

- TO:** **Liaison Officers of**
- **Colleges of Education**
 - **Government Training Establishments**
 - **Industry Training Organisations**
 - **Polytechnics**
 - **Private Training Establishments**
 - **Wānanga**

REPORTING NATIONAL QUALIFICATIONS FRAMEWORK (NQF) INFORMATION FOR PROCESSING

This circular provides clarification on the procedures for reporting NQF data (registrations and results) in accordance with the requirements of all accredited organisations to:

- supply records of students to the Qualifications Authority; and
- collect and remit fees associated with the Record of Learning.

Please read this circular carefully as it contains new details and information.

Information System Developments

The Qualifications Authority has recently implemented a new Electronic Data Processing (EDP) function that provides multi-user processing. The new functionality has allowed the Authority to eliminate the previous backlog and return to the standard turnaround period of ten working days.

The Authority has also embarked on a 3-4 year redevelopment programme of existing core applications such as the Record of Learning database.

This programme is entitled e.QA and is a 'web-centric' initiative that will enable ready access to services and processes. User requirements specifications have been approved and development is underway.

It is envisaged that the new Record of Learning database system will be progressively rolled out from March to October 2003.

Methods of Reporting

Data can be reported by electronic transfer (diskette) or manual submission (paper).

Electronic Transfer

Electronic transfer is only available by fixed length ASCII file in a specified one record or two record table format. (Note - The *Framework Data Collection (FDC)* product that previously assisted with electronic transfer is no longer supplied by the Authority).

Providers and Industry Training Organisations (ITO) are required to validate and verify all data submitted by electronic transfer. There are two electronic files (available on request) that can assist with those processes:

- Units.txt - a file of all registered unit standards; and
- Accreds.txt - a file of the unit standards your organisation is accredited to provide.

It is essential that data reported by electronic transfer, contains the correct field and value information. The new EDP functionality cannot process data that contains invalid or incorrect fields or values. Invalid information causes all data to be rejected and an exception report to be generated. Processing cannot be continued until the invalid data is corrected.

Further, the new functionality does not process transition or exemption types of results. Transition and exemptions results must be reported by manual submission only and accompanied with the applicable verification documentation.

Providers and ITOs are liable for any fee discrepancies that occur if incorrect or inaccurate data is reported. For example, each learner registration must include the payment status. If the payment status is not included, the registration will be processed as paid and the provider is liable for the fee discrepancy. Further, if a provider or ITO inadvertently includes results data on an electronic transfer, that information will be processed and the provider is liable for the fee discrepancy.

Manual Submission (Paper)

Manual data must be submitted on Qualifications Authority forms or in a similar format as follows:

- one A4 portrait-style registration form per learner
- one A4 portrait-style page of results **per learner**

- 12 point font size minimum
- typeface versus handwritten:

Manual data that is submitted in an inappropriate format will be returned unprocessed.

On request, the Qualifications Authority can supply a maximum quantity per year of 100 registration forms, 200 result sheets and 50 National Certificate application forms. These forms are single-sided and can be photocopied.

The triplicate result forms for Skill New Zealand reporting requirements are supplied by that organisation. Please contact your local Skill New Zealand office for details.

Timely And Accurate Reporting

As part of their accreditation, providers and ITOs are required to transfer learner achievement of credits for unit standards to the Qualifications Authority Record of Learning database:

- accurately
- on a regular basis
- as soon as practicable after assessment has occurred, and
- only in relation to the scope of accreditation granted.

In 2003, providers and ITOs will be notified by Tertiary Records where there are concerns about the accuracy and timeliness of reported data.

If there are significant or on going concerns about the timeliness and accuracy of results, the Tertiary Records business unit will notify the provider's, or ITO's, Quality Assurance Body about the concerns.

Documentation

Cover Sheet

The cover sheet must be used each time registrations, results or certificate applications are reported by electronic transfer or manual submission.

The cover sheet provides the Qualifications Authority with a summary of the data to be processed, allows accurate reconciliation of payment against data processed and provides your organisation with a record of the data submitted.

A further covering letter or note is only necessary if there are specific instructions such as a request for National Certificate applications to be returned to your organisation.

The cover sheet has been updated to include a declaration to be signed by the reporting provider. This declaration verifies the authenticity and accuracy of the information reported and eliminates the requirement to sign each result form submitted.

A personalised copy of the cover sheet for your organisation has been included with this circular. Please discard any previous copies of the cover sheet used by your organisation.

Please note, that any data received without a cover sheet or signed declaration will be returned unprocessed.

Registrations/Hook-ons

Providers and ITOs should ensure that learners are registered **before** results are submitted for processing. If the learner is not already registered, the provider must submit the learner's personal details for registration and the \$25 registration fee.

Providers and ITOs can check whether a learner is already registered by using the Provider Login service on the Qualifications Authority website or by submitting a fax or email request that clearly identifies your organisation and includes each learner's first and last names and date of birth.

The name details provided on a registration form must be the learner's legal identity, NOT preferred name details. Providers and ITOs (or their delegated agents) must sight official verification (passport, birth certificate, driver licence etc) of a learner's identity and date of birth.

Each registration should include the following learner details:

| | | |
|---|----------------------|--|
| 1 | Last name/surname | Compulsory |
| 2 | First Name/s | Compulsory |
| 3 | Date of birth | Compulsory |
| 4 | Address | If not included, reporting provider's address will be used |
| 5 | Gender | Default - female |
| 6 | Local ID | Compulsory for electronic transfer only |
| 7 | Ethnicity | |
| 8 | Teaching institution | Default - NZQA |
| 9 | NSI number | If known |

All compulsory fields must be included. If any of the compulsory fields are not provided, the registration will be returned to your organisation unprocessed.

Providers and ITOs must also ensure that authorisation is obtained from the learner that allows the Authority to collect and exchange information with appropriate organisations, as stated in the declaration on Authority provided registration forms.

Results

Results are only to be reported for paid and registered learners. If the learner is not already registered, the provider must submit the learner's personal details for registration and the \$25 registration fee.

All results data must be accompanied with the \$1 per credit fee and include the following learner details:

| | | |
|---|-------------------|------------|
| 1 | Last name/surname | Compulsory |
| 2 | First name/s | Compulsory |
| 3 | Date of birth | Compulsory |
| 4 | NSI number | Compulsory |
| 5 | Address | |

All compulsory fields must be included. If any of the compulsory fields are not provided, the results information will be returned unprocessed and further fees may be levied.

Each result must include the following details:

| Standard code | Standard version | Achievement status | Completion date |
|---------------|------------------|--------------------|-----------------|
| <i>eg 123</i> | <i>1</i> | <i>C</i> | <i>12/12/01</i> |

Currently where the version of the standard assessed is not stated, the latest version of that standard is processed.

Providers and ITOs are advised to include the version required. After 1 March 2003, results data that does not specify a version will be returned unprocessed for completion and further fees may be levied.

The credit fee column on the Authority's result form is only included to enable reconciliation of the payment required. The credit value for each standard that is reported is not entered or checked as part of the processing procedure undertaken.

A standard's credit total is not to be reported as a method of identifying the version of the standard required. Results are entered onto the database by standard code, standard version, achievement status and completion date only.

Providers and ITOs are liable for all fee payment discrepancies that occur due to inaccurate or incomplete information that has been reported.

If an incorrect result is reported, please notify the Authority in writing as soon as possible so that an amendment can be made. Providers and ITOs must also inform the affected learner where the outcome of an amendment alters information they have already received.

Please notify the Authority in writing (fax, letter or email) if a processing error has occurred. Written confirmation will be provided where amendments are required.

Payment Information

Registrations (Hook-ons)

The registration fee is a one-off payment of \$25. The registration fee meets the costs associated with entering and storing learners' results and the production of an updated Record of Learning for every year that the learner achieves results.

The learner's personal details are recorded on the database and a unique identification number (which is also the National Student Index number) is generated. Notification of this number is sent to the learner and the training institution specified.

Multiple registrations

Where ten or more registrations are submitted together with a **single payment** the provider may retain a \$5 administration fee for each registration. The \$5 per registration fee contributes towards the cost of the administrative work involved with collating the forms, payment from learners and sending a **single payment**.

Providers are not to retain the \$5 administration fee if **less than ten registrations** are submitted at one time and if more than one payment is submitted, eg individual cheques from each learner. If the \$5 administration fee is incorrectly retained, your organisation will be liable for the payment discrepancy.

Results

When a learner is assessed as competent against a standard, the provider or ITO **must** report the result to the Authority together with the payment of \$1 per credit.

National Certificates and National Diplomas

The National Certificate or National Diploma application form has been updated to include strand and level information (copy attached).

The certification fee is \$15 per national certificate.

Applications can be made by individual learners, training providers or ITOs (on behalf of the learner).

Certificates and Diplomas are NOT automatically generated.

All fields on the application form must be completed. If incorrect or incomplete details are given and a comparable qualification is issued (eg level 2 instead of level 3) a further \$15 certification fee will be necessary to obtain the required qualification once the details have been clarified.

Certificates are sent to the address stated on the **application form**. If a learner does not receive a certificate because incorrect address details were given, a \$15 reprint fee will be necessary to obtain a further copy.

Once an application is received, the Authority checks the learner's eligibility to receive the award. If the learner is eligible, the qualification is issued and this is added to their Record of Learning.

If the check shows that the learner is not yet eligible for the qualification, a report (known as a "qual check") detailing the remaining requirements to complete the qualification is generated. The report is then sent to the applicant and the application is filed, pending the receipt and processing of the required results.

Providers and ITOs that submit several certificate applications (with or without data) will also receive a dated "print-log" which lists each learner and the qualification awarded. A print-log is also issued to providers and ITOs if any of the applicants are not yet eligible.

Providers and ITOs should notify the Authority if results reported for processing are related to any "pending" certificate applications.

Graduations/Presentations

Providers and ITOs may have a group/s of certificates sent directly to them for presentation/graduation purposes but a minimum of **ten working days** must be allowed for verification and printing purposes. A covering letter/note stating the date required and the address for delivery must also be included.

To meet the ten working days turnaround time for certificates, it is recommended that providers ensure that all applicable results have **already** been processed. It will not be possible to meet the ten-day turnaround time, if the required results are sent together with the certificate applications.

Results processing is an additional ten working days to the ten working days required to issue certificates.

Certificate Details

The Qualifications Authority logo and Chief Executive's signature will appear on all National Certificates and National Diplomas. Other logo/s that may appear on Qualifications Authority issued certificates are the:

- ITO/standard setting body's when appropriate (bottom, left-hand side of the printed certificate)
- accredited training provider's (bottom, middle of the printed certificate).

The training provider stated on the application form will appear on the certificate. Where not stated, the provider who reported the last results will appear.

The inclusion of a logo other than the Qualification Authority's is not automatic. Providers need to supply their logo to the Authority on an IBM compatible disk, or a bromide print for scanning, so that it can be entered into the database.

Contact People

For further information about the contents of this circular please contact:

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