOB>
100008	<Gender>F</Gender>
100121	<PostCode>TS13 3DW</PostCode>
	<Assessments>
	<Assessment>
100466	<Subject>PSE</Subject>
100273	<Method>FA</Method>
100274	<Component>G09</Component>
100275	<ResultQualifier>FD</ResultQualifier>
100276	<Result>2</Result>
	</Assessment>
	</Assessments>
	</Pupil>
	</Pupils>
	</School>
	</EYFSPfile>

6.2 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 é this produces a generic XML file which can be viewed as such in a suitable browser. Details of all such characters are found within the XML standard documentation; see for example section 2.2 of the World Wide Web Consortium's recommendation on Extensible Markup Language (XML).

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 .xml. This will help users in selecting the correct file(s) to upload to COLLECT.

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.

7. Validation Checks

This section specifies validation rules that are applied to the data by the DfE, using COLLECT. 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 validations are categorised into Errors and 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 Return, the same sequence number is used. Otherwise, new sequence numbers are used.

7.1 Header Validation

Seq Number	Error/ Query	Validation Check	Error Message
001	Error	<Collection> (800001) must be present with a value of "Early Years Foundation Stage Profile"	Document Name missing or invalid. The file must be recreated
101	Error	<SoftwareCode> (800006) must be present	SupplierID is missing
110	Error	<Year> (100266) must be present and = 2013	Year is missing or invalid

7.2 Establishment Level Validation

Seq Number	Error/ Query	Validation Check	Error Message
		School module	
8000	Error	<LEA> (200001) must be provided and must be a valid value	Local Authority number missing or invalid
120	Error	If <Estab> (200002) is present it must be in the ranges 1000-1150; 1800-3999; 4000-4999, 5200-5299, 5400-5499, 5900-6999, 7000-7999)	Establishment No is invalid
3782	Error	If <URN> (200003) is present it must be in the range 500000-699999	URN is invalid
3783	Error	At least one of <Estab> (200002) OR <URN> (200003) must be present	Establishment No or URN must be present

7.3   Child Level Validation

Seq Number	Error/ Query	Validation Check	Error Message
		Pupil Identifiers module	
106	Error	<DOB> (100007) for <URN> (200003) in the range 500000-699999 (PVIs) must be between 1/4/2008 and 31/8/2008	Outside the date range for PVI settings
3781	Error	For Independent schools <DOB> (100007) must be between 1/4/2008 and 31/8/2008	Outside the date range for Independent schools
3750Q	Query	All schools except Independent schools DOB> (100007) should be between 1/9/2007 and 31/8/2008	Pupil's Date of Birth is outside expected date range
1500	Error	All schools except Independent schools and PVIs <UPN> (100001) (Unique Pupil Number) must be present	UPN is missing

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

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

Seq Number	Error/ Query	Validation Check	Error Message
		only, and only these combinations are valid.	

Subject	Method	Component	ResultQualifier
COM	FA	G01	FD
COM	FA	G02	FD
COM	FA	G03	FD
PHY	FA	G04	FD
PHY	FA	G05	FD
PSE	FA	G06	FD
PSE	FA	G07	FD
PSE	FA	G08	FD
LIT	FA	G09	FD
LIT	FA	G10	FD
MAT	FA	G11	FD
MAT	FA	G12	FD
UTW	FA	G13	FD
UTW	FA	G14	FD

Seq Number	Error/ Query	Validation Check				Error Message
		UTW	FA	G15	FD	
		EXP	FA	G16	FD	
		EXP	FA	G17	FD	
002	Error	<Subject>(100271) must be present and a valid value				Subject is either mission or invalid
005	Error	<Method>(100273) must be present and = FA				Method is either missing or invalid
003	Error	<Component> (100274) must be present and a valid value				Component is either missing or invalid
004	Error	<ResultQualifier>(100275) must be present and = FD				Result Qualifier is either missing or invalid
3751	Error	<Result>(100276) must be present and a valid value				Result is either missing or invalid
3752	Error	<Assessment> (<Subject> (100271) = COM, <Component> (100274) = G01 and <ResultQualifier> (100275) = FD) must be present				COM G01 (Listening and Attention Component) Result missing
3753	Error	<Assessment> (<Subject> (100271) = COM, <Component> (100274) = G02 and <ResultQualifier> (100275) = FD) must be present				COM G02 (Understanding Component) Result missing
3754	Error	<Assessment> (<Subject> (100271) = COM, <Component> (100274) = G03 and <ResultQualifier> (100275) = FD) must be present				COM G03 (Speaking Component) Result missing
3758	Error	<Assessment>(<Subject> (100271) =PHY, <Component> (100274)= G04 and <ResultQualifier> (100275) = FD) must be present				PHY G04 (Moving and handling Component) Result missing
3759	Error	<Assessment>(<Subject> (100271) =PHY, <Component> (100274)= G05 and <ResultQualifier> (100275) = FD) must be present				PHY G05 (Health and self-care Component) Result missing

Seq Number	Error/ Query	Validation Check	Error Message
3760	Error	<Assesment>(<Subject> (100271) =PSE , <Component> (100274)= G06 and <ResultQualifier> (100275) = FD) must be present	PSE G06 (Self-confidence and self-awareness Component) Result missing
3761	Error	<Assessment>(<Subject> (100271) =PSE, <Component> (100274)= G07 and <ResultQualifier> (100275) = FD) must be present	PSE G07 (Managing feelings and behaviour Component) Result missing
3766	Error	<Assessment>(<Subject> (100271) =PSE, <Component> (100274)= G08 and <ResultQualifier> (100275) = FD) must be present	PSE G08 (Making relationships Component) Result missing
3767	Error	<Assessment>(<Subject> (100271) =LIT, <Component> (100274)= G09 and <ResultQualifier> (100275) = FD) must be present	LIT G09 (Reading Component) Result missing
3790	Error	<Assessment>(<Subject> (100271) =LIT, <Component> (100274)= G10 and <ResultQualifier> (100275) = FD) must be present	LIT G10 (Writing Component) Result missing
3791	Error	<Assessment>(<Subject> (100271) =MAT, <Component> (100274)= G11 and <ResultQualifier> (100275) = FD) must be present	MAT G11 (Numbers Component) Result missing
3792	Error	<Assessment>(<Subject> (100271) =MAT, <Component> (100274)= G12 and <ResultQualifier> (100275) = FD) must be present	MAT G12 (Shape, space and measures Component) Result missing
3793	Error	<Assessment>(<Subject> (100271) =UTW, <Component> (100274)= G13 and <ResultQualifier> (100275) = FD) must be present	UTW G13 (People and Communities Component) Result missing
3794	Error	<Assessment>(<Subject> (100271) =UTW, <Component> (100274)= G14 and <ResultQualifier> (100275) = FD) must be present	UTW G14 (The World Component) Result missing
3795	Error	<Assessment>(<Subject> (100271) =UTW, <Component> (100274)= G15 and <ResultQualifier> (100275) = FD) must be present	UTW G15 (Technology Component) Result missing

Seq Number	Error/ Query	Validation Check	Error Message
3796	Error	<Assessment>(<Subject> (100271) =EXP, <Component> (100274)= G16 and <ResultQualifier> (100275) = FD) must be present	EXP G16 (Exploring and using media and materials Component) Result missing
3797	Error	<Assessment>(<Subject> (100271) =EXP, <Component> (100274)= G17 and <ResultQualifier> (100275) = FD) must be present	EXP G17 (Being Imaginative Component) Result missing

8. Valid Values

Valid item values must be in the list or range specified in CBDS, the Common Basic Dataset, subject to the exceptions and restrictions below.

LEA codes (CBDS number 200001, codeset D00004) for this collection only covers ENGLAND LAs. Coverage also excludes LEA codes:

- 001, 003, 167
- codes starting with 6 and 7 except 702 (Service Children's Education, which is valid)
- XXX, MMM and NAA