



## **Transfer of pupil data between schools**

# **Supporting documentation for schools and Local Authorities for the Common Transfer File (CTF) 9.0 (October 2009)**

**Version 1.4**

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1. Introduction .....	3
1.1. CTF Specification Documentation .....	3
1.2. Business Rationale .....	3
1.3. Importance of the CTF .....	4
1.4. Snapshot and Historical Data .....	5
Appendix A .....	8
When to create a CTF with more than one pupil and when to create CTF with only one pupil .....	8
Examples of File Names .....	8
When to create a 'full' CTF .....	9
When to create a 'partial' CTF? .....	9
Sending a CTF .....	10
Receiving a CTF .....	10
Using the DCSF website to Send a CTF .....	12
Using the DCSF s2s website to Download a CTF .....	13
Appendix B .....	14
Circumstances when standard rules for sending and receiving a CTF for a pupil might not apply .....	14
Appendix C .....	16
Lost Pupils Database File Management (LAs only) .....	16
Appendix D .....	19
Welsh Assembly Government requirements for CTF .....	19

## 1. Introduction

This Specification describes the 2009 Common Transfer File (v9.0). It is to be implemented in schools after 1st November 2009 and before 1st January 2010.

The Common Transfer File (CTF) is the mechanism whereby schools transfer “common transfer information” as specified in the Education (Pupil Information) (England) Regulations 2005 Statutory Instrument (S.I.) No.1437 (hereafter referred to as Pupil Information Regulations) to a subsequent school when a pupil leaves together with associated Explanatory Memorandum 2005 S.I. No. 1437 and subsequent amendments The Education (Pupil Information) (England) (Amendment) 2008 S.I. No. 1747 and associated Explanatory Memorandum 2008 S.I. No. 1747. These are available from the Office of Public Sector Information web site <http://www.opsi.gov.uk/>. There is equivalent legislation for Wales.

Particular attention is drawn to paragraph 11 of the Pupil Information Regulations which prohibits the use of transfer via email attachment.

The creation of a CTF can either be at a natural transfer point between phases involving a whole cohort or it could be a single pupil mid-phase. It can also be used to transfer specified information about pupils:

- between schools
- between separate systems within the same school
- between schools and an LA or the QCA

### 1.1. CTF Specification Documentation

The 2009 CTF specification consists of two documents, a Word document containing a narrative and a separate Excel document containing sample XML messages. Details of the data items included in each container and related code sets are set out in the various modules of the Pupil CBDS v4.4 and School CBDS v3.3 available on Teachernet at <http://www.teachernet.gov.uk/management/ims/datamanagement/cbds/CBDSspecs/>. An XML Schema relating to the CTF Message file is also supplied separately.

### 1.2. Business Rationale

The following factors are the business drivers behind the CTF:

- Consistency with the overall vision behind the use of consistent interoperable standards, reducing the burden on schools and the Data Sharing Framework.
- Pupil Information Regulations requiring the transfer of data.

- That data collected in the containers are as defined in the Common Basic Data Set (CBDS).
- In keeping with the data sharing framework, it assumes that virtually all of the data is already held in schools' management information systems ready for transfer and so the need for data entry will be kept to a minimum.
- It is based on the principle that schools 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.

### 1.3. Importance of the CTF

- **Pupil Welfare**

When pupils move from one school to another it is the mechanism for keeping track of them, ensuring they are not lost from the system, and that any significant information, for example Special Educational Needs or details such as 'In Care' are immediately available to the new school.

- **Maintaining Pupil Progress Using Prior Attainment**

Another important rationale for this requirement is that, if the receiving school has knowledge of the pupil's prior attainment, this can be used to inform their planning for the pupil's continuing education. Using this knowledge of prior attainment they are better able to meet the individual needs of each pupil with greater accuracy and therefore maintain the momentum of their learning.

- **Children whose parent(s) are serving with the Armed Forces**

A CTF is particularly important for children whose parent(s) are serving with the Armed Forces because these children tend to move schools more frequently. Therefore maintaining continuity for their education by transferring up to date and relevant information promptly is imperative.

SCE (Service Children's Education) have schools worldwide that have access to the s2s website and can therefore download a CTF.

SCE is committed to using CTFs on a voluntary basis, and points out that it is particularly important for its schools to receive CTFs for pupils transferring into them; as such moves can often involve large numbers of children at the same time.

- **Non-maintained Special Schools, City Technology Colleges and Academies**

Many of the above establishments have MIS that are compatible with mainstream LA schools and it is therefore important that children moving to these schools/colleges/academies are not disadvantaged by

a lack of information and communication from their old school.

- **Independent Schools**  
Many Independent schools have MIS compatible with other educational establishments and they can have access to the s2s website to download a CTF.
- **School Value Added Analysis**  
A CTF can have implications for the whole school performance record. The lack of previous results can impact on Value Added analysis of the schools performance. If a school does not have pupils' previous achievements future Value Added analysis of the school results will be affected as this is reliant on data from the previous Key Stage, for example from Key Stage 2 to Key Stage 3.
- **Target Setting**  
The lack of performance data for a child can affect school target setting processes especially if part of this is based on the National Value Added Lines.
- **Welsh Schools**  
The Welsh Assembly have slightly different requirements for CTFs sent to or from a school in Wales. The differences between Welsh and English requirements are outlined in Appendix D.

#### **1.4. Snapshot and Historical Data**

Much of the data to be transferred represents some characteristic or status at the point in time that a pupil leaves school. There are also historical items which will capture data for a year, e.g. pupil attendance aggregate data, or which relate to events that have happened during a pupil's time in school e.g. attainment/assessment (end of Key Stage) data. Historical data may include data that has been transferred from a pupil's previous school(s).

#### **1.5. Creation and Import of the CTF**

Detailed advice and guidance on the creation and import of the CTF into the various suppliers' MIS software can be found at

<http://www.teachernet.gov.uk/management/ims/datatransfers/CTF/>

The main school MIS software will have a routine that creates a CTF. If the CTF is not for transferring information from one school to another (i.e. a 'full' CTF) there should be the facility to de-select any items that are not required. In some cases there may be predefined 'partial' CTF categories that may be selected for specific transfer purposes. E.g. to send assessment data to QCA.

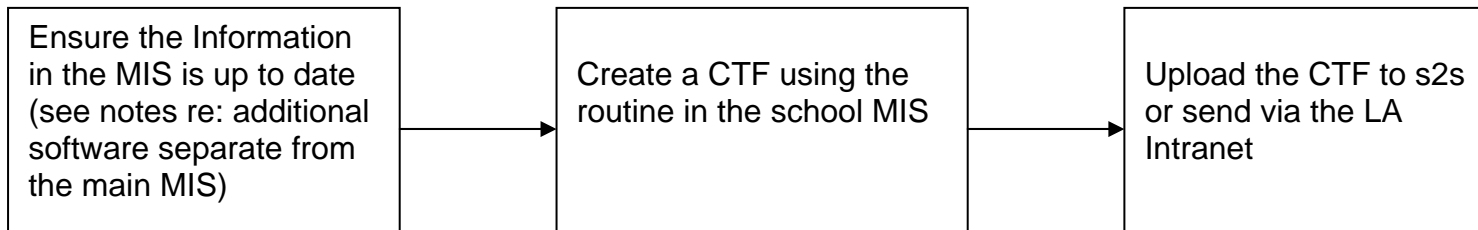
A 'full' CTF must be created from the **main** school MIS otherwise it may not include all the necessary items and therefore would not meet the statutory requirements of transferring data from one school to another, for example it may not have up-to-date attendance information.

A CTF can also be the vehicle for transferring data to and from the LA.

The business process map in figure 1 (below) shows the general principles for transferring a CTF however more detailed information on transferring CTFs may be found in appendix A.

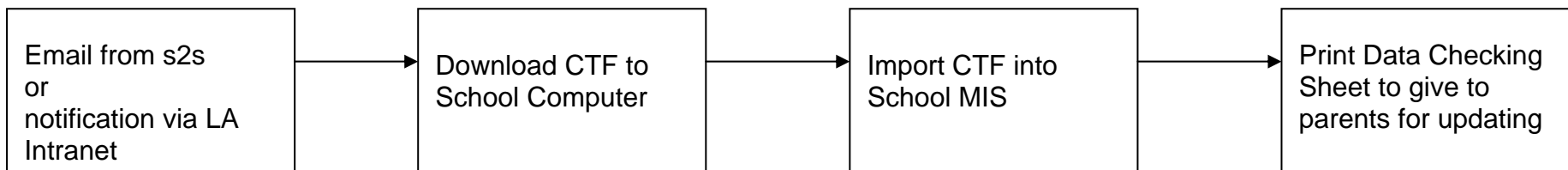
### General Process map for sending or receiving a CTF (Figure 1)

- A CTF **should be created** for every pupil who leaves your school even if:
  - the destination **is not a maintained school in England or Wales**
  - the destination **is not known**
- A CTF **should be created** and sent as soon as the destination is known.
- A CTF **can be created** and sent before a pupil(s) leave.
- Creating a CTF **DOES NOT** take the pupil(s) 'Off Roll' or assign leaving dates.
- More than one CTF **can be created and sent** for the same pupil(s).



### WHEN A PUPIL(S) JOIN YOUR SCHOOL

- More than one CTF can be imported for the same pupil(s) however you may wish to de-select certain items after the first file has been imported. Contacts and addresses for example.
- If you do not receive a CTF contact the previous school and request a file as soon as possible
- If you have entered details manually you should still import the CTF but you may wish to de-select certain items. Contacts and addresses for example.



## Appendix A

### When to create a CTF with more than one pupil and when to create CTF with only one pupil

- A group of pupils transferring to the same school where the both the school and LA number are known can be included in the same single CTF
- If, however, more than one pupil is leaving the school but the destination is either unknown or outside the maintained sector for England and Wales, a separate CTF must be created for each pupil. More details can be found in the s2s guidance handbook on the Teachernet website: <http://www.teachernet.gov.uk/s2s>
- Details of all schools including Independent schools numbers can be found on the website: <http://www.edubase.gov.uk>

### Examples of File Names

The system will automatically generate the file name depending on the destination of the file. The file name will always be in one of the formats given in the examples below. The last three numbers will be incremental, therefore if a second or third file is created for the same destination it would end in **\_002.XML** or **\_003.XML** respectively.

An example of a CTF file sent from **one school to another school** would be:

**8012000\_CTF\_8024001\_001.XML**

Where:

801 is the LA number of the sending school

2000 is the DCSF Number of the sending school

802 is the LA number of the receiving school

4001 is the DCSF number of the receiving school

An example of a CTF file sent from **a school to its maintaining LA** would be:

**8012000\_CTF\_801LLLL\_001.XML**

Where the second number contains LLLL indicating that the destination is the Local Authority and not another school

An example of a CTF file sent from **a school to the QCA** would be:

**8012000\_CTF\_NAALLLL\_001.XML**

Where the second number is NAALLLL indicating its destination is the National Assessment Agency and not another school

An example of a CTF file sent from **a school where the destination is not known**, sometimes referred to as the 'Lost Pupils' database, would be:

**8012000\_CTF\_XXXXXXX\_001.XML**

An example of a CTF file sent from **a school where the destination is**

**known to be outside the maintained sector in England or Wales** would be:

**8012000\_CTF\_MMMMMMM\_001.XML**

### **When to create a 'full' CTF**

- At the point of normal transfer between school phases a separate file should be generated for each school that at least one pupil is transferring to. This file should group together all pupils known to be leaving and then joining the same school.
- A CTF may be generated for a single pupil who transfers schools between school phases.
- A single CTF may be generated to send details of all leavers to the maintaining LA for onward transmission.
- Where a pupil is leaving the school and no destination is known, a file should be generated for each pupil and the destination shown as LA number XXX and school number as XXXX.
- Where a pupil is leaving the school and the destination is known to be a school outside the maintained sector in England and Wales, a file should be generated for each pupil and the destination shown as LA number MMM and school number as MMMM. However, where the pupil is a child whose parents are in one of the 'Forces' and are posted abroad, the pupil is likely to be transferring to a Service Childrens Education school and a CTF should be sent to that school in the normal way (see paragraph 1.2 above).
- There will be occasions when a CTF has to be created for a pupil after they have left the school. This could be on receipt of a request from a subsequent school because a pupil has arrived at that school.

### **When to create a 'partial' CTF?**

A 'partial' CTF can be generated in the following circumstances

- To transfer data between an MIS system and a separate piece of software in use in a school e.g. a separate 'assessment system' and vice versa
- To transfer current data on pupils to Pupil Achievement Tracker (PAT)/RaiseOnline software
- To transfer FSP or KS1 data to the maintaining LA

- To transfer teacher assessment (TA) data to the QCA for all Year 6 or Year 9 pupils at the end of Key Stage 2 and Key Stage 3 respectively.

If the school's main MIS is used to create a 'partial' CTF there should be the facility to de-select unwanted items of data before the file is created. The number of items that can be de-selected varies between the different software suppliers. It is important to check each time a CTF is created that it will contain all the items required as some systems allow a default setting, or remember the setting last used. The pupils and the data to be included will be specified by the terms of the data collection. Irrespective of what is selected when creating a 'partial' CTF the following pupil identifiers WILL ALWAYS be included:

- UPN
- Surname
- Forename
- Date of Birth
- Gender

### **Sending a CTF**

There are two methods of transferring a CTF to a system outside of the school environment.

- a) through an intranet provided for that purpose by or on behalf of a local authority. In this context, an intranet might include a secure transfer facility within an LA using software (such as that provided by a company called AVCO) which regularly 'looks into' a specified 'outbox' on each school's server and collects any files found there.
- b) through an internet website or other facility provided for that purpose by or on behalf of the DCSF (currently, the s2s secure transfer website).

Schools should also be monitoring files sent to receiving schools which have not been downloaded from s2s. If a request is subsequently received the school should actively check their records and, if appropriate, direct the requesting school to the file on s2s.

### **Receiving a CTF**

Schools are notified by email if there is a CTF waiting for them to download from the DCSF s2s Website. The LA will have their own arrangements for schools if an LA Intranet is used.

Pupils who have previously been educated outside the maintained sector in England or Wales for example children arriving from Scotland, Northern Ireland the independent sector or abroad may not have a CTF. In these

cases the schools should make reasonable and collaborative arrangements to obtain the pupil's educational record.

If a pupil arrives at a new school without a CTF but the details of the old school are available, the new school needs to contact the old school and request they send the pupil's CTF.

Should a child arrive at a new school without a CTF and it is established that the CTF has been sent to another school, the sending school, not the receiving school, needs to contact the incorrect school to advise them of the facts. The sending school must then resend the file to the correct receiving school.

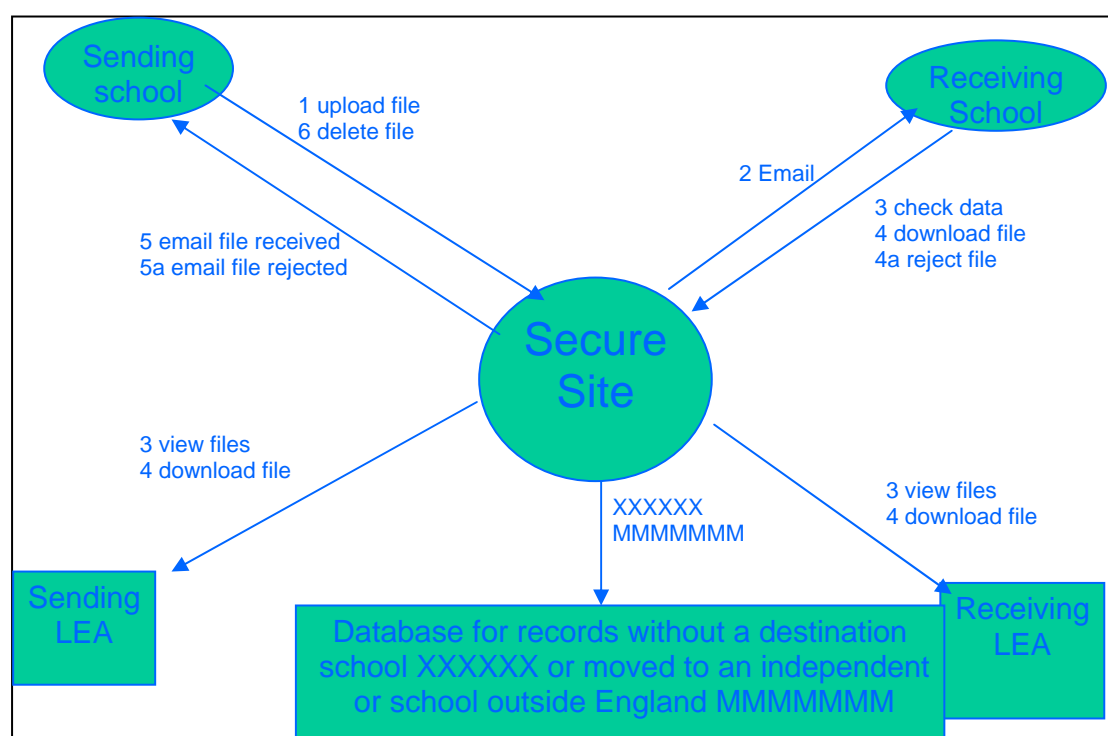
If a pupil arrives at a school and a CTF file for that pupil does not reach the school and, for whatever reason, it is not possible to identify the pupil's previous school to request a CTF, the new school should contact the relevant person in the Local Authority (CME contact, Data collection contact, EWO contact) and ask that person to search the 'Lost Pupil' area of the s2s secure transfer site to see if a CTF for the pupil has been posted there. This can be downloaded by the LA and sent on to the new school.

In the same way that you can de-select items when creating and sending a CTF you can also choose not to include certain items when importing a CTF into your system from another source or school, for example you may have entered the new pupil manually before you receive the CTF and therefore some elements of your data may be more up-to-date than those included in the CTF e.g. address.

## Using the DCSF website to Send a CTF

Full details for using s2s can be found in the Handbook available on the Teachernet website <http://www.teachernet.gov.uk/s2s>

Figure 1 shows the process of sending and receiving files using the s2s secure site.



**Figure 2**

Using the Internet, access the s2s web site by typing in **[www.teachernet.gov.uk/s2s](http://www.teachernet.gov.uk/s2s)**

Click on **Logon**

Enter **ID & Password** (If these have been forgotten or lost you can either contact your Local Authority or the s2s service desk on 01325--392626).

Click on **Upload**

Click on **Upload CTF (use the Teacher Assessment files to QCA when appropriate)**

Use **Browse** button to locate the drive and directory where your CTF is stored.

Select the file for example **8012000\_CTF\_8024001\_001.XML**

Where:

801 is the LA number of the sending school

2000 is the DCSF Number of the sending school

802 is the LA number of the receiving school

4001 is the DCSF number of the receiving school

Proceed with the upload

### **Using the DCSF s2s website to Download a CTF**

Using the Internet, access s2s web site by typing in  
**www.teachernet.gov.uk/s2s**

Click on **Logon**

Enter **ID & Password** (If these have been forgotten or lost you can either contact your Local Authority or the s2s service desk on 01325--392626).

Click on **Download CTF**

Select the CTF and check the basic pupil details shown. Click on **Accept or Reject as appropriate**

Click on **Yes** to confirm the download

**Identify** the directory in which the file should be saved and save as you would normally within your computer system.

Import the CTF into your MIS

## Appendix B

### **Circumstances when standard rules for sending and receiving a CTF for a pupil might not apply**

1. There are occasions when it is not considered appropriate to pass on to a new school, details of a pupil's history. Each case would need to be judged on its merits in consultation with relevant parties that might include:
  - The school
  - The police
  - Child protection worker
  - Social worker
  - CME contact in the LA
  - Other LA contacts
  
2. Circumstances when it is not considered appropriate to pass on details via a CTF might include:
  - A family escaping a violent partner
  - The family is in a witness protection programme
  - Adoption
  - a) In the first example, it is more a case of the 'old' school not knowing where the pupil has gone so that the information cannot be divulged accidentally.
  - b) In the second example, the 'old' school should not know where the pupil has gone for the same reason but also the 'new' school should not know where the pupil has come from because this could involve identifying the previous name etc of the pupil.
  - c) In the third example, as in the others, it may be desirable that the child cannot be traced through the old school and previous name.

In each case the 'old' school needs to be involved in deciding what to do because it is that school's responsibility to send a Common Transfer File to the next school that a pupil attends (or to the Lost Pupils Database area of the S2S secure transfer site when they do not know the next school of a pupil)

3. If a family is escaping a violent partner, and there is agreement that the pupil's prior attainment and/or basic details should not be passed on to the new school, then the old school need to be advised what to do. This might be to send a file to the LA where the LA could delete relevant sections and pass the amended CTF to the new school. The old school should not send a CTF to the LPD – a file sent to the LPD would show where the pupil came from and the LA of the new school could find the CTF in the LPD, download the file with the relevant data in it and forward it to the new school!
  
4. It might be considered appropriate that details of a pupil's prior attainment is made available to a new school but that personal details about the pupil or the pupil's school or attendance history are not made available.

Even in these circumstances, transferring attainment data (end of Key Stage results) via a CTF would not indicate where the pupil was (i.e. which school) when undertaking the end of KS tests, but the information would be available to (relevant) schools from the Key to Success website.

5. In cases of a family escaping a violent partner, it is important that a child's previous school is NOT advised of the child's current whereabouts. There have been cases where the 'violent partner, is, in fact, employed at the old school and could have access to data stored at the old school. In some LAs it has been agreed that in such instances, the Pupil Tracking Team will explain to the child's old school that investigations are being made as to the child's whereabouts and that the child's CTF needs to be sent to the Lost Pupil Database. The Pupil Tracking Team will then be able to directly forward the child's record onto a new school, without the child's previous school needing to be involved. However, it may be more appropriate for a file to be sent direct to the LA for the reasons outlined above. The file would be created to the destination NNNLLLL, where NNN is the 3 digit LA reference number and LLLL is constant.

6. If the reason for not letting the two schools know where a pupil has gone or where they are going is because, for example, the family is in a witness protection programme, then the LPD probably is the place to send a file - it would never be downloaded because the pupil's name would have been changed and a new UPN should have been issued (the latter comes from the advice note on UPNs already on Teachernet <http://www.teachernet.gov.uk/management/ims/datamanagement/UPN/> ). In these circumstances, there should not be any attempt to establish and record prior attainments.

## Appendix C

### Lost Pupils Database File Management (LAs only)

LEA users with 'LEA Lost Pupil' or 'LEA Lost Pupil Transfer' s2s user access rights are able to initiate searches of the lost pupils database when their schools report that a pupil has arrived without a CTF. Users should also refer to guidance on policy relating to the lost pupils database provided as a separate document,

This document provides instructions on searching and moving 'lost' CTFs only.

#### Search for a Lost Pupil CTF

If a pupil arrives at a school maintained by your LEA without a CTF the school should contact their LEA providing details of the pupil and their previous school name/location (if known). These details should be used to conduct a search of the Lost Pupils Database.

- Select **Search for Lost Pupil** from the menu.
- Depending on what information you have on the pupil for whom you are seeking a CTF search by entering data into the spaces provided, for some or all of the following fields.
  - UPN
  - Town
  - Surname
  - Date of Birth
  - Forename
  - Gender
- Use the **Surname Begins** check box to search on exact text match (box checked) or 'soundalike' search (box unchecked).
- Select the field you wish to sort the files by from the pull down list.
- Click **Search**, (Figure 3).

## Lost Pupil Transfer Files

You are searching for a Surname or Former Surname that begins Mouse  
 You have selected to sort on DateofBirth

UPN	Surname	Forename	DOB	Gender	Town	Filename
Y680203700001	MOUSE	Minney	11/06/1992	F	Wales Town	1119876_CTF_MMMMMMM_001.XML

### Pupil Details for selected file

LEA	School Number/Name	Former UPN	Former Surname	Middle Names	Date Uploaded
111	9876 - Wales test 1				05/04/2004

Figure 3

When a file is selected additional pupil details are shown for the pupil within that file:

LEA Number	School Number/Name
Former UPN	Former Surname
Middle Names	Date Uploaded

- Highlight a file that matches the pupil you are searching for, check that the additional pupil details match.
- If the details match and you are sure that this pupil is on roll at a school in your LEA, click Download Lost Pupil File. If the details do not match click New Search.
- When asked to confirm that you wish to download the file you will need to confirm that you have taken reasonable steps to ensure that the pupil contained in the file is on roll at a school in your LEA. To download the file you will need to check the box.  
Click Yes to Save the file, selecting an appropriate location to save the file to. Click OK.
- When the file has finished downloading, click Close.
- You will be asked to confirm that the file has been downloaded correctly, if so click Yes, if not click No return to the Lost Pupils Files screen (Fig.1).

### Transferring the CTF to the School

Once you have downloaded the CTF you will need to transfer the file to the

appropriate school.

- Re-name the file so that the destination of the CTF is that of the school you are sending the file to (See Summary of File Types Document).
- Select Upload from the main menu.
- Select Upload CTF File from the sub-menu
- Click Browse
- Locate the correct CTF for upload and click Open.
- Select Upload File a message will inform you when the file has been uploaded to the site.

Click on your browser's back button to take you back to upload another file or select another option from the menu.

## **Appendix D**

### **Welsh Assembly Government requirements for CTF**

This Appendix outlines the Welsh Assembly Government requirements for CTF, where they differ from those in England, as identified in the specification example file. Full details are given in the specification document.

#### **Languages**

There are different requirements for transfer of language data and where in the structure of the CTF file these details are held. Your MIS should cope with this.

#### **NAW details**

There are some items which apply only to transfers within Wales. These include Welsh language capability, EAL Acquisition and SEN details. SEN history is mandatory for transfer between schools in Wales but may be excluded from a file created in a Welsh school if the destination school is an English school and there has been no SEN provision.

#### **Attendance**

The number of available attendance sessions is **not** required in Wales and will not be included in any CTF from a Welsh school.

#### **Assessments**

The Early Years Foundation Stage (FSP) and the Key Stage 1 trial (K1T) are not used in Wales so will be omitted in any transfer to / from a Welsh school.

P-Scales are not used in Wales so will be omitted in any transfer to / from a Welsh school.

KS1 Assessments for 2005 or later do not apply to Welsh schools so will not be included in any transfer to / from a Welsh school.

KS2 Test Assessments for 2005 or later do not apply to Welsh schools so will not be included in any transfer to / from a Welsh school.

KS3 Assessments for 2005 or later where the Assessment Method is anything other than Teacher Assessment do not apply to Welsh schools so will not be included in any transfer to / from a Welsh school.