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| Data specification  for reporting work-based learning  Version 0.3  Released 29 May 2024 |

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# Introduction

## Document purpose

This document is for tertiary education organisations (TEOs) delivering work-based learning. It has information about the data that the Tertiary Education Commission (TEC) requires when you report actual delivery (Actuals) on our new Data Exchange Platform (DXP).

It's important to note that this document specifically focuses on the data reported for work-based learning. It is not a:

* specification for provider-based learning (e.g., the single data return). This is published in a separate document.
* specification document for the APIs . This document is not structured to show the data required for each API. Refer to the API Portal for this information.
* user guide for DXP.

## The requirement to submit data

The TEC and the Ministry of Education (MoE) require data submitted by TEOs for the purposes of:

* funding
* monitoring performance
* publishing performance information
* statistical reporting, and
* policy formation.

All TEOs that receive TEC funding for work-based learning must report work-based learning. You must report all learners eligible for tuition subsidies.

Each TEO is responsible for the integrity of data provided to the TEC.

Three excerpts from the Education and Training Act 2020 support data submissions from TEOs:

* **Section 254 of the Education and Training Act 2020**

Ministry may hold and disseminate information

Any information collected by TEC or NZQA —

1. may be held by the Ministry on behalf of TEC or NZQA; and
2. may be disclosed by the Ministry to TEC or NZQA or to any other person or agency that is entitled to receive it.

* **Section 426 of the Education and Training Act 2020**

Conditions on receiving funding

(1) It is a condition of an organisation receiving funding under section 425 that the organisation supply to TEC or the Ministry, as required by TEC or the Ministry, and in a form specified by TEC or the Ministry, any financial, statistical, or other information that TEC or the Ministry requires the organisation to supply.

**Section 429 of the Education and Training Act 2020**

Conditions on funding received under section 428

1. It is a condition of receiving funding under section 428 that the recipient supply TEC or the Ministry, as required by TEC or the Ministry, and in a form specified by TEC or the Ministry, any financial, statistical, or other information that TEC or the Ministry requires the organisation to supply.

## Conditions for the provision of information

To be completed in a subsequent update.

# Data submissions

## Frequency of submissions

TEOs may submit and update data at any time. We expect the data to be as up to date as possible by the close of business on the last working day of each month, particularly at the periodic “snapshot/cut-off” dates. They are currently:

* 31 January (data for the previous year);
* 31 March (for both the current year and for final data relating to the previous year);
* 30 June (\*New\* - for the current year - this is related to the Government's financial year end).
* 31 August.

Work-based returns cover the following funds:

* Non-degree Delivery at Levels 3–7 on the NZQCF (DQ3-7)

## Categories of information

There are six broad categories of information required for work-based learning:

1. **Learner**

Learner captures data for each learner enrolled in a programme. You must report all learners whose enrolment is eligible for TEC funding and who have confirmed learner enrolments in your trainee management system.

1. **Programme and Programme Version**

Programme version captures data of versions of work-based programmes approved for funding and offered by a TEO. You should report all work-based programmes*.*

1. **Training Agreement**

Training Agreement data captures details of the agreements signed between the learner, TEO and employer. When creating a new training agreement, there must also be an associated programme enrolment for that learner at that TEO, where the enrolment date is on or after the training agreement signed date.

1. **Training Plan**

Training Plan captures data about the plan between the learner and the TEO and records the date of meetings (or visits) with the learner. A Training Plan is mandatory for New Zealand Apprenticeships (NZA).

1. **Programme Enrolment**

Programme Enrolment captures details of valid programme enrolments within the reporting year, including the components a learner is enrolled in as part of their programme of learning.

Component completions continue to be reported directly to the New Zealand Qualifications Authority (NZQA), and the DXP will mark components as complete using results of achievement (RoA) NZQA data.

1. **Off-Job Delivery**

Off-Job Delivery details learning delivered off the job site as part of the programme enrolment. It includes information about the course, including the TEO that delivered it, attendance type, and the amount of equivalent full-time students (EFTS) delivered.

The TEO responsible for the work-based learner must report all off-job delivery associated with a programme enrolment. The collection of this data supports the funding decisions.

## Data submission via an API

You submit work-based data via an API. The work-based learning API specifications are available in the DXP [API portal](https://api-docs.pre.dxs.pub.tec.govt.nz/docs/work-based).

# Data specifications: Introductory information

## Summary of changes to data specification

Below is a list of the significant changes between this data specification for work-based data submissions on the new DXP platform and the current data specification supporting work-based data submissions through ITR. Appendix B provides a list of the changes between versions. Appendices B and C provide a complete history of data changes and the validation rule changes.

### Learner

We have standardised the collection of learner data across all funds associated with a learner, which we will collate into a single learner table in the DXP back-end. Therefore, consistent learner validation rules need to be applied across all funds associated with a learner.

Additionally, we require additional learner data. These are:

* Name ID Code.
* Country of Citizenship
* First year of tertiary education
* New disability data fields to support the new disability question on enrolment.
* Ability to submit up to six Iwi values (was three).
* Ability to submit up to six Ethnicity values (was three).
* Total Work-based Learner Fee (inclusive of GST). This is the actual fee charged to the learner, excluding fees charged to the employer and in-kind contributions to the employer. This value is used with the Maximum Programme Fee to understand the fees across vocational education.

In addition to the new data, we have also:

* aligned Another Gender code in the Gender field from ‘U’ to 'D’ to align with the Provider-based collection.

### Programme

We require the following new fields as part of the Programme Data:

* Mode of Delivery to support funding determinations and replace the Workspace2 templates required for the tactical solution implemented for 2024.
* Study Type to identify whether the learner is taking an industry training programme or am NZA.
* Occupation Code to enable a better understanding of how programmes relate to occupations.
* Maximum Programme Fee, which is the maximum fee (inclusive of GST) for a programme, excluding fees charged to the employer and in-kind contributions to the employer. This value is used with the Total Work-based Learner Fees to understand the fees across vocational education.

A micro-credential (MC) can be a programme or a component of a programme. When the programme itself is a micro-credential, then the program type is ‘Micro-credential’, and the associated components are those components that make up the micro-credential.

### Training Agreement

We require the following new fields as part of the Training Agreement data:

* NZBN to help identify employers where they have a NZBN.
* Employment Territorial Authority Code to provide details where learners are employed.
* Occupation Code to enable a better understanding of how training relates to occupations.

Training Agreement status events can now only be backdated a maximum of three months from the current date. Completions are excluded from this limitation, and you can apply any backdated events stemming from the receipt of a completion from NZQA beyond the three-month limit.

### Programme Enrolment

We require the following new fields as part of the Programme Enrolment data:

* Mode of Delivery to support funding determinations and replace the Workspace2 templates required for the tactical solution implemented for 2024.
* Study Type to identify whether the learner is taking an Industry Training programme or an NZA. The ‘Funding Source Code’ originally captured this data but is now decoupled from the type of study as part of UFS.
* Residential Status and Australian Residential Status to identify New Zealand and Australian residents.
* Component Type Code to identify the component type associated with a programme (e.g., Unit Standards, Skill Standards, Micro-credentials).

You can update Programme Enrolment status events up to three months from the current date. Completions are excluded from this limitation, and backdated events stemming from the receipt of a completion from NZQA can be applied beyond the three-month limit.

Previously, the ITR contained “Standards” that formed part (a component) of a programme. Since its inception, new components like Skill Standards and Micro-credentials are now available in a work-based learning environment.

The new DXP incorporates these new and possible future components by widening the existing schema to include the ‘type of component’ being reported. We have replaced previous field references using the term standard with the term component. For example, “Standard Number" and “Standard Version Number” are replaced with “Component Number” and “Component Version Number”.

A unique component is the unique combination of “Component Type Code”, “Component Number”, and “Component Version Number”. Every programme must consist of at least one component and every component enrolment must be associated with a programme enrolment.

### Off-Job Delivery

This new data collection captures all provider-based course enrolment delivery associated with a programme enrolment. This replaces the collection of this data collected originally via source of funding 11 in the Single Data Return (SDR).

### Data and Standards

Where SDR and ITR collected similar data, we now align this data with a single standard. In addition, we are aligning data to official classifications defined by Statistics NZ where possible. This improves data quality and enables greater data interoperability.

We are updating some data standards to align with more recent data classifications. The key changes are:

* Iwi values align with Statistics NZ Iwi and iwi-related groups statistical classificationV2.1.0. Iwi is in the learner data submission
* Overseas Country Code values align with Statistics NZ Country Classification 1999-4 Numeric V15.0. We collect values at level 3. The Overseas Country Code is used in the learner data submission.
* The occupation classification is a new field, and values align with the occupation list set by TEC. This field is in the Programme Version and Training Agreement data submission.
* Territorial Authority is a new field, and values align with Statistics NZ Territorial Authority 2023 (Generalised). This field is in the Training Agreement data submission.

The relevant field specification references the data classifications, and the data appendices, which are published separately, provide a full list.

We have also changed some data types. For example, submitted dates must now use the ISO-8601 format.

## Qualifications

NZQA defines a qualification as “Formal certification for a given purpose of the achievement of specified learning outcomes to a given standard”. You do not need to report NZQA-approved qualification details in the work-based DXP solution. We will source all qualification details from NZQA via the new Qualification Credential Repository.

The only qualification data required for reporting via the work-based DXP solution are the qualification number and qualification version number with the programme data, which, together uniquely identify a programme's target qualification.

## Micro-credentials

Micro-credentials are new stand-alone education products intended to enable learners to access specific knowledge and skills in a cost-effective and time-efficient way. They are smaller than qualifications and focus on skill development opportunities, for which there is strong evidence of need by industry, employers, iwi, and the community.

At a minimum, micro-credentials are subject to the same requirements as training schemes or assessment standards. They are required to:

* be 5–40 credits
* have strong evidence of need from employers, industry or community
* not duplicate current quality assured learning approved by NZQA
* be reviewed annually to confirm they continue to meet their intended purpose.

A micro-credential can be either a programme unto itself or one of many components within a programme. You can record a micro-credential as a programme or a component in DXP.

## Complete enrolment via RoA

You must continue to report the achievement of components and NZQCF-based qualifications to NZQA. DXP will detect the completion of a component and programme when you supply the relevant information to NZQA for recording against the learner’s results of achievement (RoA).

Status changes resulting from the completion reporting process are not subject to the three-month backdating limit. Training agreement and programme enrolment statuses can be backdated beyond the three months because of DXP receiving assessed completions from NZQA.

Similarly, in situations where a learner completes their study component before withdrawing from their programme enrolment, that completion will be recorded against the programme within DXP, even if the NZQA assessed date is after the programme withdrawal date.

**Note:** A qualification completion before the enrolment participation start date will not trigger an enrolment completion as the learner has previously achieved the qualification.

### Detecting Enrolment Completions

DXP will detect programme enrolment completions as follows:

* **National Qualifications (NQ):** On achievement of the target qualification and all components for the enrolment except when at a status of Pending if MA or NZA, Withdrawn or Completed, where the achieved date (at RoA) >= enrolment participation start date.
  + If the NQ programme has a target qualification with a strand, DXP will check against the specified strand.
  + If the NQ programme has a target qualification without a strand, DXP will check against the qualification.
* **Limited Credit Programme (LCP):** On achievement of all components for the enrolment, except when at a status of Withdrawn or Completed, where the achieved date (at RoA) is >= enrolment participation start date.
* **Supplementary Credit Programme (SCP):** On achievement of all components for the enrolment (and target qualification if it exists with a strand if it exists), except when at a status of Withdrawn or Completed, where the achieved date (at RoA) is >= enrolment participation start date.
* **Complex New Zealand Apprenticeship (NZA):** On achievement of all sub-programme enrolments (see 1a above for NQ completion criteria), except when at a status of Pending, Withdrawn or Completed, and all additional components for the enrolment, where the achieved date (at RoA) >= enrolment participation start date.

# Data Specifications

## Learner

### Introduction to learner data

Learner captures data for each learner enrolled in a programme. You must report all learners whose enrolment is eligible for TEC funding and who are confirmed learner enrolments in your trainee management system. A single learner representation covers all funds.

### Learner data

| Field Title | Description | Field specification | Validation |
| --- | --- | --- | --- |
| Learner Local ID | A code which uniquely identifies the learner within each TEO, as captured in a TEO’s TMS system.  The Learner Local ID must remain constant for the learner throughout their enrolment history at your organisation. | **Length:** 20  **Type:** String  **Guidance:** Thisnumber must be the unique value generated by each TEO via their TMS. | **Error:**  XXX: Learner Local ID is blank  XXX: Learner Local ID is not unique in the Learner data |
| National Student Number | A number which uniquely identifies the learner. The NSN must remain constant for the learner throughout their enrolment at your or any other organisation. The NSN reported in the Learner file must match the NSN used for other collections (e.g., Course Enrolment).  The NSN is part of the NSI database system maintained by the Ministry of Education. | **Type:** Integer  **Guidance:** Thisnumber must be the value generated by the National Student Index (NSI) for the learner. | **Error:**  XXX: NSN reported is invalid or does not exist in NSI  XXX: NSN reported is not unique in the Learner Data Submission and is assigned to another learner  XXX: Date of Birth reported does not match Date of Birth on NSI  XXX: NSN record status is inactive in NSI  XXX: Gender reported does not match Gender on NSI  XXX: NAME ID reported does not match NAME ID from NSI |
| Gender | A code to identify the gender of a learner. | **Length:** 1  **Type:** String  **Guidance:** Select a value from the list below   |  |  | | --- | --- | | **M** | Male / Tāne | | **F** | Female / Wahine | | **D** | Another gender / He ira kē anō | | **Error:**  XXX: Gender is not M, F or D |
| Date of Birth | The day, month, and year of birth of the learner. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC. | **Error:**  XXX: Date of Birth is invalid or blank  XXX: Age is less than 5 or greater than 100  XXX: The format is invalid  **Warning:**  XXX: Age is less than 15 or greater than 70 (will be applied to all returns) |
| Name ID Code | The first four characters of a learner’s surname plus initial of first legal name.  This is new data is required for validating the identity of a learner and their associated NSN. | **Length:** 5  **Type:** String  **Guidance:** The value is generated by your organisation from the learner’s name. The NAMEID is generated from the first four characters of the surname and the first initial of forename 1.  Characters must be capitalised. If the surname is less than 4 characters, then blanks must be inserted before forename initial. The initial must be in the fifth position. E.g.,   * LEE A for Andrew Lee * VAN M for Michael van der Hum * DE WP for Peter de Wittering   If surname contains punctuation, then include these:   * O’COB for Brian O’Connor   **Note:** The NAMEID must match the equivalent NAMEID from either the main name or an alternative name on the NSN reported. | **Error:**  XXX: NAME ID is blank |
| Main Activity at 1 October in Year Prior to Formal Enrolment | The main activity or occupation for the learner on 1 October of the year prior to enrolling a learner at your organisation. This field is not required to be changed upon re-enrolment if the duration between the end of the previous enrolment and the re-enrolment is 12 months or less. If a learner returns to the same TEO after not being enrolled for a period of more than 12 months, this field should be updated to reflect the learner’s most recent main activity on 1 October of the year before.  If the learner enrolled for the first time between 1 October and 31 December of the current year, then report the main activity on 1 October of the current year. | **Type:** String  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **01** | Secondary school student | | **02** | Non-employed or beneficiary (excluding retired) | | **03** | Wage or salary worker | | **04** | Self-employed | | **05** | University student | | **06** | Polytechnic student | | **07** | College of Education student | | **08** | House person or retired | | **09** | Overseas (irrespective of occupation) | | **11** | Private Training Establishment student | | **12** | Wānanga student |   **Note:** The classification of ’99 – other’ has been removed and may only be used historically. | **Error:**  XXX: First Year of Territory Education is current year and Prior Activity is not 01, 02, 03, 04, 08, 09  XXX: Prior activity is not valid  XXX: Prior activity is blank |
| First Year of Tertiary Education | The year in which a learner first enrolled in any “quality assured” qualification:   * at a TEO in New Zealand or overseas, or * in the Foundation Year at the University of the South Pacific, or * at a registered Private Training Establishment.   Enrolment in STAR, community, or other non-formal education does not count for first year purposes. | **Type:** Integer  **Guidance:** Enter the year in the format YYYY - e.g., 2023.  This field is required if the learner is a New Zealand or Australian citizen or resident. | **Error:**  XXX: First Year of Tertiary Education is greater than the current year  XXX: First Year of Tertiary Education puts learner at age less than 5 or greater than 100 (calculated from Date of Birth)  XXX: First Year of Tertiary Education cannot be blank or 9999 if Country of Citizenship is NZL, AUS, or Residential Status or Australian Residential Status is Y  **Warning:**  XXX: First Year of Tertiary Education is less than 1930  XXX: First Year of Tertiary Education must be equal to Last Year at Secondary School or Last Year at Secondary School plus 1 when Main Activity at 1 October in Year Prior to Formal Enrolment equals 01  XXX: First Year of Tertiary Education puts learner at age less than 15 or greater than 70 (calculated from Date of Birth)  XXX: First Year of Tertiary Education is blank or 9999 |
| Last Secondary School Attended | A code to identify the last secondary school attended by the learner. | **Type:** Integer  **Guidance:** Select a value from the secondary school codes classification.  The Secondary School Codes are available at the Education Counts website - [Secondary School Codes](https://www.educationcounts.govt.nz/directories/list-of-nz-schools). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Last Secondary School Attended code is not in classification  XXX: First Year of Tertiary Education is current year and Prior Activity is 01 and Last Secondary School Attended code is 1040 (i.e., “not known”)  XXX: First Year of Tertiary Education is current year and Last Secondary School Attended code is blank  XXX: Last Secondary School Attended is blank.  **Warning:**  XXX: First Year of Tertiary Education is current year and Last Secondary School Attended code is 1040 (i.e., “not known”) |
| Overseas Country Code | A unique code defined by that identifies the country in which the learner last attended school. | **Type:** String  **Guidance:** Select a value from the NZ Statistics: Country – New Zealand Standards Classification 1999 – 4 numeric V15.0.  Must be supplied if the learner’s last school was not in New Zealand. New Zealand cannot be selected. We collect at level 3.  The country classification is available at [NZ Statistics: Country – New Zealand Standards Classification 1999 – 4 numeric V15.0.](https://aria.stats.govt.nz/aria/?_ga=2.21705403.1671744995.1699902765-946806462.1697743900#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/ys69SsOCPi6Mc4jR) They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Overseas Country Code is blank, and learner’s last secondary school is not in New Zealand  XXX: New Zealand cannot be selected  XXX: Overseas Country Code must be valid |
| Last Year at Secondary School | The year in which the learner finished their secondary school education. | **Type:** Integer  **Guidance:** Enter the year in the format YYYY - e.g., 2023. | **Error:**  XXX: Last Year at Secondary School is less than year of birth +5 or greater than current year  XXX: First Year of Tertiary Education is current year and Prior Activity is 01 and Last Year at Secondary School is blank  **Warning:**  XXX: First Year of Tertiary Education is current year and Last Year at Secondary School is blank  XXX: Last Year at Secondary School is not blank and Last Secondary School Attended is 997 (i.e., “never attended a secondary school”) |
| Highest Secondary School Qualification | A code to show the highest secondary school qualification attained by the learner. | **Length:** 2  **Type:** String  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **00** | No formal secondary school qualification | | **11** | 14 or more credits at any level | | **12** | NCEA Level 1 or School Certificate | | **13** | NCEA Level 2 or 6th Form Certificate | | **14** | University Entrance | | **15** | NCEA Level 3 or Bursary or Scholarship | | **09** | Overseas qualification (incl. International Baccalaureate & Cambridge Exams) | | **98** | Other | | **99** | Not known | | **Error:**  XXX: Highest Secondary School Qualification code is not on classification list  XXX: First Year of Tertiary Education is current year and Prior Activity is 01 and Highest Secondary School Qualification is 99  XXX: Highest Secondary School Qualification is not valid for return year  XXX: Highest Secondary School Qualification is blank  **Warning:**  XXX: Highest Secondary School Qualification = 99 |
| Is English Second Language | A True/False flag that indicates whether English is a second language for the learner. | **Type:** Boolean  **Guidance:** Select a value from below:   |  |  | | --- | --- | | **0** | English is not a second language for the learner | | **1** | English is a second language for the learner | | **Error:**  XXX: English Second Language Indicator is blank.  XXX: English Second Language is invalid. |
| Country of Citizenship | The country of citizenship of a learner. This field is required for determining non-domestic learner funding. | **Length:** 3  **Type:** String  **Guidance:** Select a value from the country of citizenship classification. Refer to the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Country of Citizenship is blank  XXX: Country of Citizenship code is not on classification list  XXX: Country of Citizenship Code is not valid for return year  XXX: Country of Citizenship code cannot be ‘999’ – i.e., “Unknown” |
| Disability Status | Indicates the disability status of a learner. This field aligns to the collection of the new disability data on the enrolment form. | **Type:** Integer  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **1** | Yes | | **2** | No | | **3** | Prefer not to say | | **Error:**  XXX: Disability Status is invalid or blank |
| Disability Support Needs | Seven fields to support multiple responses indicating the disability support a learner requires. This field aligns to the collection of the new disability data on the enrolment form. | **Type:** Integer array  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **1** | Access to assistive technology (e.g., for reading, writing, communication). | | **2** | Accessible format resources for course content. | | **3** | Mobility and transport (e.g., navigator support to help movement around campus, mobility carparks, personal emergency evacuation plan). | | **4** | New Zealand Sign Language Interpreter. | | **5** | Support with reading, writing, and communicating in learning sessions, exams, and assessments. | | **6** | Other learning or disability support. | | **7** | No, I do not need support at this time. |   If the Disability Status is Yes, then at least one disability support need must be supplied. | **Error:**  XXX: At least one of the Disability Support Needs from 1 to 7 must be supplied if Disability Status is Yes  XXX: Multiple Disability Support Needs are identified when Disability Support Needs 7 is Yes  XXX: Disability Support Needs contains duplicate values  XXX: Disability Support Need is supplied when Disability Status for learner is 2 or 3 |
| Iwi Affiliation | A code to indicate the iwi affiliation of a learner. If a learner has more than one affiliation, then up to six Iwi can be recorded. | **Type:** String array  **Guidance:** Select a value or values from the Statistics NZ Iwi and iwi-related groups statistical classificationV2.1.0.  An entry must be reported in the first field where the ethnic group is “0211”.  The Iwi classification is available at NZ Statistics - [Iwi and iwi-related groups statistical classificationV2.1.0](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/uH9AkXTnTlq40DHG). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Iwi Affiliation is not valid  XXX: At least one Iwi Affiliation field must be completed where ethnic group is identified as “211” and first year is current year |
| Ethnicity | A code to indicate the ethnicity of a learner. Up to six ethnic codes can be entered in this field. The codes identify the ethnic group or groups to which a learner belongs. | **Type:** String array  **Guidance:** Select a value or values from the Statistics NZ Ethnicity New Zealand Standard Classification 2005V2.1.0.  At least one value must be reported.  The Ethnicity classification is available at NZ Statistics - [Ethnicity New Zealand Standard Classification 2005V2.1.0](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/YVqOcFHSlguKkT17). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Ethnicity is not in the classification list  XXX: Ethnicity contains duplicate values  XXX: Ethnicity is not valid for return year  XXX: Ethnicity is blank. |
| Total Work-based Learner Fees | The actual fee (inclusive of GST) charged to the learner to enrol in this programme within the reporting year.  This value is used in conjunction with the Maximum Programme Fee to understand the fees charged across vocational education. | **Type:** Decimal (8,2)  **Guidance:** Value is to the nearest cent (inclusive of GST).  The value is expressed as a decimal rounded to two decimal places – e.g., 0.13. | **Error:**  XXX: Total Work-Based Learner Fee is blank.  XXX: Total Work-Based Learner Fee invalid. |

## Programme

### Introduction to programmes

A programme defines the training or education a learner will undertake to achieve the Programme's goals.

A programme is uniquely identified locally by the Programme Local ID, created by each TEO. Each local instance of a programme is associated with a Programme Number and Programme Version Number. The Programme Number and the Programme Version Number identify a unique programme, which is referenced in the ‘Programme data’ section as the ‘Programme Version ID’.

Programmes are based on clear and consistent aims, content, outcomes, and assessment practices. A programme may consist of multiple other programmes or components, but the most granular unit of education is called a "component"; **every Programme must consist of at least one component**.

Programmes differ from Qualifications, which define something a learner may achieve but not how education is delivered or assessed.

A TEO can develop Programmes provided the qualification it leads to has been registered on the NZQCF and the TEO has the necessary accreditation and gazetted coverage.

DXP supports two different styles of Programme, referred to as 'Study Type':

* An industry training programme
* A New Zealand Apprenticeship

DXP supports four different programme types:

* **Limited Credit Programme (LCP):** An LCP is designed to introduce a learner to a programme and to lead to the learner enrolling in a full programme once they complete the LCP.
* **Supplementary Credit Programme (SCP):** An SCP is designed to allow a learner to achieve an additional qualification or unit standard in addition to a qualification they already hold.
* **National Qualification (NQ):** An NQ Programme is any Industry Training Programme or NZA that leads directly to achieving of a qualification registered on the NZQCF.
* **Micro-credential (MC):** An MC programme focuses on skill development opportunities. Use this programme type where the programme is an MC. This MC can either consist of one component, the MC itself, or multiple types of components that make up that MC.

**Note:** An MC can be a programme or a component. DXP allows MCs to be recorded as a programme or as one of many components that make up a programme.

#### Complex arrangement

For programmes undertaken simultaneously, there is typically a significant qualification that the NZA programme is designed to achieve or more than one qualification the apprentice is expected to achieve through their Programme.

This situation is called a 'Complex Arrangement' or 'Complex Programme'. Complex arrangements will include at least one approved Industry Training programme and additional components necessary to provide an NZA programme.

There must be additional components where there is only one sub-programme; otherwise, this is a National Qualification programme.

For a complex arrangement, the sub-programme programme numbers must match those previously submitted for the old version. However, the sub-programme version numbers may be different.

### Programme registration

The process for registering a programme is as follows:

* TEO requests registration of a programme.
* DXP evaluates the request, including checking that associated qualification(s) have been registered on the NZQCF.
* DXP generates the Programme Number and Programme Version Number.
* DXP will transmit the programme and version numbers to the TMS for future reference.

### Active state concerning programmes

There are references related to programmes in this section to the state 'Active' (e.g., an 'Active' target programme). Programmes can be deemed active, and each Programme can have multiple versions that may or may not be active. For comparisons, a programme is deemed as active when:

* The Programme (and therefore its versions) belongs to the TEO.
* The Programme and its version are Approved (not declined)
* The expiry date of the version has not passed
* The version has some period overlapping the programme version you are comparing to (see diagram below):



To check if the periods overlap, use the following formula.

**Note:** It is possible for either the existing programme (E) or the new programme (N) to have no expiry date. In that case, this is set to MAX(date) and the following formula works using this MAX(date).

***IF*** *there are no expiry dates on either programme, they will overlap, so there is no need to check.*

***ELSE IF***

*the start date for the new programme is later, or the same as the start date of the existing programme, and the start date of the new programme should be earlier than the end date of the existing programme.*

***OR***

*The start date of the new programme is earlier than the start date of the existing programme, and the expiration date of the new programme is later than the start date of the existing programme.*

*Then the programme is Active.*

There are four scenarios when DXP checks whether there is an Active programme version:

* **Registering a new LCP:** Check that the LCP is active compared to the latest active version of the target NQ programme.
* **Registering a new LCP:** Check that no other LCP programmes have active versions relative to the new LCP, which targets the same NQ programme.
* **Registering a new version of an LCP:** Check that the LCP is active compared to the latest active version of the target NQ programme.
* **Registering a new version of an LCP:** Check that no other LCP programmes (different programme numbers) have active versions relative to the new LCP, which targets the same NQ programme.

Local programme names must be unique within the TEO for active programmes, i.e., active within the same period as the new registered programme.

**Note:** This is different frmom the situation where you are checking if an enrolment is Active.

### TEC approval process for funded programmes (versions)

Below is the approval process for Create Programme, Create Programme Version, and Update Programme Version cases relating to a programme.



### Programme versioning

Over time, a TEO may amend their programmes to better suit their industry or because of changes to the related qualifications. The TMS will register a new programme version to inform the TEC of such changes.

The elements required to register a new version of a programme are largely the same as those required to register a new programme.

Some changes to programme information constitute the need for a new version, and some will only need an update to the current version. This table details the situations when a new version will be required:

| **Item to be changed** | **New programme** | **New version** | **Update** |
| --- | --- | --- | --- |
| Programme Version Local ID | Yes | Not allowed | Not allowed |
| Programme Number | N/A | Not allowed | Not allowed |
| Programme Version Number | N/A | Not allowed | Not allowed |
| Programme Local Name | Yes | Yes | Not allowed |
| Programme Type Code | Yes | Not allowed | Not allowed |
| NZQCF level | Yes | Not allowed | Not allowed |
| Credit Value | Yes | Yes | Not allowed |
| Industry code | Yes | Yes | Not allowed |
| Occupation Code | Yes | Yes | Not allowed |
| Duration Months | Yes | Yes | Not allowed |
| Start Date | Yes | Yes | Not allowed |
| Expiry date | Yes | Yes | Yes |
| Target Qual Number or Strand Number | Yes | Yes | Not allowed |
| Target Qual Version Number | Yes | Yes | Not allowed |
| Target Programme Number | Yes | Yes | Not allowed |
| Add/remove/change component or component version | Yes | Yes | Not allowed |
| Study Type Code | Yes | Yes | Not allowed |
| Mode Of Delivery Code | Yes | Yes | Not allowed |
| Maximum Programme Fee | Yes | Yes | Yes |

Only the TEO that registered the original programme may create a new version of a programme.

Please note that we have removed the following attributes as part of a programme:

* Historical Programme Course Number
* Funding Source Code
* Terms and Conditions Indicator
* Embedded Literacy Indicator
* Sub-programme Number

When creating different versions of sub-programmes as part of a complex arrangement, the sub-programme's programme numbers must match those previously submitted for the old version. However, the sub-programme version numbers may be different.

### Programme data

Below is the data required for programmes and programme versions.

| Field Title | Description | Field specification | Validation |
| --- | --- | --- | --- |
| Programme Version Local ID | The owning organisations reference for the Programme version.  Must be unique within the TEO for a programme and its version. The TEO cannot have two programmes with the same local programme identifier. | **Length:** 20  **Type:** String  **Guidance:** | **Error:**  XXX: Your organisation’s Programme Version Local ID must be unique  XXX: Programme cannot be found |
| Programme Number | A number issued by TEC that uniquely identifies a programme. | **Type:** Integer  **Guidance:** A TEO cannot have multiple programmes with the same Program Number and Version. | **Error:**  XXX: Invalid programme number. TEO does not own programme  XXX: There are duplicates of this programme and version for this TEO |
| Programme Version Number | A number issued by TEC that identifies a version of a programme. | **Type:** Integer  **Guidance:** A TEO cannot have multiple programmes with the same Program Number and Version. | **Error:**  XXX: Invalid Programme Version Number. TEO does not own programme  XXX: There are duplicates of this programme and version for this TEO |
| Programme Local Name | The name by which the TEO refers to the programme. This name should follow the TEC naming standards where possible but can be tailored to the ITOs needs. | **Length:** 255  **Type:** String  **Guidance:** The Programme Name must be unique within the TEO and use the following standard:   * TEO Name + Programme Type + * Qualification Name + * Qualification Version + * Programme Level + * Qualification Strand | **Error:**  XXX: Your organisation’s programme name must be unique  XXX: Programme Local Name is blank |
| Programme Type Code | A number that identifies the type of programme. | **Length:** 3  **Type:** String  **Guidance:** Select a value from the list below:   |  |  | | --- | --- | | ***NQ*** | National Qualification Programme, a single training programme or modern apprenticeship | | ***LCP*** | Limited Credit Programme, an introductory programme intended to introduce a learner to a specific national qualification and lead to enrolment in, and completion, of that qualification. | | ***SCP*** | Supplementary Credit Programme, a programme that adds to an existing qualification already held by the learner. | | ***MC*** | Micro-credential Programme, a programme focussing on skill development opportunities. Used when a programme is a Micro-credential, and this micro-credential consists of one or more various components. | | ***COM*** | Complex arrangement,programme that contains sub-programmes and/or additional components. | | **Error:**  XXX: Programme Type Code is blank  XXX: Programme Type Code is invalid  XXX: LCP target programme must be a National Qualification programme  XXX: For complex arrangements sub-programmes may only be of type NQ  XXX: There must be at least one sub-programmes or at least one additional component associated with the parent programme  XXX: NZA with one sub-programme must also supply additional components |
| NZQCF Level | A number between 1 and 10 that identifies the level on the NZQCF of the Programme. | **Length:** 20  **Type:** String  Guidance: Please enter a value between 1 and 10 inclusion, whole numbers only.  Where a qualification strand exists, then the level listed on the strand should be used. Where there is not, or the strand ‘0’ is used, then use the level on the qualification.  An NZA must have a NZQCF level of 4 or more. | **Error:**  XXX: NZQCF is blank  XXX: NZA NZQCF level must be greater than or equal to the minimum NZQCF value allowed |
| Credit Value | The number of credits to be assessed during the programme. | **Type:** Integer  **Guidance:**  Where there is a strand the credit value listed on the strand should be used. Where there is not, or the strand ‘0’ is used, then use the credits on the qualification. | **Error:**  XXX: Credit Value is blank  XXX: Credit Value must be an integer  XXX: LCP credit value must be less than the maximum percentage of the target programme credits  XXX: LCP credit value must be greater than or equal to the minimum credit value allowed  XXX: LCP credit load per year must be less than or equal to the maximum credit load allowed  XXX: LCP credit value must be less than or equal to the maximum credit value allowed  XXX: NQ programme credit value must be greater than or equal to the minimum credit value allowed  XXX: NQ programme credit load per year must be less than or equal to the maximum credit load allowed  XXX: NQ programme credit value must be less than or equal to the maximum credit value allowed  XXX: SCP credit load per year must be less than or equal to the maximum credit load allowed  XXX: SCP credit value must be less than or equal to the maximum credit value allowed  XXX: SCP credit value must be greater than or equal to the minimum credit value allowed  XXX: NZA with sub-programmes must have a credit load per year that is less than or equal to the maximum credit load allowed  XXX: NZA with sub-programmes must have a credit value greater than or equal to the minimum credit value allowed |
| Industry Code | Each programme must identify the industry or industries the programme is intended for.  Industry Code (ANSIC) is defined by Statistics New Zealand and identifies the industry the learner is primarily working in. TEC collects ANSIC at the level 4 of the hierarchy. | **Length:** 20  **Type:** String array  **Guidance:** Select a value from the Statistics NZ Australian and New Zealand Standard Industrial Classification 2006 V1.0.0 level 4 list for your organisation.  The Industrial classification is available at NZ Statistics: [Australian and New Zealand Standard Industrial Classification 2006 V1.0.0](https://aria.stats.govt.nz/aria/?_ga=2.135309105.1009763712.1696183847-2098091118.1684120248#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/CARS5587). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Industry Code is invalid  XXX: Industry Code is blank |
| Occupation Code | Each programme must identify the occupation the programme is intended for.  Occupation Code is defined by the TEC and identifies the occupancy the learner is primarily working in. | **Length:** 20  **Type:** String  **Guidance:** Select a value from the TEC Occupation classification list for your organisation.  The occupation classifications are listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Occupation Code is invalid  XXX: Occupation Code is blank |
| Duration Months | The number of whole months the programme takes to complete.  Duration is used to calculate a programmes’ credit per year, | **Length 3**  **Type:** Integer  **Guidance:** Minimum duration may vary by programme type. Current minimums based on the credit load are:   |  |  | | --- | --- | | **LCP** | 4 months | | **NQ** | 7 months | | **NZA** | 7 months | | **SCP** | 4 months | | **MC** | 0 months | | **Error:**  XXX: Duration Months is blank  XXX: Duration Months must be an integer  XXX: LCP duration must be greater than or equal to the minimum duration allowed  XXX: NQ duration must be greater than or equal to the minimum duration allowed  XXX: SCP duration must be greater than or equal to the minimum duration allowed  XXX: NZA duration must be greater than or equal to the minimum duration allowed |
| Start Date | Date from which the programme is available for use. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC. | **Error:**  XXX: Start Date must be before Expiry Date  XXX: The format is invalid |
| Expiry Date | Date on which the programme ceases to be available for enrolments. Any enrolments attempted after this date will be rejected. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Once an expiry date has passed it cannot be updated. | **Error:**  XXX: Expiry Date must be after the start date  XXX: Expiry Date must be greater than or equal to today  XXX: The format is invalid |
| Target Qualification Number | A number that identifies a qualification registered on the National Qualification and Credentials Framework that this programme leads to. | **Length:** 20  **Type:** String  **Guidance:** Enter the Qualification Number of the qualification that is specific to your organisation. | **Error:**  XXX: Target qualification / strand must exist and have an active status at NZQA |
| Target Qualification Version Number | A number that identifies a version of a qualification on the NQCF. | **Type:** Integer  **Guidance:** Enter the Qualification Number of the qualification that is specific to your organisation.  This field is required when a Target Qualification Number has been supplied. | **Error:**  XXX: Target Qualification Version Number is blank when a Target Qualification Number has been supplied |
| Target Qualification Strand Number | A number that identifies a strand of a qualification. Only supply this value if you want to identify a specific strand of a qualification. | **Type:** Integer  **Guidance:** If the Strand Number is provided, null, whitespaces and “0” strand numbers will not be accepted. For any other values, DXP will check the strand and validate it exists on the NQF for this programme and version. | **Error:**  XXX: Target qualification / strand must exist and have an active status at NZQA |
| Target Programme Number | Used for LCPs and Complex arrangements. For Complex it will contain the Programme number of the Parent programme, and for LCP it will contain the Programme Local ID of the target programme. | **Length:** 20  **Type:** String  **Guidance:** Enter the Programme Local ID. | **Error:**  XXX: An active version of the LCP target programme could not be found for your organisation  XXX: For complex arrangements, the Target Programme Number must have a Programme Type Code of ‘COM’  XXX: LCP target programme must be a National Qualification programme  XXX: LCP target programme already has an active LCP programme  XXX: LCP programme study type(s) must be the same as or a subset of the Study Type codes for the target programme |
| Study Type Code | Unique identifier of the type of learning.  This is a new field that replaces the previous ‘Funding Source Code’ field, as all work-based is funded under UFS. | **Length:** 3  **Type:** String  **Guidance:** Select a value from the list below.  **NZA** - New Zealand Apprenticeship  **IT** – Industry Training  For complex arrangements the sub-programmes must have the same Study Type as the over-arching programme. | **Error:**  XXX: Study Type Code is blank  XXX: Study Type Code is invalid.  XXX: LCP must have an ‘IT’ study type  XXX: SCP must have an ‘IT’ study type  XXX: Programme study type must be unique  XXX: Sub-programme study type is different to over-arching parent programme. |
| Mode of Delivery Code | The channel through which learning is delivered.  This is a new field that is needed for funding purposes under UFS. | **Type:** Integer  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **24** | Work-based | | **25** | Work-based: Pathway to work | | **26** | Assessment and Verification |   Validation will fail if the programme is ‘Assessment and Verification’ and associated programme enrolment(s) are ‘Work-based ‘or ‘Work-based: Pathway’.  If Mode of Delivery for a programme version is ‘Assessment and Verification’, then all associated programme enrolments’ mode of delivery must also be ‘Assessment and Verification’.  Where a programme version mode of delivery is ‘Work based’, the mode of delivery for associated programme enrolments can only be ‘work-based’, or ‘Work-based: Pathway’.  For complex arrangements the sub-programmes must have the same Mode of Delivery as the over-arching programme. | **Error:**  XXX: Mode of Delivery is blank  XXX: Mode of Delivery value is invalid  XXX: Sub-programme Mode of Delivery is different to over-arching parent programme. |
| Maximum Programme Fee | Defines what the maximum fee amount (Inclusive of GST) is for this programme.  Used in conjunction with the Total Work-based Learner Fees to understand the fees charged across vocational education. | **Type:** Decimal (8,2)  **Guidance:** Enter an amount between -$100,000.00 and $100,000.00(inclusive), for example $1000.00. Enter a value to the nearest cent. The value is expressed as a decimal rounded to two decimal places – e.g., 0.15. | **Error:**  XXX: The value entered is not an integer  XXX: Maximum Programme Fee is blank  XXX: Maximum fee is less than -$100,000  XXX: Maximum fee is greater than $100,000 |

## Training agreement

### Introduction to training agreements

To claim funding from the TEC, a learner must have a valid training agreement, a formal agreement between the learner, employer and TEO.

The difference between a Training Agreement and Enrolment are:

* A Training Agreement records information about the agreement between the learner, employer and TEO, and
* An Enrolment records information about the programme(s) the learner has enrolled in within the scope of the Training Agreement.

When creating a new training agreement, there must also be an associated programme enrolment for that learner at that TEO, where the enrolment date is on or after the training agreement signed date. This will require the TEO to supply both the Training Agreement and Programme Enrolment data.

#### Transfer employer

Learners sometimes change employers during their training. When this occurs, the enrolment continues, but the training agreement with the old employer is ended, and a new training agreement is created. This results in the enrolment(s) and associated component enrolments automatically transferring to the new training agreement. This transfer date would be recorded against the impacted programme enrolment(s) in the ‘Transfer Date’ field.

The following are some key points about transferring employers:

* DXP will assign the new training agreement a status of ACTIVE, regardless of the status of the training agreement with the previous employer. The only exception is where a Training Plan is required, in which case, the new training agreement will be PENDING until a training plan is put in place.
* If a training agreement has a status of FINISHED it cannot be transferred.
* Where the training agreement status was in GRACE, the transfer date to the new employer cannot be earlier than the date the status went to GRACE. If the transfer date is earlier, DXP will automatically change the date to be one day later than the GRACE status date.

### Training agreement statuses

Every training agreement has a status. The status indicates what is happening with the training agreement and is used to calculate funded delivery.

There are five training agreement statuses:

* **Pending:** A training agreement is set to Pending if it relates to an NZA.
* **Active:** The learner is actively participating and engaged in their work-based programme. Associated enrolments not “Completed” or “Withdrawn” will accrue EFTS.
* **Grace:** The TEO helps the learner to complete the programme or obtain another job. Associated enrolments not “Completed” or “Withdrawn” will accrue EFTS.
* **Hold:** A TEO may place a learner on hold if the learner is not actively training but intends to return to training within a short period. Placing a training agreement on hold means associated enrolments will no longer accrue EFTS.
* **Finished:** Training agreement has ceased.

#### Pending status

A TA remains with the pending status until one of the following scenarios occurs:

* The TEO has received an associated Training Plan – this will automatically result in an 'Active' status.
* The TEO manually sets the Training Agreement Status to 'Hold'.
* The TEO manually sets the Training Agreement Status to 'Grace'.
* The TEO reports the learner as withdrawing from the Training Agreement – this will automatically result in a status of 'Finished'.
* The TEO reports the Training Agreement transferred to a new Training Agreement as a result of an Employer transfer – this will automatically result in the original Training Agreement having a status of 'Finished' and the new Training Agreement having a status of 'Pending'.

**Note:** All associated enrolments are set to' Pending' when setting a Training Agreement to 'Pending'.

#### Active status

A Training Agreement becomes active when one of the following scenarios occurs:

* Creating a Training Agreement for an IT enrolment.
* Creating a Training Plan for an NZA enrolment.
* Restarting a Training Agreement after being on Hold, and if an NZA enrolment, there is a current Training Plan.

**Note:** When setting a Training Agreement to' Pending, all associated enrolments are set to' Pending'.

A Training Agreement will move from being ‘active’ when one of the following scenarios occurs:

* The TEO sets the Training Agreement status to ‘Hold’.
* The TEO sets the Training Agreement status to ‘Grace’.
* The TEO reports the learner as withdrawing from the Training Agreement - this will result in a status of ‘Finished’.

#### Grace status

A Training Agreement will move from being in ‘Grace’ when one of the following scenarios occurs:

* The grace period (currently set at six weeks [42 days]) lapses – this will set the training agreement to ‘Finished’.
* The TEO restarts the Training Agreement by setting the training agreement status to ‘Active’.
* The TEO sets the training agreement on ‘Hold’.
* The learner withdraws from their training agreement, which will set the training agreement to ‘Finished’.
* The learner transfers their programme to a new employer. This will result in the original Training Agreement having a status of ‘Finished’ and the new training agreement being ‘Active’, unless it is an NZA enrolment in which case a Training Plan is required. In the case of an NZA enrolment with no Training Plan then the status of the new Training Agreement will be “Pending”.

**Note:** At the end of the grace period, TEC will cease funding the learner. However, the TEO may continue training but will not receive TEC funding.

#### Hold status

A Training Agreement will move from being in ‘Hold’ when one of the following scenarios occurs:

* The TEO restarts the Training Agreement by setting the training agreement status to ‘Active’.
* The learner withdraws from their training agreement, which will set the training agreement to ‘Finished’.
* The learner transfers their programme to a new employer. This will result in the original Training Agreement having a status of ‘Finished’ and the new training agreement being ‘Active’. This is unless it is an NZA enrolment, in which case a Training Plan is required. In the case of an NZA enrolment and no Training Plan, the status of the new Training Agreement will be “Pending”.

**Note:** When setting a Training Agreement to “Hold”, all associated Enrolments that don’t have a status of “Withdrawn” or “Completed” are set to “Hold”.

#### Finished status

This status is not an option for selection, as DXP assigns it to training agreements based on the business rules below:

* The Training Agreement was in Grace, and the grace period has expired. An overnight batch process will achieve this expiration.
* The Training Agreement is withdrawn.
* The learner transfers their programme to a new employer, which sets the status of the Training Agreement with the previous employer to “Finished”.

When a Training Agreement has finished, no further updates or changes can be applied to it, and the training agreement cannot be reactivated. In situations where a learner wants to restart a training agreement that they withdrew from, a new training agreement will be required.

### Grace period expiry

DXP will run a nightly batch process to detect when the Grace Period has expired. If the Grace Period has expired on a Training Agreement, all associated Enrolments not already Completed or Withdrawn will be Withdrawn, and the Training Agreement will be Finished.

A new withdrawal reason will be added:

* “GE” – “Grace period automatically expired by system”.

All Training Agreements and Enrolments withdrawn via the overnight process will use this withdrawal reason.

#### Processing

The automated overnight Grace Period Expiry process works as follows.

For all training agreements with a status of “Grace” where the training agreement end date is on or before the grace period expiry batch processing date (i.e., today’s date), then:

* Update the training agreement table in the system:
  + Set the Training Agreement End Date in the system to the grace expiry date (i.e., today’s date)
* Update the training agreement status table in the system:
  + Update the training agreement status to “Finished”.
  + Set the withdrawal reason code = “GE”.
* Update the associated enrolments whose statuses are not “Completed” or “Withdrawn”:
  + For the relevant Programme Enrolments in the Programme Enrolment system table, update the actual participation end date to the training agreement end date.
  + Update the associated enrolments in the Programme Enrolment Status system table.
  + Create a new record where the status is withdrawn and withdrawal reason code = “GE”.
  + Note that for complex NZA, these updates listed above apply to the overarching programme enrolment and each sub-programme enrolments.
* If an expiring training agreement for a complex NZA and a current training plan exists, then:
  + Update the current training plan end date to the training agreement end date.

The Grace Expiry job will run once a day, during early morning. This means that if there are any Training Agreements with a status of “Grace” where the training agreement end date is today’s date, they will expire at the start of that day (not at the end of the day).

### Training agreement data

Below is the data required for training agreements.

| Field Title | Description | Field specification | Validation |
| --- | --- | --- | --- |
| Training Agreement Local ID | A unique number issued by the TEO that Identifies the training agreement that the Training Plan relates. | **Length:** 20  **Type:** String  **Guidance:** A programme enrolment must also exist and be submitted with any new training agreement. | **Error:**  XXX: Training Agreement Local ID cannot be blank  XXX: Training Agreement Local ID already exists, must be unique  XXX: Training Agreement has no associated Programme Enrolment |
| Learner Local ID | A code which uniquely identifies the learner within each TEO, as captured in a TEO’s TMS system.  The Learner Local ID must remain constant for the learner throughout their enrolment history at your organisation.  Note: This field has been renamed from ‘Local ID’ to ‘Learner Local ID’ | **Length:** 20  **Type:** String  **Guidance:** Thisnumber must be the unique value generated by each TEO via their TMS.  Both ‘Learner Identification Code’ and ‘Learner Local ID’ cannot both be NULL. | **Error:**  XXX: Learner Local ID is blank  XXX: Learner Local ID is not unique in the Learner data |
| Training Agreement Signed Date | Date the Training Agreement was signed by the learner, employer and TEO. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Training Agreement Signed Date must be before or equal to today.  The learner must be over 16 years old at date the training agreement is signed unless the MOE Exemption Code is supplied.  Training Agreement Signed Date must be no older than 120 days from today.  If the Training Agreement is the product of an Employer transfer, then the Training Agreement Signed Date of the new Training Agreement must be after the Training Agreement Signed Date of the previous Training Agreement.  Also, the new Training Agreement Signed Date must be at least one day after any preceding GRACE status for the previous Training Agreement. | Error:  XXX: Training Agreement Signed Date is blank  XXX: Training Agreement Signed Date is not a date  XXX: Training Agreement Signed Date must be on or before the processing date  XXX: The age of the learner at the signed date of the training agreement was below the minimum age allowed, and no MOE exemption code has been supplied  XXX: Training Agreement Signed Date is older than the allowed backdate period  XXX: Training Agreement Signed Date must be after the learner’s birth date  XXX: Where learner has transferred to a new training agreement, the training agreement signed date of the new training agreement must be greater than the previous training agreement  XXX: Training Agreement has already finished  XXX: Training Agreement Signed Date for new transferred Training Agreement is within a day of the GRACE period of the previous Training Agreement  XXX: The format is invalid  XXX: New Training Agreement Signed Date must be greater than the old Training Agreement Signed Date |
| Employer NZBN | The New Zealand Business Number issued by GS1 New Zealand to the organisation the learner is employed with. This field helps to identify an employer. | **Type:** String  **Guidance:** Enter your NZBN if applicable. | **Error:**  XXX: Employer’s NZBN is invalid  XXX: Employer’s NZBN, Employer Head Office Name, Employer Subdivision Name, Employment Region Code, or Employment TLA Code new training agreement must be different from the old training agreement |
| Employer Name | The name of the employer. Must be the legal name of the organisation that is employing the learner. Where the employer has multiple sites, this must be the name the parent or head office is known by. | **Length:** 255  **Type:** String  **Guidance:**  Must be the legal name of the organisation that is employing the learner. Where the employer has multiple sites, this must be the name the parent or head office is known by. | **Error:**  XXX: Employer Name is Blank  XXX: Employer’s NZBN, Employer Head Office Name, Employer Subdivision Name, Employment Region Code, or Employment TLA Code new training agreement must be different from the old training agreement |
| Employer Subdivision Name | The name of the subdivision a learner is working for where the employer has multiple sites. | **Length:** 255  **Type:** String  **Guidance:** Enter in the name of the subdivision if known or applicable. | **Error:**  XXX: Employer’s NZBN, Employer Head Office Name, Employer Subdivision Name, Employment Region Code, or Employment TLA Code new training agreement must be different from the old training agreement |
| Employee Region Code | A code defined by Statistics New Zealand that identifies the Region the Learner’s place of employment is located in. | **Type:** Integer  **Guidance:** Select a value from the Statistics New Zealand Regional Council (Generalised) 2023 classification.  The Region classification is available at NZ Statistics: [Regional Council (Generalised) 2023](https://datafinder.stats.govt.nz/layer/111182-regional-council-2023-generalised/). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Employee Region Code is blank  XXX: Employee Region Code is invalid  XXX: Employer’s NZBN, Employer Head Office Name, Employer Subdivision Name, Employee Region Code, or Employee TLA Code new training agreement must be different from the old training agreement |
| Employee Territorial Authority Code | A code defined by Statistics New Zealand that identifies the Territorial Authority the Learner’s place of employment is located in.  This is a new field that will provide a lower level of detail on where learners are employed. | **Type:** Integer  **Guidance:** Select a value from the Statistics New Zealand Territorial Authority (Generalised) 2023 classification.  Note: There is only a single Territorial Authority Code for Auckland. There is no further breakdown of geography within the Auckland Territorial Authority area.  The Territorial Authority classification is available at NZ Statistics: [Territorial Authority (Generalised) 2023](https://datafinder.stats.govt.nz/layer/111194-territorial-authority-2023-generalised/). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | Error:  XXX: Employee TA Code is blank  XXX: Employee TA Code is invalid  XXX: Employee TA Code and Region Code are an invalid combination  XXX: Employer’s NZBN, Employer Head Office Name, Employer Subdivision Name, Employee Region Code, or Employee TLA Code new training agreement must be different from the old training agreement |
| Industry Code | Each programme must identify the industry or industries the programme is intended for.  Industry Code (ANZSIC) is defined by Statistics New Zealand and identifies the industry the learner is primarily working in. | **Length:** 20  **Type:** String  **Guidance:** Select a value from the Statistics NZ Australian and New Zealand Standard Industrial Classification 2006 V1.0.0 level 4 list for your organisation.  The Industrial classification is available at NZ Statistics: [Australian and New Zealand Standard Industrial Classification 2006 V1.0.0](https://aria.stats.govt.nz/aria/?_ga=2.135309105.1009763712.1696183847-2098091118.1684120248#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/CARS5587). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Industry Code is invalid  XXX: Industry Code is blank |
| Occupation Code | Each training agreement must identify the occupation of the learner.  Occupation Code is defined by the TEC and identifies the occupancy the learner is primarily working in. | **Length:** 20  **Type:** String  **Guidance:** Select a value from the TEC Occupation classification list for your organisation.  The occupation classifications are listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Occupation Code is invalid  XXX: Occupation Code is blank |
| MoE Exemption Flag | If a learner is under 16, they are normally required to be enrolled in secondary education. This element captures a reference number provided by the MOE that identifies an exemption they have granted to a learner to not be in secondary education. | **Length:** 20  **Type:** String  **Guidance:** MOE Exemption Code must be supplied if learner is under 17 years old at time of signing training agreement. | **Error:**  XXX: The age of the learner at the signed date of the training agreement was below the minimum age allowed, and no MOE exemption code has been supplied |
| Employment Type Code | A code that identifies the nature of the learners’ employment relationship with their employer. | **Length:** 3  **Type:** String  **Guidance:** Select a value from the list below:   |  |  | | --- | --- | | **E** | Employee | | **SS** | State Sector | | **V** | Volunteer | | **SE** | Self Employed. | | **Error:**  XXX: Employment Type Code could not be found  XXX: Employment Type Code is blank |
| Training Agreement Status | A code which identifies the status of the Training Agreement. | **Length:** 20  **Type:** String  **Guidance:** Valid status values are below:   |  |  | | --- | --- | | **Pending** | A Training Agreement is set to Pending if it has been created for an NZA. | | **Active** | Learner is actively participating and engaged in their work-based programme. Associated enrolments that are not “Completed” or “Withdrawn” will accrue EFTS. | | **Grace** | TEO helps the learner to complete the programme or obtain another job. Associated enrolments that are not “Completed” or “Withdrawn” will accrue EFTS. | | **Hold** | An TEO may place a learner on hold if the learner is not actively training but intends to return to training within a short period of time. Placing a training agreement on hold means that all associated enrolments will no longer accrue EFTS. | | **Error:**  XXX: Status Code is blank  XXX: Status Code is invalid  XXX: Training agreement is new and is NZA and initial status is not ‘Pending’  XXX: Training agreement has already finished  XXX: Cannot change a training agreement status to GRACE from HOLD  XXX: Cannot change a training agreement status from ACTIVE to PENDING  XXX: Cannot change a training agreement status from GRACE to PENDING |
| Pause Date | The date on which the Training Agreement is paused. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Status Change Date must be before or equal to today. Status Change Date must be after the Training Agreement Signed Date.  Status can be backdated a maximum of three months from the current date. Completions are excluded from this limitation and any backdated events stemming from the receipt of a completion from NZQA can be applied beyond the three-month limit. | **Error:**  XXX: Pause Date is blank  XXX: Pause Date is in the future  XXX: Pause Date is on or before the Training Agreement Signed Date  XXX: Pause Date is beyond the backdating limit  XXX: The format is invalid |
| Restart Date | The date on which the Training Agreement is restarted. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Status Change Date must be before or equal to today. Status Change Date must be after the Training Agreement Signed Date.  When restarting a Training Agreement from being on ‘Hold’. The ‘Restart’ date must be on or after the date on which the training agreement went on hold. | **Error:**  XXX: Restart Date is blank  XXX: Restart Date is in the future  XXX: Restart Date is on or before the Training Agreement Signed Date  XXX: Restart Date is before the ‘Hold’ date.  XXX: Restart Date is beyond the backdating limit  XXX: The format is invalid |
| Grace Reason Code | Identifies why a Training Agreement has been place in GRACE | **Length:** 2  **Type:** Character  **Guidance:** A reason code must be provided if status code is GRACE. Please select one of the reason codes below.   |  |  | | --- | --- | | **Reason Code** | **Description** | | LE | Loss of employment | | DM | Dismissal | | RD | Redundancy | | **Error:**  XXX: Grace Reason Code is blank  XXX: Grace Reason Code is invalid |
| On Hold Reason Code | Identifies why a Training Agreement has moved into either a HOLD or GRACE | **Length:** 2  **Type:** Character  **Guidance:** A reason code must be provided if status code is HOLD. Please select one of the reason codes below.   |  |  | | --- | --- | | **Reason Code** | **Description** | | SW | Seasonal work | | PL | Parental leave | | OV | Overseas travel | | MD | Medical/ACC | | CI | Attending correctional institution | | OT | Other | | ST | Stop training (still with employer) | | WE | Work Experience | | **Error:**  XXX: On Hold Reason Code is blank  XXX: On Hold Reason Code is invalid |
| Withdrawal Date | Date on which learner withdrew from their Training Agreement | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  An TEO can withdraw a training agreement when the agreement between the learner, employer and TEO ceases before the related enrolments are complete.  The effect of withdrawing a training agreement is to withdraw all enrolments within the agreement that are not complete or withdrawn.  Training Agreement must have a status of “Pending”, “Active”, “Hold” or “Grace” to be withdrawn.  Withdrawal date must be on or after the Training Agreement Signed Date.  Withdrawal date must be before or equal to today.  Withdrawal date must be on or after the latest participation start date. | **Error:**  XXX: Withdrawal Date is not a date  XXX: Training agreement must have a status of “Pending”, “Active”, “Hold”, or “Grace” to be withdrawn  XXX: Withdrawal Date is before the Training Agreement Signed Date  XXX: Withdrawal Date is in the future  XXX: Withdrawal Date is before **the** latest participation start date  XXX: The format is invalid |
| Withdrawal Reason Code | Identifies the reason why the learner withdrew from their Training Agreement | **Length:** 3  **Type:** Character  **Guidance:** A reason code must be supplied if a withdrawal date is supplied. Select a value from the list below:   |  |  | | --- | --- | | **BC** | Business closed | | **BD** | Business downturn | | **CC** | Change in career choice | | **AP** | Changing from Industry Trainee to Apprentice | | **CP** | Change of programme | | **DC** | Deceased | | **DS** | Dissatisfied with employer/industry | | **DF** | Transfer to DFSO | | **EW** | Exiting the workforce | | **LS** | Lack of employer support | | **LA** | Length of apprenticeship | | **LI** | Linked Enrolment | | **NA** | Transferring from MA to NZA funded programmes | | **NF** | Non-payment of fee | | **OT** | Other | | **OD** | Over programme duration | | **PC** | Parental commitment | | **ST** | Stop Training (still with employer) | | **TI** | Transfer TEO | | **LE** | Loss of Employment | | **Error:**  XXX: Withdrawal Reason Code is blank where a Withdrawal Date has been supplied  XXX: Withdrawal Reason Code is invalid |

## Training plan

### Introduction to training plans

New Zealand apprentices must have a Training Plan to be eligible for TEC funding. An NZA training plan represents the agreement between the apprentice, employer, and TEO on the additional support the TEO will provide during the apprenticeship. An NZA Training Plan and a training agreement are tightly linked, representing an agreement between the apprentice, employer and TEO.

When creating a training plan, TEOs must inform TEC before the apprenticeship is eligible for TEC funding.

**Important:**TEOs do not need to report a training plan for industry trainees.

NZA Training Plans must be created after the related training agreement.There can only be one training plan with an associated training agreement at a given time. However, multiple training plans can be associated with a training agreement over time.

On submission of a valid Training Plan, DXP will:

* Set the enrolment participation start date on all enrolments linked to the Training Agreement that are “Pending”, “Hold”, “Grace” (i.e., not “Completed” or “Withdrawn”) unless this date is already greater than the TrainingPlanSignedDate. The enrolments start accruing EFTS from this point.
* For each enrolment where the participation start date is updated, check that the programme is active as of the Training Plan signed date.
* For each Pending enrolment on the training agreement, change the enrolment status to “Active”.
* If the Training Agreement status is “Pending”, update it to “Active”.

### Training plan data

Below is the data required for training plans.

| Field Title | Description | Field specification | Validation |
| --- | --- | --- | --- |
| Training Plan Local ID | A unique number issued by the TEO that identifies the Training Plan. A unique Training Plan has a unique combination of Organisation ID, Learner Local ID, and Training Plan Signed Date. | **Length:** 20  **Type:** String  **Guidance:** | **Error:**  XXX: Training Plan Local ID must be unique within the TEO  XXX: Training Plan Local ID is blank |
| Learner Local ID | A code which uniquely identifies the learner within each TEO, as captured in a TEO’s TMS system.  The Learner Local ID must remain constant for the learner throughout their enrolment history at your organisation. | **Length:** 20  **Type:** String  **Guidance:** Thisnumber must be the unique value generated by each TEO via their TMS.  Both ‘Learner Identification Code’ and ‘Learner Local ID’ cannot both be NULL. | **Error:**  XXX: Learner Local ID is blank  XXX: Learner Local ID is not unique in the Learner data |
| Training Agreement Local ID | A unique number issued by the TEO that Identifies the training agreement that the Training Plan relates. | **Length:** 20  **Type:** String **Guidance:** The referenced Training Agreement must:   * exist and match the training agreement for that apprentice at that TEO. * have a status of ‘Pending’, ‘Hold’, or ‘Grace’.   Enrolments associated with the Training Agreement must be NZAs.  A single Training Agreement can relate to multiple Training Plans. | **Error:**  XXX: Must be the only training plan for the associated training agreement  XXX: Training agreement not found for this organisation and learner.  XXX: Training agreement referenced has a status of Active or Finished  XXX: Enrolments associated with the Training agreement are not NZ apprenticeships |
| Training Plan Signed Date | The date the training plan was signed between the apprentice, employer, and MAC. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  The Training Plan Signed Date must be on or after the associated Training Agreement Signed date.  For each Pending, Hold, Grace enrolment associated with the Training Agreement, where enrolment participation start date is before the Training Plan Signed Date, check that the programme is active as at the Training Plan Signed Date. This check is required, as these enrolments will have their participation start date uploaded to Training Plan Signed Date. This change also applies to Complex Arrangements for both over-arching and sub-enrolments. | **Error:**  XXX: Training Plan Signed Date is before the Training Agreement Signed Date  XXX: Training Plan Signed Date is a future date  XXX: Training Plan Signed Date is blank  XXX: Associated programme is not active at Training Plan Signed Date  XXX: Training Plan Signed Date overlaps another training plan for the same training agreement  XXX: The format is invalid |
| Visit Local ID | A code which uniquely identifies a visit against a training plan. | **Length:** 20  **Type:** String  **Guidance:** This number must be a unique value. | **Error:**  XXX:Visit Local ID is blank when Visit Date is submitted  XXX: Visit Local ID already exists |
| Visit Date | The date the visit occurred. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  The Visit Date must be on or after then Training Plan Signed Date, must be a date no later than today, and must be on or before the Training Plan End Date. Multiple visits with the same learner cannot be reported on the same day.  A training plan can have many associated visits. | **Error:**  XXX: Visit Date is before the Training Plan Signed Date  XXX: Visit Date is a future date  XXX: Multiple visits for same learner on the same date  XXX: Visit Date is after the Training Plan End Date  XXX: The format is invalid |

## Programme enrolment

### Validation of Enrolments

Validation of simple enrolments consists of five parts:

* **Learner details:** Details about the learner are validated first
* **Associated training agreement:** Rules relating to valid associated training agreements are validated
* **Associated programmes:** Rules relating to associated programmes are validated
* **Associated component enrolments:** Rules relating to associated component enrolments are validated
* **Programme enrolments:** The remaining rules on programme enrolments are validated.

### Active state concerning Programme Enrolments

At several points during the descriptions of enrolments in this section, there will be a reference to the state ‘Active’, e.g., an ‘Active’ programme. For enrolment comparisons, a programme is deemed as active when:

* The programme belongs to the TEO. If not, validation fails.
* The programme is not declined, i.e., Approved
* The programme expiry date has not passed
* Enrolment starts within the period of the programme.



To check this, use the following formula.

**Note:** It is possible that the existing programme (E) will have no expiry date. Where that is the case, this is set to MAX(date) and the following formula works using this MAX(date). There is no expiry for an enrolment until it is completed/withdrawn.

*(N) Participation Start Date >= (E) Start Date AND (N) Participation Start Date < (E) End Date*

**Note:** This differs where you register a programme (refer to the Programme section of this document).

### Simple programme enrolment

This is the simplest form of enrolment. It doesn’t contain any form of sub-enrolment and has no over-arching programme enrolment. A simple enrolment involves a TEO enrolling a learner on a work-based programme.

A learner may simultaneously enrol in multiple programmes as an Industry Trainee learner but cannot enrol in multiple NZAs.

A “Current” enrolment is an enrolment with a status of “Active”, “Pending”, “Hold”, or “Grace”.

### Complex programme enrolment

Some NZA programmes will consist of one or more approved industry training programmes and additional components when necessary to provide a balanced NZA programme. Within the DXP, these programmes are called “Complex Programme Enrolments”.

The purpose of the Complex Enrolment Type is to capture enrolment information when learners enrol in an NZ apprenticeship and each sub-enrolment.

A Complex Programme Enrolment comprises of two parts:

* Enrolment information for the NZA enrolment itself. This shares elements with simple programme enrolments but does not include components specified in the sub-programme enrolment
* Sub-Programme Enrolment – details about the industry training programme enrolments that make up the NZA enrolment and any additional components which are part of the complex NZ.

### Component enrolments

Previously, the ITR contained “Standards” that formed part (a component) of a programme. Since the inception of ITR, new components like Skill Standards and Micro-credentials are now available in a work-based learning environment. The new DXP incorporates these new and possible future components by widening the existing schema to include the ‘type of component’ being reported.

A unique component is the unique combination of “Component Type Code”, “Component Number”, and “Component Version Number”.

Every programme must consist of at least one component and every component enrolment must be associated with a programme enrolment.

Where a programme consists of multiple layers of components, only report the lowest level of components.

For example, if a TEO delivers programme A, which consists of a micro-credential, and that micro-credential consists of standards 1, 2, and 3, only report component enrolments for standards 1, 2, and 3.

A component enrolment can be deleted if no completion has been recorded against it. Completions cannot be removed through DXP. Please contact NZQA and TEC to remove component completions.

### Programme component register

The programme component register records the components associated with each programme regardless of whether an enrolment exists. This provides information on how programmes are shaped and what components are shared between programmes.

Key points about the Programme-component register:

* A complex programme will only have components that are unique to itself and are not associated with any of the sub-programmes.

### Programme enrolment withdrawal

Where a learner cannot complete their enrolment(s), the TEO must submit a withdrawal as soon as the TEO becomes aware that training has ceased. This is a TEC requirement to ensure accurate calculation of EFTS.

### Adding a programme enrolment to a training agreement

A TEO can add a simple IT enrolment to an existing and active Training Agreement. The enrolment status of the new enrolment will have the same status as the Training Agreement.

### Deleting a programme enrolment

A TEO can delete a previously submitted programme enrolment. There are no data fixes to un-delete programme enrolments once they are ‘Deleted’.

Deleting a programme enrolment deletes the enrolment and its associated status and component enrolment records. The associated programme, training plan, and training agreement records remain.

Where completed components are held against the programme enrolment to be deleted, the TEO will be responsible for attaching these to the new programme enrolment (provided that the new enrolment’s participation start date is before the component assessment date).

### Programme enrolment statuses

Every programme enrolment has a status. The Status indicates what is happening with the programme enrolment and is used to calculate funded delivery. DXP will determine these values.

Statuses can be backdated a maximum of three months from the current date. Completions are excluded from this limitation and any backdated events stemming from the receipt of a completion from NZQA can be applied beyond the three-month limit.

There are six Programme Enrolment Statuses:

* **Pending:** A Programme Enrolment is set to Pending if created for an NZA
* **Active:** A Learner is actively participating and engaged in their work-based programme.
* **Grace:** TEO helps the learner to complete the programme or obtain another job. Associated enrolments not "Completed" or "Withdrawn" will accrue EFTS.
* **Hold:** A TEO may place a learner on hold if the learner is not actively training but intends to return to training within a short period. Placing a training agreement on hold means all associated enrolments will no longer accrue EFTS.
* **Withdrawn:** A Learner has withdrawn from their programme enrolment.
* **Completed:** Learner has completed their programme enrolment.

DXP will derive the Programme Enrolment Status based on the business rules below using the training agreement and programme enrolment information supplied.

#### Pending status

A Programme Enrolment remains with a “Pending” status if the associated Training Agreement has a “Pending” status.

#### Active status

A Programme Enrolment has an “Active” status to match the associated training agreement’s “Active” status. Only programme enrolments with a status of Active or Grace will accrue EFTS.

#### Grace status

A Programme Enrolment has a “Grace” status to match the associated training agreement’s “Grace” status. Only programme enrolments with a status of Active or Grace will accrue EFTS.

#### Hold status

A Programme Enrolment has a “Hold” status to match the associated training agreement’s “Hold” status.

#### Completed status

A programme Enrolment has a status of “Completed” when the NZQA Record of Achievement check indicates that the learner has achieved the qualification AND has achieved all additional components (if any).

#### Withdrawn status

A programme Enrolment has a status of “Withdrawn” when one of the following scenarios occurs:

* Associated Training Agreement was in “Grace”, and the grace period has lapsed.
* Associated Training Agreement was “Withdrawn”, and the enrolment was not previously set to “Withdrawn” or “Completed”.
* The Learner has withdrawn from the programme.

A “Current” enrolment is defined as an enrolment with a status is “Active”, “Pending”, “Hold” or “Grace”.

### Transferring an enrolment to another programme version

A TEO can transfer a learner’s enrolment to the latest version of the same programme to save withdrawing and re-enrolling learners when they move programme versions. TEOs can transfer Learners multiple times. However, transfers cannot overlap, and the TEO must supply the transfer date for all transfers.

Transferring a learner from one programme version to another will not impact EFTS. EFTS are calculated for both versions of the programme using the transfer date as the end date of the ‘transferred from’ programme version and the start date of the ‘transferred to’ programme version.

General rules relating to transfers:

* The transfer date cannot be before the previous transfer date
* A learner cannot transfer programme versions if the programme enrolment has a WITHDRAWN or COMPLETED status.

Transfers are allowed for simple enrolments when:

* The programme version is registered and must exist.
* The programme version is Active as of the date of Transfer.
* The programme version must be the same programme number the learner was enrolled originally.

Transfers are allowed for complex arrangements when:

* A learner can be transferred to a new programme version even if only one sub-programme is left to transfer.
* Additional unit standards can be added to the enrolment. The additional unit standards must exist for the parent programme enrolment to which the learner is transferred.
* Sub-programme numbers must remain the same; only version numbers can be changed.

Components will be allowed on the transferred enrolment when:

* For an LCP or SCP, the component exists in programme version the learner is to be transferred to and not be assessed as achieved before the transfer date.
* The component has been achieved after the Transfer Date.
* The component has not been achieved.

The outcome of the transfer will result in:

* The programme version the learner has transferred to.
* Enrolment status is “Active”, “Hold”, or “Grace”.
* Continuation of components achieved after Transfer Date.
* Continuation of non-achieved components.

### Programme enrolment data

Below is the data required for programme enrolments.

| Field Title | Description | Field specification | Validation |
| --- | --- | --- | --- |
| Programme Enrolment Local ID | A unique number issued by the TEO that identifies the programme enrolment within their system. | **Length:** 20  **Type:** String  **Guidance:** Must not be used to identify any other enrolment supplied by the TEO, regardless of enrolment status. Note: this does not include DELETED enrolments.  Updates to any programme enrolment column cannot be made if programme enrolment status is Withdrawn or Completed. | **Error:**  XXX: The enrolment local identifier is not unique  XXX: Programme Enrolment Local ID is blank  XXX: Cannot update a withdrawn or completed programme enrolment |
| Programme Number | A number issued by TEC that uniquely identifies a programme. | **Type:** Integer  **Guidance:** A TEO cannot have multiple programmes with the same Program Number and Version. | **Error:**  XXX: Invalid Programme Number. TEO does not own the programme |
| Programme Version Number | A number issued by TEC that identifies a version of a programme. | **Type:** Integer  **Guidance:** A TEO cannot have multiple programmes with the same Program Number and Version. | **Error:**  XXX: Invalid programme version. TEO does not own the programme |
| Learner Local ID | A code which uniquely identifies the learner within each TEO, as captured in a TEO’s TMS system.  The Learner Local ID must remain constant for the learner throughout their enrolment history at your organisation. | **Length:** 20  **Type:** String  **Guidance:** Thisnumber must be the unique value generated by each TEO via their TMS.  Both ‘Learner Identification Code’ and ‘Learner Local ID’ cannot both be NULL. | **Error:**  XXX: Learner Local ID is blank  XXX: Learner Local ID is not unique in the Learner data |
| Training Agreement Local ID | A unique number issued by the TEO that Identifies the training agreement that the Training Plan relates. | **Length:** 20  **Type:** String  **Guidance:** Training Agreement Status cannot be ‘Finished’. There must be a matching training agreement for this learner and TEO within DXP.  The same Training Agreement ID must be applied against all relevant sub-programme and over-arching programme enrolments. | **Error:**  XXX: Cannot add enrolments to a ‘Finished’ training agreement  XXX: Training agreement not found for this organisation and learner |
| Complex Arrangement Parent Programme Enrolment Local ID | The Programme Enrolment Local ID of the parent programme.  Programme Enrolment Local ID is a unique number issued by the TEO that identifies the programme enrolment within their system. | **Length:** 20  **Type:** String  **Guidance:** The programme associated with the parent programme enrolment local ID must be valid for a complex arrangement.  Where the programme enrolment is a simple enrolment then leave this field blank. | **Error:**  XXX: Overarching programme local identifier cannot be found |
| Residential Status | Identifies if the Learner has New Zealand resident status for each enrolment. | **Length:** 1  **Type:** Boolean  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **Y** | New Zealand Resident visa holder (Excludes all New Zealand and Australian Citizens) | | **N** | Not a New Zealand Resident visa holder (Includes all New Zealand and Australian Citizens) |   For complex arrangements, the residential status of the sub-enrolment(s) must be the same as the residential status of the parent programme enrolment. | **Error:**  XXX: Residential Status is other than Y or N or is blank  XXX: Sub-programme enrolment Residential Status is different to over-arching parent programme enrolment.  **Warning:**  XXX: Residential Status is Y and Country of Citizenship code is NZL or AUS  XXX: Both Residential Status and Australian Residential Status is N and Country of Citizenship Code is 999 |
| Australian Residential Status | Identifies if the Learner has Australian permanent resident status for each enrolment. | **Length:** 1  **Type:** Boolean  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **Y** | Australian Permanent Resident | | **N** | Not an Australian Permanent Resident |   For complex arrangements, the Australian Residential Status of the sub-enrolment(s) must be the same as the Australian Residential Status of the parent programme enrolment. | **Error:**  XXX: Australian Residential Status is other than Y or N or is blank  XXX: Sub-programme enrolment Australian Residential Status is different to over-arching parent programme enrolment.  **Warning:**  XXX: Australian Residential Status is Y and Country of Citizenship Code is NZL or AUS  XXX: Residential Status or Australian Residential Status is N and Country of Citizenship code is 999 |
| Enrolment Date | The date the learner became enrolled on the programme. This may be different from the date that learner started training or learning. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Enrolment date must be on or after the training agreement signed date.  For sub-enrolments, the sub-programme enrolment date must be on or after the overarching programme enrolment date. | **Error:**  XXX: Enrolment Date is blank  XXX: Enrolment Date must be on or after the training agreement signed date  XXX: Sub-programme Enrolment Date is before the enrolment date of the overarching programme enrolment  XXX: The format is invalid |
| Participation Start Date | The date the learner started learning or training. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Participation Start date must be on or after the Enrolment date. For NZAs the participation start date must be the same as the Training Plan Start Date.  For sub-programmes, the sub-programme participation start date must be on or after the participation start date of the overarching programme enrolment participation start date.  If the TEO needs to change the participation start date, they will need to withdraw the enrolment and create a new enrolment. | **Error:**  XXX: Participation Start Date must be on or after the Enrolment Date  XXX: Participation Start Date is blank  XXX: Sub-programme participation start date is before the participation start date of the overarching programme enrolment  XXX: Participation Start Date does not match original participation start date for this enrolment  XXX: The format is invalid  XXX: The Participation Start Date must be the same as the Training Plan Signed Date for NZA learners. |
| Study Type Code | Unique identifier of the type of learning. This field is required to identify whether learner is taking an Industry Training programme or an NZA. | **Length:** 3  **Type:** Character  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **NZA** | New Zealand Apprenticeship | | **IT** | Industry Training |  * Where the value supplied = ’NZA’ the learner cannot have any other “Active”, “Pending”, “Hold”, or “Grace” NZA enrolments at any TEO. * Where the Study Type Code is ‘NZA’ the Participation Start Date cannot be before 1st Jan 2014.   For complex arrangements, all sub-programmes and parent programme enrolments must have the same Study Type Code. | **Error:**  XXX: Study Type Code is blank  XXX: Study Type Code is invalid  XXX: Learner has an existing NZA enrolment  XXX: NZA programme enrolment participation start date is before 1st Jan 2014  XXX: Sub programme enrolment study type code is different to over-arching parent programme enrolment. |
| Funding Source Type Code | The code that identifies the source of the funding that supports the learner's enrolment in the programme.  This is the same list of funding source codes as used for reporting Provider-based learning, except only funding source code 37 is applicable for work-based. | **Length:** 2  **Type:** Alpha-Numeric  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **37** | Non-degree Delivery at Levels 3-7 on the NZQCF (DQ3-7) |   For complex arrangements the funding source code of the sub-enrolments must match the funding source code of the parent enrolment. | **Error:**  XXX: Source of funding is blank  XXX: Source of funding is invalid  XXX: Sub-programme enrolment source of funding is different to over-arching parent programme enrolment |
| Mode of Delivery Code | The channel through which learning is delivered.  This field is required for the purpose of funding determination and for identifying how work-based learning is delivered. | **Type:** Integer  **Guidance:** Select from one of the values below.   |  |  | | --- | --- | | **24** | Work-based | | **25** | Work-based: Pathway to work | | **26** | Assessment and Verification |   The programme enrolment’s mode of delivery must match the associated programme’s mode of delivery for ‘Assessment and Verification’.  For complex arrangements, the mode of delivery of sub-programme enrolments must match the mode of delivery of the over-arching programme enrolment. | **Error:**  XXX: Mode of Delivery is blank  XXX: Mode of Delivery value is invalid  XXX: Mode of Delivery value does not match associated programme’s mode of delivery.  XXX: Sub-programme enrolment Mode of Delivery is different to over-arching parent programme enrolment |
| Component Type Code | Identifies the type of component the learner has enrolled in. This field is required to identify the type of component the enrolment is associated with. There is more than one type of component a programme can compose of. | **Type:** Integer  **Guidance:** Select a value from the list below:   |  |  | | --- | --- | | **1** | Unit Standard | | **2** | Skill Standard | | **3** | Micro-credential | | **Error:**  XXX: Component Type Code is blank  XXX: Component Type Code is invalid |
| Component Number | Unique identifier of the component that the learner has enrolled in. | **Length:** 20  **Type:** String  **Guidance:** This is the Unit Standard number, the Skill Standard number, or the Micro-credential number.  The Component and its version must exist for the programme and be active at the Participation Start Date.  The enrolment for the component and its version is unique across any active enrolments for this learner and TEO. For complex arrangements the component should only be reported on one enrolment.  The component and its version must not match a component on the learner’s RoA achieved before the Participation Start Date, unless the component also exists after the Participation Start Date, and it must be paid at NZQA.  No Component and its version may exist on any previous enrolments for this learner and TEO where the enrolment status is “Active”, “Pending”, “Hold”, “Grace”, or “completed”, unless the component and its version is withdrawn from the learner’s RoA.  Component and its version must not match an invalid component on the learner’s RoA.  For SCP and LCP there must be at least one component supplied. | **Error:**  XXX: Component Number is blank  XXX: Component Number and Component Version Number combination is invalid for the component type entered  XXX: Component Number and Component Version Number does not exist or is inactive in NZQA |
| Component Version Number | Unique identifier of the component that the learner has enrolled in. | **Type:** Integer  **Guidance:** This is the version number of the Unit Standard, Skill Standard, or the Micro-credential. | **Error:**  XXX: Component Version Number is blank  XXX: Component Number and Component Version Number combination is invalid for the Component type entered  XXX: Component Number and Component Version Number does not exist or is inactive in NZQA |
| Mandatory Component Indicator | Identifies whether the learner must have achieved the standard to complete the programme. | **Type:** Short Integer  **Guidance:** Select a value from the list below:   |  |  | | --- | --- | | **1** | Mandatory | | **0** | Optional | | **Error:**  XXX: Mandatory Component Indicator value is invalid  XXX: Mandatory Component Indicator is blank |
| Withdrawal Date | The date the withdrawal is effective. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  A withdrawal cannot be applied to an enrolment where status is ‘Completed’, but can be ‘Active’, ‘Hold’, ‘Grace’, ’Pending’ or ‘Withdrawn’.  If learner is enrolled in a complex programme, then the parent enrolment only must be withdrawn. DXP will not allow sub-programme enrolments to be withdrawn.  Withdrawal date must be after the Enrolment participation start date, must be before or equal to today, and must be on or before the current withdrawal date (if one already exists in DXP for this programme enrolment). | **Error:**  XXX: Cannot withdrawal a completed programme enrolment  XXX: Cannot withdrawal a sub-programme enrolment  XXX: Withdrawal Date is on or before the Participation Start Date  XXX: Withdrawal Date is in the future  XXX: Withdrawal date is after the current withdrawal date held within the system  XXX: The format is invalid |
| Withdrawal Reason Code | A code that identifies the reason why a training agreement is being withdrawn. | **Length:** 2  **Type:** Character  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **Value** | **Description** | | **BC** | Business closed | | **BD** | Business downturn | | **CC** | Change in career choice | | **AP** | Changing from Industry Trainee to Apprentice | | **CP** | Change of programme | | **DC** | Deceased | | **DS** | Dissatisfied with employer/industry | | **DF** | Transfer to DFSO | | **EW** | Exiting the workforce | | **LS** | Lack of employer support | | **LA** | Length of apprenticeship | | **LI** | Linked Enrolment | | **NA** | Transferring from MA to NZA funded programmes | | **NF** | Non-payment of fee | | **OT** | Other | | **OD** | Over programme duration | | **PC** | Parental commitment | | **Error:**  XXX: Withdrawal Reason Code is blank when Withdrawal Date is supplied  XXX: Withdrawal Reason Code is invalid |
| Delete Enrolment | Indicates whether the TEO wants to delete the programme enrolment. | **Length: 1**  **Type:** Character  **Guidance:** Enter 1 to flag programme enrolment deletion.  Leave the field blank if you want to keep the enrolment.  All the following conditions must be met for a deletion to apply:   * The deleted enrolment already exists for that learner and TEO, and * Enrolment is not a sub-programme enrolment. To delete a Complex Programme Enrolment the deletion must be applied at the overarching programme enrolment Local ID level; and * Participation Start date has to be within the same calendar year or before the 31st of March of the following calendar year that the programme enrolment was submitted for deletion. | **Error:**  XXX: Programme enrolment does not exist for learner and/or TEO  XXX: Cannot delete a sub-programme enrolment of a complex programme enrolment  XXX: Participation Start Date is outside the calendar year and deletion request is after 31st March of the following calendar year |
| Enrolment Deletion Reason | Code identifying the reason for the programme enrolment deletion. | **Length:** 2  **Type:** Character  **Guidance:** Select a value from the list below.   |  |  | | --- | --- | | **ID** | Programme enrolment contained an incorrect participation start date | | **IE** | Programme enrolment was invalid | | **IS** | Programme enrolment has incorrect status in DXP | | **OT** | Other |   This field is required when ‘Delete Enrolment Flag’ is 1. | **Error:**  XXX: Deletion Reason is blank, and Delete Programme Flag is 1  XXX: Deletion Reason is invalid |
| Transfer Date | Date the transfer became effective | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC.  Transfer date must be after the participation start date, and where multiple transfers exist, the transfer date must be on or after the latest transfer date. Latest Transfer Date represents the date the enrolment was last transferred to a different programme version. | **Error:**  XXX: Transfer Date format is invalid  XXX: Transfer Date is equal to or before the Participation Start Date.  XXX: Transfer Date is before the previous transfer date  XXX: Cannot transfer a learner where programme enrolment status is withdrawn or completed.  XXX: Programme version does not exist  XXX: Programme version is inactive at date of transfer  XXX: Programme number of transferred programme version is different from the original programme enrolment.  XXX: Additional components do not exist for the parent programme enrolment  XXX: Component has been achieved before transfer date |

## Off-job delivery

### Introduction to off-job delivery

Off-job delivery is educational learning that does not occur at the workplace (e.g., block courses). The TEO responsible for the work-based learner must report all off-job delivery associated with a programme enrolment. The collection of this data supports the funding decisions.

Multiple instances of off-job delivery can be associated with a single programme enrolment over time. However, off-job delivery can only be coupled with a programme enrolment where the Course Start Date falls within the ‘Participation Start Date’ and ‘Participation End Date’ of the associated programme enrolment.

Off-job delivery events can be deleted.

### Off-job delivery data

Below is the data required for off-Job delivery data.

| Field Title | Description | Field specification | Validation |
| --- | --- | --- | --- |
| Programme Enrolment Local ID | A unique number issued by the TEO that identifies the programme enrolment within their system. | **Length:** 20  **Type:** String  **Guidance:** Must not be used to identify any other enrolment supplied by the TEO, regardless of enrolment status.  **Note:** This does not include DELETED enrolments.  Updates to any programme enrolment column cannot be made if programme enrolment status is Withdrawn or Completed. | **Error:**  XXX: Programme Enrolment Local ID is not unique  XXX: Programme Enrolment Local ID is blank  XXX: Cannot update a withdrawn or completed programme enrolment.  XXX: Cannot find Programme Enrolment Local ID. |
| Learner Local ID | A code which uniquely identifies the learner within each TEO, as captured in a TEO’s TMS system.  The Learner Local ID must remain constant for the learner throughout their enrolment history at your organisation. | **Length:** 20  **Type:** String  **Guidance:** Thisnumber must be the unique value generated by each TEO via their TMS.  Both ‘Learner Identification Code’ and ‘Learner Local ID’ cannot both be NULL. | **Error:**  XXX: Learner Local ID is blank  XXX: Learner Local ID is not unique in the Learner data |
| Off-Job Provider Code | Unique identifier of the TEO who delivered the off-job learning to the learner. Provider Code is assigned by the Ministry of Education to uniquely identify each TEO. | **Type:** Integer  **Guidance:** Provider Code needs to be a valid Provider Code.  Report your Provider Code in situations where off-job delivery is sub-contracted to non-registered TEOs. | **Error:**  XXX: Off-Job Provider Code is invalid  XXX: Off-Job Provider Code is blank |
| Course Code | The internal code for a course in which learners are enrolled in for their off-job learning.  The code must be able to uniquely identify a specific course in which a learner is enrolled regardless of the period, location, and year in which it is taught.  The course code should be consistently reported for each course offered by the TEO. | **Length:** 20  **Type:** String  **Guidance:** The internal code for the course. The code should contain no reference to dates or years in which the course is taught, e.g., “ECON112”. | **Error:**  XXX: Learner is enrolled in the course more than once with same start date  XXX: Course Code is blank  XXX: Course Code is not on course register  XXX: Open course change requests for this course code already exist  XXX: Enrolments against invalid deleted course on TEC course register  **Warning:**  XXX: Learner is enrolled in the course more than once  XXX: Learner is enrolled in more than 25 courses |
| Funding Category | The code to uniquely identify funding categories.  Note: TEOs must refer to the Delivery Classification Guide to assign the correct subject-matter funding category to the course. | **Length:** 2  **Type:** String  **Guidance:** Select a value from the funding categories classification. The funding categories classification are listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Funding Category is not a valid category code or is blank  XXX: Funding Category is not valid for Course Classification  XXX: Funding Category is Z  XXX: Funding Category is not same as TEC course register for this course |
| Course Classification | The unique subject classification for the course.  TEOs must refer to the Delivery Classification Guide to assign the correct subject-matter funding category to the course. | **Length:** 10  **Type:** String  **Guidance:** Select a value from course classifications.  Course Classification is available at the [TEC - Course Classification](https://www.tec.govt.nz/assets/Publications-and-others/Delivery-Classification-Guide-2023.pdf). They are also listed in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). | **Error:**  XXX: Course Classification is not a valid classification code or is blank  XXX: Course Classification is not the same as TEC course register for this course  XXX: Course classification 40.0 and 41.0 is not valid classification code prior 2023 |
| Intramural/ Extramural Attendance | The field is used to record a code which specifies whether a learner is enrolled in a course that requires learners to attend scheduled teaching sessions.  Note: Confirmation of what codes need to be used for Attendance type for off-job delivery will be confirmed in 2024. | **Type:** Integer  **Guidance:** Select a value from the list below:   |  |  | | --- | --- | | **5** | Intramural and residing in New Zealand | | **6** | Extramural/Synchronous and residing in New Zealand | | **7** | Extramural/Asynchronous and residing in New Zealand |   The reported course enrolment will be regarded as being 100% in a particular mode, and this can be different from the underlying programme components. | **Error:**  XXX: Intramural/Extramural Attendance is blank or contains a value other than 5, 6 or 7 |
| Course Start Date | The start date of the learner's course(s) in the current or previous academic year.  This date is the officially notified beginning date of instruction and/or structured supervision associated with each learner's course(s) at a tertiary education organisation. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC. | **Error:**  XXX: Course Start Date is before course start date or after course end date on the TEC course register  XXX: Course Start Date is invalid or blank  XXX: Course Start Date is before the Programme Participation Start Date  XXX: Course Start Date is after Programme Enrolment End Date  **Warning:**  XXX: The year value of course start date is not equal to the return year or the previous year |
| Course End Date | The end date of the Learner's course.  This will normally be the officially notified end date of instruction and/or examination associated with a course.  If a course spans the end of the normal academic year, the last date will be for the following year. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC. | **Error:**  XXX: Course End Date is before the Course Start Date  XXX: Course End Date is invalid  XXX: Course End Date is blank  XXX: The format is invalid  **Warning:**  XXX: The year value of Course End Date is not equal to the return year or the next year |
| Learner’s Course Withdrawal Date | The date of withdrawal of a confirmed Learner enrolment from a course, programme or training scheme otherwise should be left blank.  A “withdrawal” means the withdrawal of a confirmed Learner enrolment from a course, programme, or training scheme, by notice from the Learner to the TEO or because of non-attendance or non-participation by a Learner at the TEO for any reason, and whether the Learner has been refunded any fees. | **Type:** Date-time  **Guidance:** 2024-04-08T11:55:12+01:00  You must us ISO-8601 for your dates. The API will store and return in dates in UTC. | **Error:**  XXX: Withdrawal Date is invalid  XXX: The format is invalid  XXX: The withdrawal date is not between the course start date and course end date |
| EFTS Delivered | The amount of EFTS delivered for this course enrolment. | **Type:** Integer (1,4)  **Guidance:** The value is expressed as a decimal rounded to four decimal places – e.g., 0.2008. | **Error:**  XXX: EFTS Delivered must be numeric and between 0.0 and 0.9999  XXX: EFTS Delivered is blank |

# Appendices

## Appendix A: Data classifications

Below is a list of the data standards and classifications used in the data submissions for work-based actuals. Links are provided to the source of each classification where relevant.

The classifications are also available in the [DXP Data Classifications Appendices](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/). Additionally, the classifications will be available to extract via an API in the Data Exchange Platform.

| Standard | Classification | Collection |
| --- | --- | --- |
| Country of citizenship | Country of citizenship list is maintained by the TEC. | **Field:** Country of Citizenship  **Submission:**   * Learner |
| Course classification | Course classifications are maintained by the TEC.  Link: [Course Classification](https://www.tec.govt.nz/assets/Publications-and-others/Delivery-Classification-Guide-2023.pdf) | **Field:** Course Classification  **Submission:**   * Off-job Delivery |
| Ethnicity | Ethnicity New Zealand Standard Classification 2005V2.1.0. This is available on the Statistics NZ Aria website. We collect at level 3 of the hierarchy.  Link: [Ethnicity New Zealand Standard Classification 2005V2.1.0](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/YVqOcFHSlguKkT17) | **Field:** Ethnicity  **Submission:**   * Learner |
| Funding Category | Funding categories are maintained by the TEC. | **Field:** Funding Category  **Submission:**   * Off-job Delivery |
| Iwi | Iwi and iwi-related groups statistical classificationV2.1.0. This is available on the Statistics NZ Aria website.  Link: [Iwi and iwi-related groups statistical classificationV2.1.0](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/uH9AkXTnTlq40DHG) | **Field:** Iwi Affiliation 1-6  **Submission:**   * Learner |
| Secondary school codes | The Secondary school codes are available on the Education Counts website.  Link: [Secondary School Codes](https://www.educationcounts.govt.nz/directories/list-of-nz-schools) | **Field:** Last Secondary School Attended  **Submission:**   * Learner |
| Overseas Country Code | The country codes are available on the Statistics NZ Aria website. We collect at level 3 of the hierarchy.  Link: [Country – New Zealand Standards Classification 1999 – 4 numeric V15.0](https://aria.stats.govt.nz/aria/?_ga=2.21705403.1671744995.1699902765-946806462.1697743900#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/ys69SsOCPi6Mc4jR) | **Field:** Overseas Country Code  **Submission:**  Learner |
| Industry Code (ANZSIC) | Australian and New Zealand Standard Industrial Classification 2006 V1.0.0.  This is available on Statistics NZ Aria website:  Link: [Australian and New Zealand Standard Industrial Classification 2006 V1.0.0](https://aria.stats.govt.nz/aria/?_ga=2.135309105.1009763712.1696183847-2098091118.1684120248#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/CARS5587) | **Field:** Industry Code  **Data Category:**   * Programme * Training Agreement |
| Occupations | The Occupation Classification list will be included in a later release. | **Field:** Occupation Code  **Data Category:**   * Programme * Training Agreement |
| Region | Statistics New Zealand Regional Council (Generalised) 2023 classification.  This is available on Statistics NZ Aria website:  Link: [Regional Council (Generalised) 2023](https://datafinder.stats.govt.nz/layer/111182-regional-council-2023-generalised/) | **Field:** Employment Region Code  **Data Category:** Training Agreement |
| Territorial Authority | Statistics New Zealand Territorial Authority (Generalised) 2023 classification.  This is available on Statistics NZ Aria website:  Link: [Territorial Authority (Generalised) 2023](https://datafinder.stats.govt.nz/layer/111194-territorial-authority-2023-generalised/) | **Field:** Employment Territorial Authority Code  **Data Category:**  Training Agreement |

## Appendix B: Change log

### Version 0.3

Below is the list of changes for version 0.3 of the data specification.

#### Data changes

**Learner**

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| First Year of Tertiary Education | New | New data requirement to standardise the collection of learner data across all funds. Missed from earlier versions of the data specification. |
| Post School Qualification Level Code | Remove | No longer required. |

**Programme**

| Field | Action | Reason |
| --- | --- | --- |
| OrganisationID | Remove | This field will be derived from the ESL token. |

**Training agreement**

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Employee Region Code | Amend | Field name changed from Employment Region Code to align with correct name in the API. |
| Employee Territorial Authority Code | Amend | Field name changed from Employment Territorial Authority Code to align with correct name in the API. |
| Employment Type Code | Amend | Field name changed from Employment Type to align with correct name in the API. |
| Status Change Date | Amend | Reverted to using Pause Data and Restart Date as per the API. |
| Pause Date | Add | Reinstated as per the API, instead of using Status Change Date. |
| Restart Date | Add | Reinstated as per the API, instead of using Status Change Date. |
| Change Reason Code | Remove | Reverted to using Grace Reason Code and On Hold Reason Code as per the API. |
| Grace Reason Code | Add | Reinstated as per the API, instead of using Change Reason Code. |
| On Hold Reason Code | Add | Reinstated as per the API, instead of using Change Reason Code. |

**Training plan**

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Visit Local ID | Add | Field missing from data specification. Was included in API specification. |

**Programme enrolment**

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Programme Local ID | Remove | Will use existing solution in API and use Programme Number and Programme version Number to identify the programme. |
| Programme Number | Add | Reinstated as per the API, instead of using Programme Local ID. |
| Programme version Number | Add | Reinstated as per the API, instead of using Programme Local ID. |
| Funding Source Type Code | Change | Field name changed from Funding Source Code to align with the API. |
| Mandatory Component Indicator | Change | Field name changed from Mandatory Standard Indicator to reflect there are now multiple component types. |
| Delete Enrolment | Change | Field name changed from Delete Enrolment Flag to align with API. |
| Enrolment Deletion Reason | Change | Field name changed from Deletion Reason Code to align with API. |
| Effective From Date | Remove | Aligning with API, which doesn’t collect this data.  **Note:** This field was associated under the Programme Component Register section in the earlier versions of the data specification. |
| Effective To Date | Remove | Aligning with API, which doesn’t collect this data.  **Note:** This field was associated under the Programme Component Register section in the earlier versions of the data specification. |

**Component enrolment**

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |

**Off-job delivery**

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |

#### Other changes

* The reference data source for the Country of Citizenship field in the Learner submission has been changed to refer to a list maintained by the TEC. Appendix A has also been updated.
* The Training Agreement Status section in the previous version has been merged with the Training Agreement section.
* The Component Enrolment and Programme Component Register Sections have been merged with the Programme Enrolment section
* The date format has been updated to support ISO-8601.
* The mandatory requirements for each field have been removed as it can vary per API. Refer to the API specification for which fields are mandotory.

## Appendix C: History of data changes

Below is the complete history of the data fields that have been amended, added, and removed between this data specification and the current data specification supporting work-based data submissions through ITR.

### Learner

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Learner Local ID | Amend | This field has been renamed from ‘Local ID’ (in the ITR learner table) to ‘Learner Local ID’, to make it more specific. |
| Gender | Amend | A new value “D” for “Another gender / He ira kē anō” has been added. |
| Iwi affiliation | Amend | Ability to submit five additional Iwi values (was one). There is a new data standard for this field. Rohe has been removed as an attribute of Iwi due to the absence of an official data standard for Rohe published by Statistics NZ. |
| Ethnicity | Amend | Ability to submit three additional Ethnicity values (was six). |
| Name ID Code | New | The first four characters of a learner’s surname plus initial of first legal name. This data is used to validate the identity of a learner with their associated NSN. |
| First Year of Tertiary Education | New | The year in which a learner first enrolled in any “quality assured” qualification. |
| Overseas Country Code | New | A unique code defined by that identifies the country in which the learner last attended school |
| Country of Citizenship | New | The country of citizenship of a learner. Used to determine non-domestic learner funding. |
| Disability Status | New | New field to indicate the disability status of a learner. |
| Disability Support Needs | New | Provides the following options where a learner indicates they have a disability:  **1:** Access to assistive technology (e.g., for reading, writing, communication).  **2:** Accessible format resources for course content.  **3:** Mobility and transport (e.g., navigator support to help movement around campus, mobility carparks, personal emergency evacuation plan).  **4:** New Zealand Sign Language Interpreter.  **5:** Support with reading, writing, and communicating in learning sessions, exams, and assessments.  **6:** Other learning or disability support.  **7:** No, I do not need support at this time. |
| Total Work-based Learner Fees | New | The actual fee (inclusive of GST) charged to the learner to enrol in the programme within the reporting year.  This value is used in conjunction with the Maximum Programme Fee to understand the fees charged across vocational education. |
| Post School Qualification Level Code | Remove | No longer required. |

### Programme

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Programme Type Code | Amend | New values for micro-credentials and complex arrangements. Complex arrangements replace Modern Apprenticeships, which no longer exist. |
| Duration Months | Amend | New minimum duration added for micro-credentials. |
| Occupation Code | New | New field to identify the occupation the programme is intended. Occupation Code is defined by the TEC and identifies the occupancy the learner is primarily working in. |
| Study Type Code | New | The unique identifier of the type of learning that replaces the previous ‘Funding Source Code’ field, as all work-based is funded under UFS. |
| Mode of Delivery Code | New | The channel through which learning is delivered. Required for funding purposes under UFS. |
| Maximum Programme Fee | New | Defines what the maximum fee amount (Inclusive of GST) is for this programme. Used in conjunction with the Total Work-based Learner Fees to understand the fees charged across vocational education |
| Replaced By Programme Version ID | Remove | This field is no longer required. |
| Target Programme Number | Remove | Now use the Programme Local ID to identify the specific programme that is the target programme. |
| Embedded Literacy and Numeracy Flag | Remove | This field is no longer required. |
| Historical Programme Course Number | Remove | This field is no longer required. |
| Terms And Conditions Indicator | Remove | Removed as TEOs are no longer required to declare their agreement to the TEC’s terms and conditions on a line-by-line basis. |
| Funding Source Code | Remove | Removed as an attribute of the programme and is now an attribute of a programme enrolment. Funding Source Code values have changed and listed under programme enrolment specification section. |

### Training agreement

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Learner Local ID | Amend | This field has been renamed from ‘Local ID’ (in the ITR learner table) to ‘Learner Local ID’, to make it more specific. |
| Employer NZBN | New | The New Zealand Business Number issued by GS1 New Zealand to the organisation the learner is employed with.  This is a new field to help identify a unique employer. |
| Employment Territorial Authority Code | New | A code defined by Statistics New Zealand that identifies the Territorial Authority the Learner’s place of employment is located in. This is required to provide a lower level of detail on where learners are employed. |
| Occupation Code | New | Required to identify the occupancy the learner is primarily working in. Occupation Code is defined by the TEC. |
| Prior Activity Code | Remove | Now included as a field within the learner file. |

### Training plan

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Learner Local ID | Amend | This field has been renamed from ‘Local ID’ (in the ITR learner table) to ‘Learner Local ID’, to make it more specific. |

### Programme enrolment

| Field | Action | Reason |
| --- | --- | --- |
| Organisation ID | Remove | This field will be derived from the ESL token. |
| Learner Local ID | Amend | This field has been renamed from ‘Local ID’ (in the ITR learner table) to ‘Learner Local ID’, to make it more specific. |
| Complex Arrangement Parent Programme Enrolment Local ID | New | The Programme Enrolment Local ID of the parent programme. Programme Enrolment Local ID is a unique number issued by the TEO that identifies the programme enrolment within their system. |
| Study Type Code | New | Unique identifier of the type of learning. This field is required to identify whether learner is taking an Industry Training programme or an NZA. |
| Funding Source Code | New | The code that identifies the source of the funding that supports the learner's enrolment in the programme. This is the same list of funding source codes as used for reporting Provider-based learning, except only funding source code 37 is applicable for work-based. |
| Mode of Delivery Code | New | The channel through which learning is delivered. Used for the purpose of funding determination and for identifying how work-based learning is delivered. |
| Component Type Code | New | Identifies the type of component the learner has enrolled in. This field is required to identify the type of component the enrolment is associated with. |
| Residential Status | New | Identifies if the Learner has New Zealand resident status for each enrolment. |
| Australian Residential Status | New | Identifies if the Learner has Australian permanent resident status for each enrolment. |
| Transfer Date | New | Date the transfer became effective. |

### Off-job delivery

| Field | Action | Reason |
| --- | --- | --- |
| Programme Enrolment Local ID | New | A unique number issued by the TEO that identifies the programme enrolment within their system. |
| Learner Local ID | New | A code which uniquely identifies the learner within each TEO, as captured in a TEO’s TMS system. The Learner Local ID must remain constant for the learner throughout their enrolment history at your organisation. This field has been renamed from ‘Local ID’ (in the ITR learner table) to ‘Learner Local ID’, to make it more specific. |
| Off-Job Provider Code | New | Unique identifier of the TEO who delivered the off-job learning to the learner. The Provider Code is assigned by the Ministry of Education to uniquely identify each TEO. |
| Course Code | New | The internal code for a course in which learners are enrolled in for their off-job learning. The code must be able to uniquely identify a specific course in which a learner is enrolled regardless of the period, location, and year in which it is taught. The course code should be consistently reported for each course offered by the TEO. |
| Funding Category | New | The code to uniquely identify funding categories. TEOs must refer to the Delivery Classification Guide to assign the correct subject-matter funding category to the course. |
| Course Classification | New | The unique subject classification for the course. TEOs must refer to the Delivery Classification Guide to assign the correct subject-matter funding category to the course. |
| Intramural/Extramural Attendance | New | The field is used to record a code which specifies whether a learner is enrolled in a course that requires learners to attend scheduled teaching sessions. Confirmation of what codes need to be used for Attendance type for off-job delivery will be confirmed in 2024. |
| Course Start Date | New | The start date of the learner's course(s) in the current or previous academic year. This date is the officially notified beginning date of instruction and/or structured supervision associated with each learner's course(s) at a tertiary education organisation. |
| Course End Date | New | The end date of the Learner's course. This will normally be the officially notified end date of instruction and/or examination associated with a course. If a course spans the end of the normal academic year, the last date will be for the following year. |
| Learner’s Course Withdrawal Date | New | The date of withdrawal of a confirmed Learner enrolment from a course, programme or training scheme otherwise should be left blank. |
| EFTS Delivered | New | The number of EFTS delivered for this course enrolment. |

## Appendix D: History of data validation changes

Below is the complete history of the data validation changes between this data specification and the current data specification supporting work-based data submissions through ITR where the data fields are present in both. The table does not include the addition of validation rules for new data fields or the removal of validation rules for data fields no longer required.

### Learner

| Field | Error Type | Val. Code | Action | Reason |
| --- | --- | --- | --- | --- |
| Learner Local ID | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Learner Local ID is blank* |
| Error | XXX | Add | A new rule for to minimise the duplication of the same information.  **New validation:** *Learner Local ID is not unique in the Learner data* |
| National Student Number | Error | XXX | Update | A new rule to uniquely identify a learner and improve the consistency and completeness of NSN data.  **New validation:** *NSN reported is invalid or does not exist in NSI* |
| Error | XXX | Add | A new rule to minimise the duplication of NSN entries, the occurrence of a learner having multiple NSN, and to improve the consistency of NSN data.  **New validation:** *NSN reported is not unique in the Learner Data Submission and is assigned to another learner* |
| Error | XXX | Add | A new rule to ensure the currency of NSN data, where latest version of an NSN is used for reporting.  **New validation:** *NSN record status is inactive in NSI* |
| Gender | Error | XXX | Update | The validation rule is updated to include the new value “D”, which represents another gender.  **New validation:** *Gender is not M, F or D* |
| Date of Birth | Error | XXX | Add | A new rule to ensure that Date of Birth is entered as a date.  **New validation:** *The format is invalid* |
| Name ID Code | Error | XXX | Add | A new rule to ensure the reported NSN belongs to that learner and improve the consistency and validity of NSN data.  **New validation:** *NAMEID is blank* |
| Main Activity at 1 October in Year Prior to Formal Enrolment | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Prior activity is blank* |
| Last Secondary School Attended | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Last Secondary School Attended is blank* |
| Overseas Country Code | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Overseas Country Code is blank, and learner’s last secondary school is not in New Zealand* |
| Error | XXX | Add | A new rule to ensure only international schools are included.  **New validation:** *New Zealand cannot be selected* |
| Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *Overseas Country Code must be valid* |
| Highest Secondary School Qualification | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Highest Secondary School Qualification is blank* |
| Iwi Affiliation | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *At least one Iwi Affiliation field must be completed where ethnic group is identified as “211” and first year is current year.* |
| Ethnicity | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Ethnicity is blank* |

### Programme

| Field | Error Type | Val. Code | Action | Reason |
| --- | --- | --- | --- | --- |
| Occupation Code | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *Occupation Code is invalid.* |
| Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Occupation Code is blank* |
| Start Date | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *The format is invalid* |
| Expiry Date | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *Expiry Date must be greater than or equal to today* |
| Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *The format is invalid* |
| Target Programme Local Number | Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *For complex arrangements, the Target Programme Local Number must have a Programme Type Code of ‘COM’* |
| Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *LCP Programme Study Type(s) must be the same as or a subset of the Study Type codes for the target programme* |
| Error | XXX | Remove | **Removed validation:** LCP credit value must be less than the maximum percentage of the target programme credits. |
| Mode of Delivery Code | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Mode of Delivery is blank* |
| Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *Mode of Delivery value is invalid* |
| Error | XXX | Add | A new rule to ensure the consistency of mode of delivery within a complex arrangement.  **New validation:** *Sub programme Mode of Delivery is different to over-arching parent programme.* |
| Maximum Programme Fee | Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *The value entered is not an integer* |
| Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Maximum Programme fee amount is blank* |
| Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *Maximum fee is less than -$100,000* |
| Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *Maximum fee is greater than $100,000* |

### Training agreement

| Field | Error Type | Val. Code | Action | Reason |
| --- | --- | --- | --- | --- |
| Learner Local ID | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Learner Local ID is blank* |
| Error | XXX | Add | A new rule to minimise the duplication of the same information.  **New validation:** *Learner Local ID is not unique in the Learner data* |
| Training Agreement Signed Date | Error | XXX | Add | A new rule to ensure the validity of this information, as training cannot start without a Training agreement being in place.  **New validation:** *The format is invalid* |
| Pause Date | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *The format is invalid* |
| Error | XXX | Add | A new rule to ensure backdating does not exceed the set limit.  **New validation:** *Pause Date is beyond the backdating limit* |
| Restart date | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *The format is invalid* |
| Withdrawal Date | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *The format is invalid* |

### Training plan

| Field | Error Type | Val. Code | Action | Reason |
| --- | --- | --- | --- | --- |
| Learner Local ID | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Learner Local ID is blank* |
| Error | XXX | Add | A new rule to minimise the duplication of the same information.  **New validation:** *Learner Local ID is not unique in the Learner data* |
| Training Plan Signed Date | Error | XXX | Add | A new rule to ensure the validity of this information, as training plan must exist for NZA programmes.  **New validation:** *The format is invalid* |
| Visit Date | Error | XXX | Add | A new rule to ensure the validity of this information.  **New validation:** *The format is invalid* |

### Programme enrolment

| Field | Error Type | Val. Code | Action | Reason |
| --- | --- | --- | --- | --- |
| Programme Enrolment Local ID | Error | XXX | Add | A new rule to minimise duplication of this information.  **New validation:** *Programme Enrolment Local Identifier is not unique* |
| Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Programme Enrolment Local Identifier is blank* |
| Error | XXX | Add | A new rule to ensure the validity of this information, as a TEO cannot update information associated with a completed or withdrawn programme enrolment.  **New validation:** *Cannot update a Withdrawn or Completed programme enrolment* |
| Learner Local ID | Error | XXX | Add | A new rule to ensure the completeness of this information.  **New validation:** *Learner Local ID is blank* |
| Error | XXX | Add | A new rule to minimise the duplication of the same information.  **New validation:** *Learner Local ID is not unique in the Learner data* |
| Enrolment Date | Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *The format is invalid* |
| Participation Start Date | Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *The format is invalid* |
| Error | XXX | Add | A new rule to ensure the validity of this information, as the Participation Start Date must be the same as the Training Plan Signed Date for NZA learners.  **New validation:** *The Participation Start Date must be the same as the Training Plan Start Date for NZA learners.* |
| Error | XXX | Remove | The Ceasing Program Enrolment Local ID is no longer required, so this rule can be removed.  **Removed validation:** If Ceasing Program Enrolment Local ID is not blank, participation start date of new enrolment is within 2 days of participation start date of ceasing enrolment |
| Withdrawal Date | Error | XXX | Add | A new rule to ensure the consistency of this information.  **New validation:** *The format is invalid* |