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| Process overview and guidance  for Single Data Return  Version 1.1  Released 08 July 2025 |

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# Introduction

This document provides an overview of the requirement to submit data and the Single Data Return (SDR) process.

It should be read in conjunction with the Data Specification for the Single Data Return and other resources available from [Single Data Return (SDR) | Tertiary Education Commission](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr)

In addition, step by step instructions to verify and submit SDR data is provided in the [DXP Ngā Kete user guides.](https://dxp-ngakete.tec.govt.nz/user-guides/dxp-ng%C4%81-kete-portal/dxp-ng%C4%81-kete-overview/)

# The SDR and requirement to submit data

## The requirement to submit data

The Single Data Return (SDR) is a set of data the TEC and the Ministry of Education (MoE) require Tertiary Education Organisations (TEOs) to submit for the purposes of funding, monitoring performance, publishing performance information, statistical reporting, and policy formation.

TEOs must complete SDRs if they:

* Receive funding for Delivery at Levels 1–10 on the New Zealand Qualifications and Credentials Framework, unless the delivery is work-based only;
* Receive funding for Youth Guarantee (YG); and/or
* Have learners accessing student loans or allowances from StudyLink.

All learners with confirmed enrolments must be reported, including non-funded learners.

Files, reports and associated data to be submitted as part of the SDR process include the learner file, the course register file, the course enrolment file, the course and qualification completion files, actual and forecast EFTS, the Workforce Questionnaire (WFQ) and signed off summary reports.

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

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

1. **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.
3. **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.

1. **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.

## Funds included in SDR

SDR returns cover the following funds:

* 01 - Delivery at Levels 7 (degree) and above on the New Zealand Qualifications and Credentials Framework (NZQCF) (DQ7+)
* 02 - International Fee-Paying (IFP) Students (including Australian citizens, Australian permenant residents and New Zealand permanent residents who are residing overseas)
* 03 - Domestic Full Fee-Paying Students
* 05 - Secondary Tertiary Alignment Resource (STAR)-funded students
* 09 - Prison Education (Department of Corrections)
* 10 - Ministry of Health
* 12 - Other (including other contracts)
* 13 - English for Migrants
* 20 - NZAID and Commonwealth scholarships
* 22 - Youth Guarantee
* 23 - ACE (Adult and Community Education) in TEIs
* 24 - Trade Academies
* 26 - Delivery at Levels 1 and 2 on the NZQCF (DQ1-2)
* 28 - Māori Pasifika Trades Training (MPTT) Level 1 and 2
* 29 - Māori Pasifika Trades Training (MPTT) Level 3 and 4
* 37 - Delivery at Levels 3–7 (non-degree) on the NZQCF (DQ3-7)
* 31 - Non-funded confirmed student enrolments

## Retired sources of funding

The following sources of funding are retired and no longer accepted in SDR submissions. Validation rules in this data specification are amended to remove these sources of funding. They are available if they were part of a previous submission, which needs resubmitting.

* 04 - TEC — Supplementary Grants/Fund
* 06 - Training Opportunities (also includes Training for Work)
* 07 - Youth Training - Ceased 31/12/2011; refer to Youth Guarantee
* 08 - Skills Enhancement
* 11 - ITO Off Job Training (Non-degree Delivery)
* 14 - Primary Pre-service Teacher Education Contracts
* 15 - Secondary Pre-service Teacher Education Contracts
* 16 - Youth Action Training Programme (DWI)
* 25 - SAC Level 1 & 2 Competitive Process Funding (2013 - 2019)
* 27 - Under 25 Fees Free Level 1 & 2 (2014 – 2017 )
* 30 - ICT Graduate Schools (2015 – 2022)
* 32 - SAC Level 3 & 4 Competitive Process (2017 – 2019)
* 33 - DualPathways (Level 2-3 secondary-tertiary pilot) (2017 – 2018)
* 35 - EM ACE (Emergency Management - Adult and Community Education) (2018 only)
* 36 - SAR ACE (Search and Rescue - Adult and Community Education) (2018 only)

## Indicative enrolment collections (IND)

In addition to the SDR, All TEOs must submit an IND each year for the funds listed above for the SDR. The Indicative data return is a subset of these files in the SDR.

## Files required for the SDR and IND

1. *Learner (SDR and IND)*

The Learner file contains data for each learner who is enrolled in a course or qualification and has not received a complete refund of tuition fees. You must report all learners with a confirmed learner enrolment in your learner management system for the active funds.

1. *Course Register (SDR and IND)*

The Course Register file contains any new or updated data for courses that a TEO offers. You should report all courses, regardless of the level of study or the funding source.

***Note:*** *The course register can be submitted independently from the full SDR submission at any time. Courses can also be updated via their respective forms in DXP - Registers.*

1. *Course Enrolment (SDR and IND)*

The Course Enrolment file contains records of all valid new learner enrolments or changes in learner enrolment within the reporting year.

1. *Course Completion (SDR only)*

The Course Completion file contains records for:

* all current enrolments for Type D learners[[1]](#footnote-2), whether or not a completion date has been reached
* any completion reported in the December SDR Course Completion file for previous years that has not been reported, with an outcome code of:
  + 2 – completed course successfully
  + 3 – completed course unsuccessfully
  + 4 – did not complete course.

***Note:*** *The course completions can be submitted independently from the full SDR submission at any time.*

1. *Qualification Completion (SDR only)*

The Qualification Completion file contains records for individual learners who have met the requirements to be eligible for the award of the qualification as set out in the approved regulations.

***Notes:***

1. *Only learners who have completed a qualification should be included in the Qualification Completion file.*
2. *The qualification completion can be submitted independently from the full SDR submission at any time.*
3. *Additional files added once the upload files listed above have been processed (SDR only)*

The Workforce Questionnaire (WFQ) is an excel workbook containing records of staff employed at TEOs. It is included as part of the December SDR return only.

Signed summary reports are required to be uploaded as part of each SDR.

Examples of upload files are provided on [Single Data Return (SDR) | Tertiary Education Commission](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr)

## Frequency of submissions

TEOs submit the IND in March and SDRs in April, August, and December each year. Due dates are provided at [SDR submission dates](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr/submission-dates).

## Submission options

To access the DXP, you need an Education Sector Logon.

DXP provides the option to submit SDRs via CSV files or an API. The decision on which options are available to you is the responsibility of those managing the development in the application you extract the data from (e.g. student management systems (SMS)).

**Comma-separated value (CSV) files**

You can generate CSV files based on defined file specifications and submit them through the DXP portal. A CSV file is a list of rows, where each row contains values separated by commas. Workflows support all data submissions to help manage validation errors and provide a review point before finalising your data submission. The use of **CSV-UTF8** format will allow the submission of tohutō Māori macrons.

This document supports CSV file data submissions. Refer to the API documentation if you submit data using an API as some field specifications are different.

The order of the fields in the data specifications in this document is the order of the fields in the CSV file.

We have published example CSV files and a guide to using CSV files, which are available on the TEC website via this [link](https://www.tec.govt.nz/funding/funding-and-performance/reporting/data-system-refresh-programme/data-specifications/).

**Application Programmable Interfaces (APIs)**

RESTful APIs will allow you to submit SDRs to the DXP directly from your own application (e.g., student management systems (SMS)). DXP provides a separate API portal to support the development of the APIs, which will provide guidance and information on the API endpoints and data specifications.

This API portal can be accessed via this link[: TEC API Portal.](https://api-docs.prd.dxs.pub.tec.govt.nz/docs/provider-based)

# The SDR Collection Process

This section describes the process of preparing and returning the SDR and associated data to TEC. There are four stages in the process, from data is entered into the student management system (SMS) to the Monitor and data analysis.

## Data is entered into the Student Management System

A Student Management System (SMS) is an information system designed to help education providers with the management of students and the integration/streamlining of the administrative processes. The SMS is designed to meet the [Data Specification for the Single Data Return](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr/sdr-resources).

During the year TEOs enter data in their SMS, including:

* the qualifications and courses they offer
* their delivery sites
* learner data (on application and enrolment), and
* their learners’ course and qualification completions.

To collect information from students that fulfils the data requirements of the SDR, TEOs can use the [generic enrolment form](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr/sdr-resources).

## Data is uploaded or transmitted to the TEC data exchange, DXP Ngā Kete

At particular times during the year, TEOs extract SDR data in the prescribed .CSV file formats for upload into DXP Ngā Kete, or they transmit the data using APIs (Application Programming Interfaces).

Each SDR submission requires the following SDR data files:

* March Indicative Enrolment Collection (IND): only three files – learner, enrolment and course register files. All enrolments that are made in a TEO’s student management system (whether or not they have started by the specified date, including current and future enrolments), must be reported, regardless of the level of study or the funding source.
* April and August SDR: learner, enrolment and course register files, and qualification and course completion files
* December SDR: learner, enrolment and course register files, qualification and course completion files, and the Workforce Questionnaire (WFQ) – an annual statistical return of staff employed at TEOs.

Each qualification completion can only be reported once in each SDR submission but can be repeated in a later submission.

The April, August and December SDRs are cumulative for learner, enrolment, course register and course completion. The December SDR must include all data related to confirmed student enrolments for the reporting period January to December.

### Data validation

On upload, DXP Ngā Kete checks the accuracy and integrity of data items in the SDR files against validation rules detailed in the Data Specification for the SDR and in the Validation rules for Indicative Enrolment Collection (IND) documents.

There are two types of validation rule:

* **Errors** – An error report is provided for individual records that fail the error validation test. You will need to correct these errors in your SMS and re-extract the files before the validation process can be completed.
* **Warnings** – A warning report is provided for each individual record that fails the warning validation test. You should check these records in your SMS. If the data item is correct according to your records, then no change is required in your system.

DXP Ngā Kete validation processes include checking learner data against data held in the National Student Index (NSI) based on the learner’s National Student Number (NSN).

You must correct all errors before the SDR data submission can be completed.

### First pass validations

To improve application performance, the Data System Refresh programme changed the way some validation rules are processed in DXP Ngā Kete. These changes were successfully implemented as part of the 2024 SDR pilot but resulted in some unknown errors that became visible in the April 2025 SDR.

To resolve the unknown error issue, from August 2025, DXP Ngā Kete processes first pass validation rules for a small number of fields in advance of the full validation (see SDR Data Specification, Appendix C).

* When you upload your SDR or IND files, DXP Ngā Kete runs the first pass validation rules.
* If any errors are found, they will be reported in the SDR/IND error report. You will need to correct the data and re-upload your SDR/IND files before DXP Ngā Kete can run full validation.
* If no errors are found DXP Ngā Kete will continue to run validation for all errors and warnings as per current process.

The first-pass basic validation will only appear for a small number of users. TEOs who have basic data quality checks built into their process will not see the change.

## Data submission and SDR summary reports

TEOs complete the process by submitting their SDR data to TEC, including the equivalent full-time student (EFTS) forecast, and uploading SDR summary reports and a signed declaration certifying the data submitted is correct.

SDR summary reports include:

* a broad summary and sign-off of the validated SDR file
* a detailed summary of the data in the SDR (student, enrolment and course register files)
* a summary of course completion data, and
* a summary of qualification completion data.

Note that submitting late or inaccurate SDR data may affect current or future funding or result in additional monitoring processes. For example, we could ask you to use an external auditor to confirm that your data is valid and accurate before you submit each SDR. For submission dates, see [SDR submission dates](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr/submission-dates).

**Trial SDR runs**

It is important to upload trial SDR runs in the lead-up to each SDR submission round. This provides early notice of any data errors you need to correct in your SMS before you can complete your SDR submission.

## Monitoring and data analysis

The Ministry and TEC use the data files received from TEOs to revalidate the data previously returned, to monitor performance – particularly against the delivery and outcome commitments in the Investment Plan or funding agreement. It is also used in modelling for policy development and to generate statistical reports.

# Qualification, Course and Delivery Sites registers

You must update information in the Qualification, Course and Delivery Sites registers to submit and complete an SDR.

## Qualifications register

Enter new qualifications or submit changes to the credits, levels or other information in the Qualifications register at any time during the year. You don’t need to wait until just before your SDR is due. However, if your SDR report needs to include changes to any qualifications, you will need to submit your change requests through DXP Ngā Kete before you submit a trial or final SDR.

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| What is the SDR Qualifications register and why is it important? | The SDR Qualifications register lists information on all quality assured qualifications offered by TEOs.  Because the course enrolment records supplied by TEOs contain a qualification code, the Ministry and TEC can use the Qualifications Register to collate data into qualifications for national and international comparative purposes.  The SDR Qualifications register is important for the meaningful interpretation of what is happening in New Zealand tertiary education, so it is vital that you accurately record all qualifications for which you are submitting course enrolments.  National and/or New Zealand qualifications recorded in the SDR Qualifications Register **must use the qualification code assigned by the New Zealand Qualifications Authority (NZQA)**.  NZQA is working on delivering a sector qualifications register that stores information about all quality assured qualifications listed on the New Zealand Qualifications and Credentials Framework.  Use the appropriate qualification code to report student enrolments in the SDR for funding and for student allowances and loans purposes.  When planning the supply of and demand for teachers, the Ministry needs to know the number of students enrolled in pre-service teacher education. All pre-service teacher education qualifications must be identified by their sector and any other special characteristic, eg, bilingual or immersion training. Where possible, please create separate qualification codes for each type of pre-service teacher education. **If this is not possible at the qualification level, please ensure that the New Zealand Standard Classification of Education (NZSCED) codes assigned to these courses identify the sector and any other special characteristic.** |
| Qualification | A qualification is an award that provides formal recognition of a specified set of learning outcomes. |
| Quality assured qualifications | A quality assured qualification is one that has been approved by the quality assurance bodies, NZQA or the Vice-Chancellors’ Committee (Universities NZ).  Each qualification listed in the SDR Qualifications Register is attached to a TEO. The data stored for the qualification includes a qualification code, NZSCED code, Qualification Award Category code and NZQCF level. Refer to the DXP Data Classification Appendices for more information. |
| Key Information for Students | Information provided by TEOs in the SDR Qualifications register and SDR is used to supply data for the Key Information for Students (KIS). This data is derived from the Course register file, the Course Enrolment file and the Course Completion file.  TEC has developed the KIS to provide a consistent and comparable set of information, to help learners make decisions about qualifications, including entry requirements, student success rates and outcomes of study.  Make sure the data you provide is accurate, so information published is up to date.  You can find out more at [Key Information for Students – information for TEOs](https://www.tec.govt.nz/teo/working-with-teos/kis). |
| Where is the SDR Qualifications Register? | The SDR Qualifications Register is found in DXP Ngā Kete. You can download the Qualifications Register from [Qualification and Course Search](https://qcs.tec.govt.nz/qcs). |
| Updating the SDR Qualifications Register | You can update the SDR Qualifications Register in DXP Ngā Kete.  TEOs require the DXP Ngā Kete Education Sector Login (ESL) role “General User” to add or change information in the Qualifications Register.  Any New Zealand qualification information added to the SDR Qualifications Register **must be identified by the qualification code assigned to it by NZQA**, along with other relevant information (eg, title, level, etc). |

## Course register

You can enter new courses or submit changes to credits, fees, levels or other information at any time during the year. You don’t need to wait until just before your SDR is due. However, if you need to update the course information for the SDR, you will need to submit course change requests through DXP Ngā Kete before you submit a trial or final SDR.

Please note that the Course register is year-bound, ie, you will need to submit the full Course register each year.

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| What is the Course register? | The Course register is a listing of all courses that form part of one or more qualifications listed in the SDR Qualifications register. It includes all the funding parameters and classifications agreed between TEOs and TEC.  The Course register contains the following information on each offered course:   * Provider Code * Course Code * Course Title * Qualification Code * Course Classification * NZSCED Field * NZQCF Level * Credit Value * Funding Category * EFTS Factor * Total Fee for Domestic Student * Discounted Course Tuition Fee * PBRF Eligible Indicator * Tuition Fee Paid By International Fee Paying Student * Compulsory Course Costs * Discounted Compulsory Course Costs Fee, and * Course Exemption from Annual Maximum Fee Movement (AMFM).   The Course Register must contain only one entry for each course.  Some courses lead to different qualifications and may have different funding categories (including under the programme basis rule). However, since funding is based on information provided in the Course Enrolment file, the fact that a course is associated with one and only one qualification in the Course Register file does not directly affect funding. TEOs must consult the Delivery Classification Guide and ensure the correct codes are used.  The purpose of having a quality assured qualification on the Course Register is to provide the link between a course and a specific qualification for which:   * EFTS-based course factors have been derived and approved * quality assurance was originally obtained * the non-degree, degree, taught-postgraduate and research-based funding levels have been derived. |
| NOTE: | **IT IS ESSENTIAL THAT THE COURSE CODE IN THE COURSE REGISTER IS EXACTLY THE SAME AS THAT USED IN THE COURSE ENROLMENT FILE.** |
| Where to find the Course Register | The Course Register is in DXP Ngā Kete. |
| Updating the Course Register | Course register field names and descriptions, and step-by-step instruction to view or edit/update the Course Register, are available in the DXP Ngā Kete user guides.  TEOs require the DXP Ngā Kete ESL role ‘General User’ to add or change information in the Course Register.  When submitting data, only use generic course start and end dates where it is impractical to identify the relevant start and end dates for each unit or course. |
| Auto approval of course fees within the AMFM | Course change requests where the total tuition fee is within the Annual Maximum Fee Movement (AMFM) for the year will be automatically approved as part of the change request submit process.  Exceptions are:   * funded micro-credentials * training schemes under review * any new courses, and * any courses with additional changes to other fields.   These change requests require review and manual approval.  Note also that you should submit change requests for multiple changes to courses (eg, because of changing the disaggregation approach for a qualification) before the courses start each year. We don’t approve in-year change requests resulting from substantial disaggregation for the current year. |

## Delivery site register

Delivery site information in DXP Ngā Kete is used to analyse regional funding and provision.

You can make changes to delivery sites at any time during the year. Please submit update requests early so they can be processed and approved in time for your SDR submission.

# Information requirements for each type of enrolment

## Enrolment types

There is a slight difference in the data required for learners, depending on a learner’s enrolment type. Type D enrolments require the most data.

The diagram below will help identify enrolment types (learner types) across all funds.

A diagram of a course

Description automatically generated

Notes:

1. Where a learner is enrolled in a combination of formal and non-formal courses, the sum of EFTS from formal enrolments will identify them as a Type B or Type D learner.

The amount of data required varies by the type of qualification a student is enrolled in. The following explains what information is required for each type of enrolment.

## Type D Enrolment

Students enrolled in a qualification or a course of a qualification (qualification award category is not 90, 91, 97 or 99) with a total EFTS value greater than 0.03

Includes students enrolled in courses that are funded through:

* Qualification Delivery funding or
* Youth Guarantee.

Student’s name and date of birth **AND** residential status must be verified for a Type D student.

## Type C Enrolment

Students enrolled in a non-formal programme

Only minimal data needs to be recorded for purposes of statistical reporting:

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| **SDR File** | **Information required** |
| **Learner** | Only the following fields are required:   |  | | --- | | **Field Title** | | Provider Code | | Student Identification Code | | Gender | | Date of Birth | | Total Fee for Domestic Student | | Name ID Code | | Country of Citizenship | | Iwi Affiliation | | National Student Number | | Tuition Fee Paid by International Fee Paying Student | | Ethnicity | | Permanent Post Code | | Term Post Code | | Disability Status | | Disability Support Needs | |
| **Course Enrolment** | All fields |
| **Qualification Completion** | Type C students must not be reported in the Qualification Completion file. |
| **Course Completion** | Type C students must not be reported in the Course Completion file. |

Type C students may already have National Student Numbers. They may have a verified or unverified NSN.

If the student does not already have an NSN, one must be created.

## Type B Enrolment

Includes all Secondary Tertiary Alignment Resource (STAR) students and students enrolled in quality assured qualifications that have an EFTS value less than or equal to 0.03.

Type B students normally require less reporting than type D students. However, because of recent changes in TEC reporting, we encourage you to report Type B students as if they were Type D, if possible.

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| **SDR File** | **Information required** |
| **Learner** | Only the following fields are required:   |  | | --- | | **Field Title** | | Provider Code | | Student Identification Code | | Gender | | Date of Birth | | Total Fee for Domestic Student | | Name ID Code | | Country of Citizenship | | Iwi Affiliation | | National Student Number | | Tuition Fee Paid by International Fee Paying Student | | Maxima Exempt Fee | | Ethnicity | | Permanent Post Code | | Term Post Code | | Disability Status | | Disability Support Needs | |
| **Course Enrolment** | All fields |
| **Qualification Completion** | Type B students may still be omitted from the Qualification Completion file.  TEOs are encouraged to provide Qualification Completion records for Type B students that:  (a) have included courses with funding source 01, 22, 26, 28, 29 or 37; and  (b) do not have qualification award category codes of 25, 37, 90, 91, 96, 97, 98 or 99. |
| **Course Completion** | Type B students may still be omitted from the Course Completion file.  TEOs are encouraged to provide Course Completion records for Type B students that:  (a) have funding source 01, 22, 26, 28, 29 or 37; and  (b) do not have qualification award category codes of 90, 91, 96, 97 or 99. |

STAR students will already have National Student Numbers.

# Workforce Questionnaire

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| What is the Workforce Questionnaire? | The Workforce Questionnaire (WFQ) is an annual return of staff employed at TEOs.  The data collected is used to measure the size and demographics of the education workforce and to calculate staff–student ratios.  The return includes all staff employed at TEOs during the full calendar year. |
| What is reported? | For tertiary education institutions (TEIs), the return will report numbers of staff and full-time equivalents by designation, ethnicity, age group and gender.  For private training establishments (PTEs), the return will report numbers of staff and full-time equivalents for teaching, executive and support staff by ethnicity, age group and gender.  The return includes all staff, whether employed through government funds, tuition fees, international fee-paying student funds or scholarship funds, etc. It also includes staff from any branch offices and contractors. |
| How to submit the Workforce Questionnaire | The WFQ data is submitted by uploading a completed WFQ in DXP Ngā Kete. You can download the template from DXP Ngā Kete. |
| When to submit the Workforce Questionnaire | You can complete and return the WFQ during January.  You **must** complete and submit the WFQ before you can submit the **December**. |

# SDR reports

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| Equivalent full-time student (EFTS) Forecast | TEOs delivering qualifications eligible for TEC funding at Level 3 and above with a source of funding (SoF) code of  01-Delivery at NZQCF Levels 7 (degree) and above (DQ7-10),  29-Māori and Pasifika Trades Training Level 3 and 4, or  37- Delivery at Levels 3-7 (non-degree) on the NZQCF (DQ3-7)  must enter their EFTS forecasts for the current year and for four out-years. Monthly forecasts will be required by course classification and funding category for the current and first out-year, and six-monthly forecasts for the following three out-years. |
| Summary report | When you submit your SDR, a summary report is generated so you can check student numbers and ensure there are no obvious inconsistencies. The summary is also used to certify that your data files are accurate and have been validated in accordance with our standards.  Your Chief Executive or Vice Chancellor must sign the summary report sign-off page for the April and August returns. Either your Chief Executive or, if your organisation has one, the Chair of your Council or Board must sign the December return.  You only need to upload the sign-off page to DXP Ngā Kete. Please ensure that it has been signed **before** uploading. |

# Performance-Based Research Fund

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| Background information | The Performance-Based Research Fund (PBRF) is administered by TEC. Full details on the PBRF can be found at [Performance-Based Research Fund](https://www.tec.govt.nz/funding/funding-and-performance/funding/fund-finder/pbrf).  For more information, please email [pbrfinfo@tec.govt.nz](mailto:pbrfinfo@tec.govt.nz). |

**PBRF eligible courses**

PBRF eligible courses are those completed within a TEO that meet the following criteria:

* The degree has an externally assessed research component of 0.75 EFTS value or more.
* The student who has completed the degree has met all compulsory academic requirements by the end of the relevant year (the year preceding the return).
* The student has successfully completed the course.

## Theses in te reo Māori

**Definition**

The definition has two aspects:

1. the primary language in which the thesis is written, submitted and examined must be te reo Māori; and
2. the thesis is considered to be Māori research.

**Use of other languages**

Material that may appear in the thesis in languages other than te reo Māori is restricted to:

* a translation of the abstract
* pictures, diagrams, charts and other visual media
* a partial or full translation from Māori into another language, if made by the student, provided as an appendix to the thesis, and
* citations and quotations from other works.

**Translation**

A thesis originally researched and written in another language and then, on completion, translated into te reo Māori for the purposes of submission and examination, would not meet the requirement of this definition.

**Māori research**

The thesis must be consistent with the definition of Māori research, as applied by the Māori Knowledge and Development advisory panel for the PBRF 2018 Quality Evaluation.

# General information

## National Student Index

|  |  |
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| What is the National Student Index? | The National Student Index (NSI) is a database, a system and a set of processes used to assign a unique identifier, the National Student Number (NSN), to all students in the New Zealand education system. At the tertiary level you should only need to assign new NSNs to new international students and mature students registering for the first time since the NSN was phased in. |
| National Student Numbers | NSNs must be included for every student reported in the SDR. This allows student information to be linked together, even if different TEOs report it in different years, so that accurate data about student characteristics and paths of study is recorded. |
| NSNs and the Record of Achievement | The NSI is also used by NZQA to administer the Record of Achievement (RoA). All RoA numbers are NSNs. The NSI does not hold any information about students’ assessment standards or qualifications, so queries about these will need to be directed to NZQA. |
| How to access the NSI | TEOs can access the NSI system through a “live” interface with their Student Management System(s), through batch processing of requests, or through the NSI website. TEOs can assign NSNs for their students and update existing NSI records. |
| NSN and enrolment type | Type C and D students are required to provide a date of birth at enrolment, and Type D students must have a verified date of birth which is required for validation against the NSN. |
| Things to note | To ensure all NSNs are valid and up to date, we encourage you to run an NSN search on all your students and to then update the data in your SMS.  We encourage you to validate your SDR files regularly as a means of checking and cleaning data. When running validations, set the NSN cut-off date to the date you validate.  Information for submitting a “challenge” in the NSI can be found in the NSI Web Application User Guide, available at [National Student Index – Ministry of Education](https://nsi.education.govt.nz/).  For more information about the NSI, see [National Student Index – Ministry of Education](https://nsi.education.govt.nz/). |

## Guidance for specific types of enrolment

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| How to report enrolments in Trades Academies and Youth Guarantee programmes | All students enrolled in Trades Academies and Youth Guarantee programmes are Type D students and therefore must complete a full enrolment, which requires a verified NSN.    **Youth Guarantee**  Youth Guarantee students are enrolled in courses that will lead to either national qualifications or locally awarded qualifications. In either case, the qualification must have been through the appropriate NZQA and TEC approval processes. All Youth Guarantee enrolments should use SoF code 22 and the qualification code of the qualification that the student is enrolled in. There are specific rules for the qualification code to use for NCEA programmes – please see [Programme eligibility – Youth Guarantee](https://www.tec.govt.nz/funding/funding-and-performance/funding/fund-finder/youth-guarantee/eligibility).  **Trades Academies**  Students enrolled at a Trades Academy remain enrolled in a secondary school. Each Trades Academy will deliver a trades-related programme that should include both NCEA (Level 2) credits and a nationally transferable tertiary qualification (Levels 1 to 3 on the New Zealand Qualifications and Credentials Framework).  All tertiary qualifications for Trades Academies must have been through the appropriate NZQA and TEC approval processes. All Trades Academy enrolments should use SoF code 24 and the qualification code of the qualification that the student is enrolled in.  Note that generic qualification codes **cannot** be used for Trades Academy enrolments. |
| How to report the enrolment of STAR students | All students enrolled in Secondary Tertiary Alignment Resource (STAR) programmes are Type B students, which require a minimum of a “Partial” NSN.  All STAR students should be enrolled under a generic qualification PCSTAR.  Other statistical reporting requirements are outlined on the Information requirements for each type of enrolment”. |
| How to report the enrolment of students into other contracted courses | A number of organisations and government agencies, eg, the Ministry of Social Development (MSD), contract TEOs to run specific courses.  Students in these contracted courses will have SoF code 12 and should be enrolled under a generic qualification code. For PTEs it is PCCONT.  For TEIs it is XXCONT, where XX is the two-letter organisation code.  These students are Type C students. |
| How to report the enrolment of students in a Certificate of Personal Interest | The Certificate of Personal Interest (CPI) applies to students who choose to enrol in a recognised course (subject/paper/module) for personal interest only and do not enrol in a qualification or gain recognised credit toward a qualification.  TEIs use the code XXCPI.  PTEs use PCCPI. PTE CPI enrolments are not eligible for TEC funding. Use SoF “Domestic full fee paying” code 03. |
| What to report under Domestic Full Fee Paying Students (SoF 03) | SoF code 03 can only be used to report course enrolments in:   * qualifications and training schemes **not** approved DXP Ngā Kete as eligible to access TEC funding (this includes PTE certificates of personal interest [CPIs]), and * doctoral study where the four EFTS threshold for Qualification Delivery funding, SoF 01, has been surpassed.   **Notes:**  For doctoral study over the four EFTS threshold:   * If you already report these EFTS under SoF 03, you can continue to do so but you need to manually amend Verification of Study (VoS) through to StudyLink with SoF 01. Notify StudyLink of this through its Student Allowance Knowledge Base. StudyLink will lock down the student file with SoF 01 so the student can access any loan entitlement. Under this option, the enrolment will show as SoF 03 in your SMS and in the SDR. * If you already report these EFTS over the four EFTS threshold under SoF 01, you can continue to do so, but by setting the EFTS factor to zero so you do not claim Qualification Delivery funding, and so the delivery is not included in your delivery volume.   For PTEs, all course enrolments in qualifications approved in DXP Ngā Kete as eligible to access Qualification Delivery funding, and that are listed in your agreed mix of provision for Qualification Delivery funding, **must** be reported under SoF 01 and SOF 37, not SoF 03. |

## Total fee for domestic student field

The validation rules 665 and 666 for the “Total fee for domestic student field” were removed during the August 2019 SDR round.While these validations are no longer being applied, we still require you to enter a value (the total fee you charge your students) in this field for all domestic students. We will contact you if you make use of null or zero beyond the very occasional case. The information you provide will be checked as part of our standard auditing process.

# Late submissions and resubmissions

## Late submissions

The data from every SDR is used for government policy and budget processes and to plan and monitor our ongoing investment in tertiary education. If you submit your data late or with errors, or resubmit it with changes, this can have flow-on effects for us and for other TEOs.

Resubmissions of SDRs are not accepted without our approval, we will only approve in exceptional circumstances.

All resubmissions outside published timeframes are treated as late data submissions.

## Exceptional circumstances

"Exceptional circumstances" are those that are genuinely unforeseeable and that you could not have proactively managed.

We are **unlikely** to consider the following circumstances to be exceptional:

* **Data issues identified during or after the sale and purchase of a TEO.** If you are purchasing a TEO, you need to be confident that its historical SDR data is accurate.
* **Student Management System (SMS) software errors.** Submit trial SDRs early to identify and address any issues well in advance of the final submission deadline.
* **A change of SMS, resulting in errors.** If you are changing your SMS, you need to be confident you can do this without risking errors.
* **Errors made by a staff member that were identified later.** You are responsible for ensuring that your staff submit accurate data.
* **Not checking your organisation’s educational performance indicator (EPI) data before submitting the April SDR.**

## The Stop Gate process

The Stop Gate helps us manage late submissions and resubmissions of a full set of files. This means you need to submit a full set of SDR files by the due date for each round.

We will decide whether or not to approve a submission outside of the SDR round on a case-by-case basis. You can also resubmit your data if we find an error after submission, with our permission.

The process is as follows:

* Contact us on 0800 601 301 or [customerservice@tec.govt.nz](mailto:customerservice@tec.govt.nz) as soon as possible.
* We will then send you an SDR late/resubmission request (Stop Gate request) form to complete and submit.
* Once your SDR submission has the status of “Processed” (with zero errors) please send the completed form to [customerservice@tec.govt.nz](mailto:customerservice@tec.govt.nz) with the subject line [EDUMIS #] **–** SDR Stop Gate Request.
* Your request will be forwarded to the Customer Contact Group Manager to consider for approval.
* If we approve your request, we will advise you of the due date and lift the Stop Gate, allowing you to submit your processed (with zero errors) SDR.
* If we decline your request, we will advise you of the reason for that decision.

This does not affect the SDR validation, processing and submission process.

## Notes

Any amendment to a previously submitted SDR may have an impact on previous funding wash-ups, future funding and performance monitoring.

If the data from an SDR has been published in a report (such as statistical reporting and EPI publication), the published data will not be altered.

# Conditions for provision of information

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| --- | --- |
| Confidentiality of information on students | For information on refer to [Our privacy notice – Tertiary Education Commission](https://www.tec.govt.nz/footer/about-our-site/privacy). |
| Responsibility for the integrity of data collected at each TEO | Each TEO is responsible for the integrity of data collected from students and staff. To make sure data collected across the tertiary sector is consistent an enrolment/application form template is available from [Single Data Return (SDR)](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr). |
| Responsibility for the integrity of data provided to the TEC | You are responsible for checking the integrity of the data you provide to us.  TEOs are to return the summary reports sign-off sheet to TEC. The summary report and sign-off sheet is produced by the validation program after the SDR files have been validated.  Your Chief Executive or Vice Chancellor needs to sign the summary report sign-off sheet declaration for the April and August SDR to confirm the reliability of data in the files and the total roll numbers. Either your Chief Executive or, if you have one, the Chair of the Council or Board must sign your organisation’s summary report for the December SDR submission either. |
| The Ministry of Education (MoE) and TEC’s responsibility for quality assurance | The MoE and TEC acknowledge that TEOs have an obligation towards the students who furnish the information to ensure that the data supplied to the agencies is used appropriately.  Summary statistics reports of enrolments for the whole tertiary sector will be posted on the [Ministry's Education Counts website](https://www.educationcounts.govt.nz).  EPI data is published at [View educational performance using interactive charts](https://www.tec.govt.nz/funding/funding-and-performance/performance/teo/epi-reports/interactive-charts#!/) . |

# Glossary of terms

| **Term** | **Definition** |
| --- | --- |
| Annual Maximum Fee Movement (AMFM) | TEOs receiving DQ 3-7 funding at Level 3 and above must not increase fee/course costs by more than the limits set. For more information (<http://www.tec.govt.nz>).see [Annual Maximum Fee Movement (AMFM)](https://www.tec.govt.nz/funding/funding-and-performance/funding/fee-limits-and-regulations/annual-maximum-fee-movement). |
| AUS (Australian citizen) | Australian citizens are considered domestic students in the SDR but only if they are resident in New Zealand. |
| Confirmed student enrolment | Refer to the information available on the TEC website. |
| Course | A course is the smallest component of a programme of study in which a learner may be enrolled and returned in the SDR. It is a set of learning with level, credit, title, grade on assessment, equivalent full-time student (EFTS) and courses classification. Papers, modules, units, components and subjects are all terms that are sometimes applied to courses. A course encompasses teaching, learning and assessment. In some cases it also includes research.  A course may occur at any location at any time during the year. |
| Course completion | The requirements for course completion are set out in the approved course descriptor or outline as part of the programme documentation of a quality assured qualification. |
| Course Completion file | This file is submitted three times a year (April, August and December). The file should contain all enrolments for the year to date for Type D students who do not have a source of funding code of 06, 07, 08 or 21. The file should also include all completions since the previous return of this file and any updates/changes from previous completions reported. There are various fields that are to be included in this file (these can be found in the Data Specifications). |
| Course Enrolment File | This file is submitted three times a year (April, August and December). It should contain all students enrolled in the current year. A record of each separate course enrolment is required for each individual student. Every student in the Learner File should appear at least once in the Course Enrolment File. Various fields are included in this file (these can be found in the Data Specifications). |
| Course Register File | This file is submitted three times a year (April, August and December). It contains records of all courses in which students are enrolled in the current year by each TEO. All course codes in the register must appear only once and be exactly the same as that used in the course enrolment file. Various fields are included in this file (these can be found in the Data Specifications). |
| Delivery on the New Zealand Qualifications and Credentials Framework | Delivery on the New Zealand Qualifications and Credentials Framework (DQ) is the government’s contribution to the direct costs of teaching and learning and other costs driven by student numbers within approved tertiary education Investment Plans. |
| Description | A description of the field. Each data point in the data specification has a description. |
| Domestic student | Domestic students are students who are citizens or resident visa holders of New Zealand, or Australian citizens or current Australian permanent resident visa holders living in New Zealand. For full details refer to the [NZ Gazette](https://gazette.govt.nz/) for the latest *Tertiary Education (Domestic Students) Notice.* |
| EFTS | Equivalent Full-Time Student (EFTS) is a measure of consumption of education. A student enrolled in a programme of study full-time for the full year equates to 1 EFTS. A student enrolled full-time for half the year would equate to 0.5 EFTS. |
| EFTS forecast | Tertiary education organisations (TEOs) forecast their EFTS in the SDR. Forecasts are required by course classification and funding category. The actual EFTS may change from the previous SDR’s forecast EFTS. |
| Enrolment type | See Type B, C and D students. |
| Error | An error report is provided for individual records that fail the validation test in the SDR. You must correct these errors in your Student Management System and re-extract the files before the validation process can be completed. |
| Extract date | The extract date is effectively the “as-at” date for the National Student Index (NSI) data, which SDR learner data is validated against. |
| Field title | Each data point in the data specification has a field title. The field also has a description, field specification and a list of relevant data rules. |
| Field specifications | The field specifications include information such as:   * length * type, eg, Character or Integer * type of enrolment * guidance. |
| Formal qualifications and credentials | Recognised qualifications and credentials that have formal assessment procedures that add to academic credit, or a module of such a recognised qualification or credential. |
| Generic enrolment form | This form has been produced to assist TEOs to collect information from students that fulfils the data requirements of the SDR. The generic enrolment form template can be found at [Single Data Return (SDR)](https://www.tec.govt.nz/funding/funding-and-performance/reporting/sdr). |
| “Inactive” NSN | An “Inactive” NSN relates to a deceased or fictional person and should no longer be used. |
| International student | A non-domestic, international fee-paying student, or a non-domestic PhD student (paying domestic fees and referred to in the data specification as “International On-Shore PhD student”). |
| Learner file | File containing records for each learner enrolled in a course or qualification. All students for which a confirmed student enrolment has been made in your student management system should be reported, regardless of the level of study or the funding source. |
| “Merged” NSN | The record is no longer current. The record will indicate which NSN should now be used for the student in question. A merged NSN occurs when more than one NSI record existed for the same student, and the records were merged into one so that the student has one NSN. |
| Non-formal education/non-formal course | Non-formal education/courses are learning that does not contribute towards a qualification.  This includes adult community education courses, courses taken for personal interest (CPI) and learning for which a certificate of attendance only is given.  Non-formal education can include assessment, but the assessment does not contribute toward a qualification.  If a student receives a certificate of completion or attainment simply by virtue of attending classes, or in some other non-discriminatory way, the learning is considered to be non-formal. |
| NSI (National Student Index) | The National Student Index (NSI) is a database, a system and a set of processes used to assign a unique identifier, the National Student Number (NSN), to all students in the New Zealand education system. At the tertiary level you should only need to assign new NSNs to overseas and mature students registering for the first time. |
| NSN (National Student Number) | A National Student Number is unique to each student. |
| NZQA | New Zealand Qualifications Authority. |
| NZSCED Field of Study Codes | New Zealand Standard Classification of Education (NZSCED) Field of Study Codes are used to classify the field of study of courses and qualifications. |
| PTE | Private training establishment. |
| Qualification | A qualification recognises the achievement of a set of learning outcomes for a particular purpose through formal certification. |
| Quality assured qualification | A quality assured qualification is one that has been approved by the quality assurance bodies, NZQA or the Vice Chancellors’ Committee (Universities NZ).  Each qualification listed in the SDR Qualifications Register is attached to a TEO, and the data stored for the qualification includes a qualification code, NZSCED code, a Qualification Award Category code and an NZQCF Level. |
| Qualification Award Category | Recognised qualifications are awarded qualification codes between 01 and 60 & 98. Refer to [the DXP Data Classification Appendices](file:///C:/Documents%20and%20Settings/sathiyandrag/Local%20Settings/Temporary%20Internet%20Files/Content.Outlook/U39GVD2B/SDR%20Appendices%202005%20v7.1.doc) for a description of each code. |
| QAB (quality assurance body) | Quality assurance bodies approve qualifications, making them “recognised”. Quality assurance bodies include the New Zealand Vice Chancellors’ Committee or NZQA or its agents. |
| Qualification or credential completion | A learner has completed a qualification / credential when they have met the requirements to be eligible for the award of the qualification / credential as set out in the approved regulations for it. |
| Qualification Completion File | This file is submitted three times a year (April, August and December). It contains records for individual students who have passed all the academic requirements for the completion of a recognised qualification or credential. |
| Recognised qualification | A qualification (or credential) that has been approved by a quality assurance body and meets the requirements of the New Zealand Qualifications and Credentials Framework. |
| NZQCF level | The level on the New Zealand Qualifications and Credentials Framework. |
| SDR | The Single Data Return (SDR) is a set of data items that are specifically required by the Ministry of Education and TEC for monitoring performance against Investment Plans as well as statistical reporting purposes. |
| SDR Qualifications Register | The SDR Qualifications Register is a database that lists information on quality assured qualifications offered by TEOs that are eligible for funding and for Student Allowances and Loans.  It also includes other qualifications relevant for SDR data returns. |
| SMS | A Student Management System (SMS) is a database or application that can store information relating to an organisation. A certified SMS can also generate reports and data files, which are required for the government. |
| Secondary Tertiary Alignment Resource (STAR) | The Secondary Tertiary Alignment Resource (STAR) is funding received by secondary schools for offering non-conventional and tertiary type courses to their students. STAR funded students may enrol with a TEO. |
| Summary report/validation summary report | When using the validation program a summary report is generated. This is uploaded into DXP Ngā Kete with your validated data files. |
| TEC | Tertiary Education Commission. |
| TEI | Tertiary education institution. |
| TEO | Tertiary education organisation. |
| Type B students | All STAR students and students enrolled in qualifications that have a total EFTS value (across all enrolments) less than or equal to 0.03. Only a minimal set of data for the student is required to be returned – an Unverified NSN is acceptable. |
| Type C students | Are students enrolled in non-formal education. A limited set of data for the student is required to be returned – a Unverified NSN is acceptable. NB a proxy date of birth is not permissible. |
| Type D students | Are students enrolled in at least one quality assured qualification or a course(s) toward such a qualification with a total EFTS value (across all enrolments) greater than 0.03. A full data set for the student is required to be returned – a Verified NSN is required. |
| Unverified NSN  (previously known as “Partial”) | The NSN has one or more of the required fields not filled in, or one or both of the verified indicators set to “unverified”. Required fields are Surname, Forename 1, Date of Birth, Gender and Residential Status. |
| Verified NSN  (previously known as “Active”) | Once the name and date of birth **and** the residential status of the student has been verified, the status of the NSN is “Verified”. When a student has a “Verified” NSN they have fulfilled the verification requirements for enrolment at any TEO. |
| Validation | Data is validated against criteria outline in the error and validation rules relevant to that field. |
| Warning | A warning report lists the possible errors for each individual record in the data files. These records should be checked in your SMS. |
| Workforce Questionnaire (staffing return) | An annual return of staff employed at TEOs. The data collected is used to measure the size of the education workforce and the proportion of each gender in each category, and to calculate staff–student ratios. It is an annual data collection which must be completed and submitted in January before the December SDR can be submitted. |

# Appendix A: Version history

## Version V1.1 updates

Added section on First pass validation process.

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1. A learner enrolled in a formal qualification with a total EFTS value greater than 0.03 (refer to the section on enrolment types for more information). [↑](#footnote-ref-2)