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# Submission of Data Files and Review of Error and Warning Messages: User guide for SMS Schools

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### Need Further Help?

Contact the NZQA Secondary Data Management Team on 04 463 3000 or by emailing:  
[schools@nzqa.govt.nz](mailto:schools@nzqa.govt.nz).

## Data that NZQA needs to receive

Schools need to send to NZQA:

- candidate details – such as full legal name, date of birth, gender and current address,
- entries and results for internal assessment, and,
- entries for external assessment.

The accuracy of this information is vital. It is used for critical examination related processes including the award of qualifications and endorsements, and for statistical purposes. If external entries are not accurate it increases the possibility of administrative errors such as insufficient papers at examination centres or the loss of papers in the marking process.

## Frequency of data submissions

Schools are required to submit a minimum of one file by the first of each month from April to December. However, schools may choose to send files more frequently in order to keep their data with NZQA as current as possible.

## Methods for submission of data to NZQA

There are two methods for data file submission of entries and results to NZQA:

### Web entries

This is used by schools with relatively few candidates participating in the NZQF. Users enter data for individual candidates online, directly into the NZQA secure area.

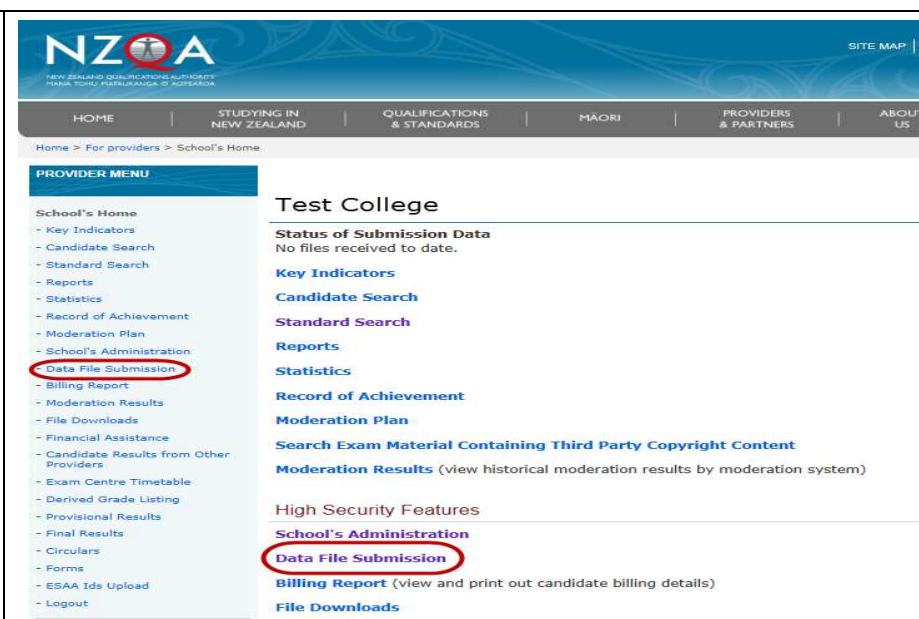
### SMS File submission

A data file is generated using the schools' Student Management System (SMS) which is then uploaded into the NZQA secure area. *Note: Maintenance of the SMS is the responsibility of the vendor.*

## Use of this guide

The purpose of this user guide is to provide instructions on how to submit data files to NZQA, and how to review error and warning messages - **for schools using an SMS.**

## Step 1: Accessing the Data File Submission facility

<p>Login to the NZQA secure area and select <b>Data File Submission</b>.</p> <p>The Data File Submission links can be found in the left hand side menu bar, or in the main menu as shown.</p> <p><i>Note: Data file submission can only be undertaken by staff with high security access.</i></p>	 <p>The screenshot shows the NZQA website interface for providers. The top navigation bar includes links for HOME, STUDYING IN NEW ZEALAND, QUALIFICATIONS &amp; STANDARDS, MAORI, PROVIDERS &amp; PARTNERS, and ABOUT US. Below this is a 'PROVIDER MENU' sidebar with a list of links. The 'Data File Submission' link is circled in red. The main content area displays 'Test College' and 'Status of Submission Data' (No files received to date). A second 'Data File Submission' link is also circled in red in the main menu area.</p>
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## Step 2: Select data file for submission

*Note: In order to proceed with the following steps you must have first created a NZQA export/data file using your SMS. This file should be saved in a local directory on your own computer/network. Contact your SMS vendor for guidance on how to generate an NZQA export/data file.*

Use the **Browse** button in the data file submission summary screen to locate the appropriate file stored in your local directory.

Double-click or select 'Open' to attach.

### Data File Submission - Test College

[SMS User Guide](#) [Web Entries User Guide](#)

Data file location \*  **Browse...**

Contact name \*

Contact email \*

Comments  
(Max 255 Characters)

**Submit**

There are no submitted batches

[Return to main menu](#)

## Step 3: Enter contact details and submit data file

In the data file submission screen, in the **Contact name** field, enter the name of the person NZQA can contact if there are queries relating to the data file. This would normally be the person submitting the file.

Enter this person's email address in the **Contact email** field.

Entering comments is optional, however, adding a brief summary or notes about this file into the **Comments** field may assist NZQA during processing.

Once you are satisfied, click on the **Submit** button.

### Data File Submission - Test College

[SMS User Guide](#) [Web Entries User Guide](#)

Data file location \*  **Browse...**

→ Contact name \*

→ Contact email \*

→ Comments  
(Max 255 Characters)

**Submit**

There are no submitted batches

[Return to main menu](#)

**Note 1:** **Contact name** and **Contact email** are mandatory fields.

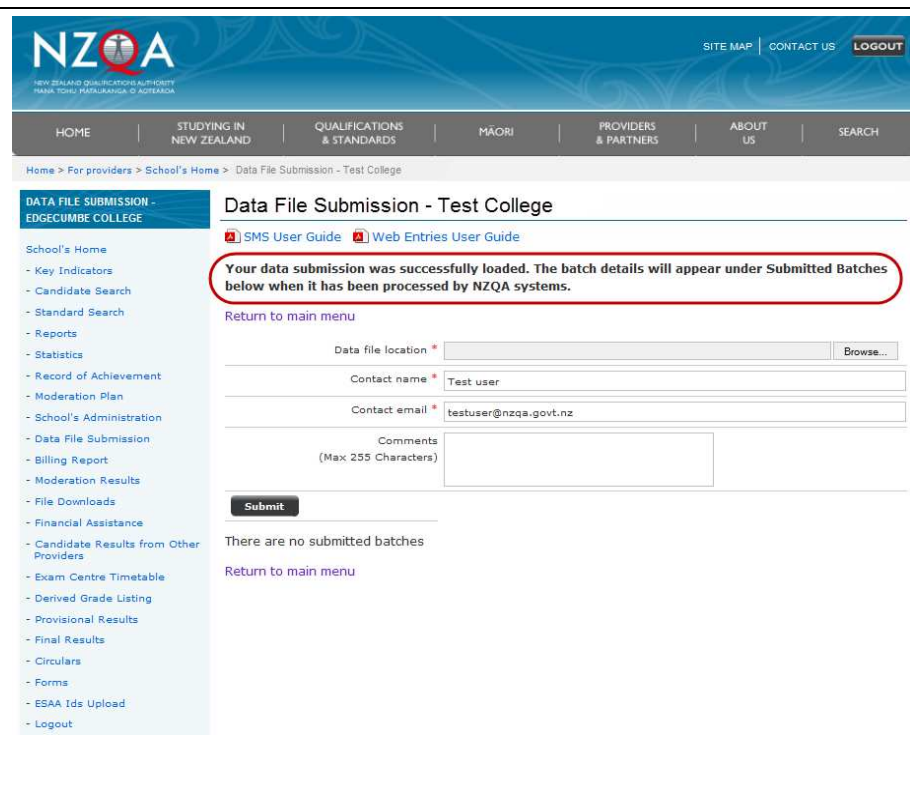
**Note 2:** There is a limit of 255 characters in the **Comments** field.

## Step 4a: Checking the submission status – Successful submission

A validation message will appear in the data file submission screen to advise the status of your file submission.

If your file has been submitted successfully, a confirmation message will appear in black (as shown). The file will arrive in the NZQA processing queue within 30 minutes.

*Note: You need to review the status of submitted data files by referring to Step 6 or Appendix 2 for information.*



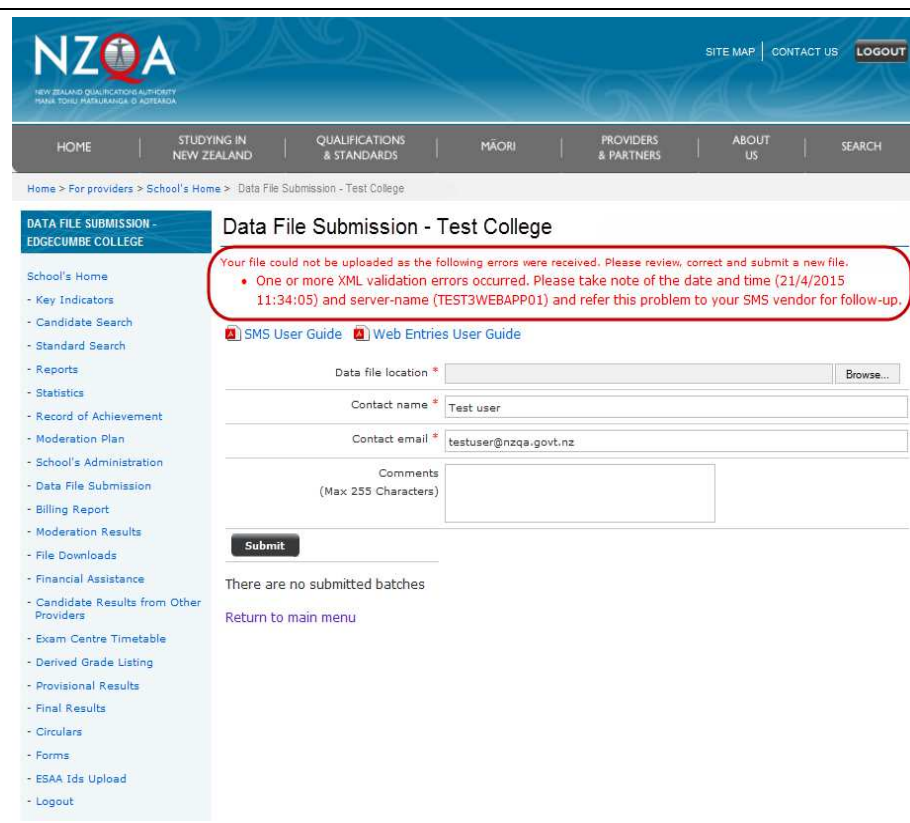
The screenshot shows the NZQA website interface for 'Data File Submission - Test College'. A red-bordered box highlights a black confirmation message: "Your data submission was successfully loaded. The batch details will appear under Submitted Batches below when it has been processed by NZQA systems." Below the message is a "Submit" button and a "Return to main menu" link. The form fields for "Data file location", "Contact name", and "Contact email" are visible, with "Test user" and "testuser@nzqa.govt.nz" entered. A "Comments" field is also present.

## Step 4b: Checking the submission status – Unsuccessful submission

Where the validation has failed, an error message will appear in red detailing the reason (example as shown). These errors must be corrected and a new file submitted.

For a complete list of validation error messages see step 5.

*Note: You may need to contact your SMS supplier if you are unsure how to resolve these errors.*



The screenshot shows the NZQA website interface for 'Data File Submission - Test College'. A red-bordered box highlights a red error message: "Your file could not be uploaded as the following errors were received. Please review, correct and submit a new file. One or more XML validation errors occurred. Please take note of the date and time (21/4/2015 11:34:05) and server-name (TEST3WEBAPP01) and refer this problem to your SMS vendor for follow-up." Below the message is a "Submit" button and a "Return to main menu" link. The form fields for "Data file location", "Contact name", and "Contact email" are visible, with "Test user" and "testuser@nzqa.govt.nz" entered. A "Comments" field is also present.

## Step 5: Resolving validation errors

If any of the following error messages are received when submitting a file, first, review the error message, make the necessary amendments to your system and then generate and submit a new file. Contact your SMS supplier if you require any further assistance.

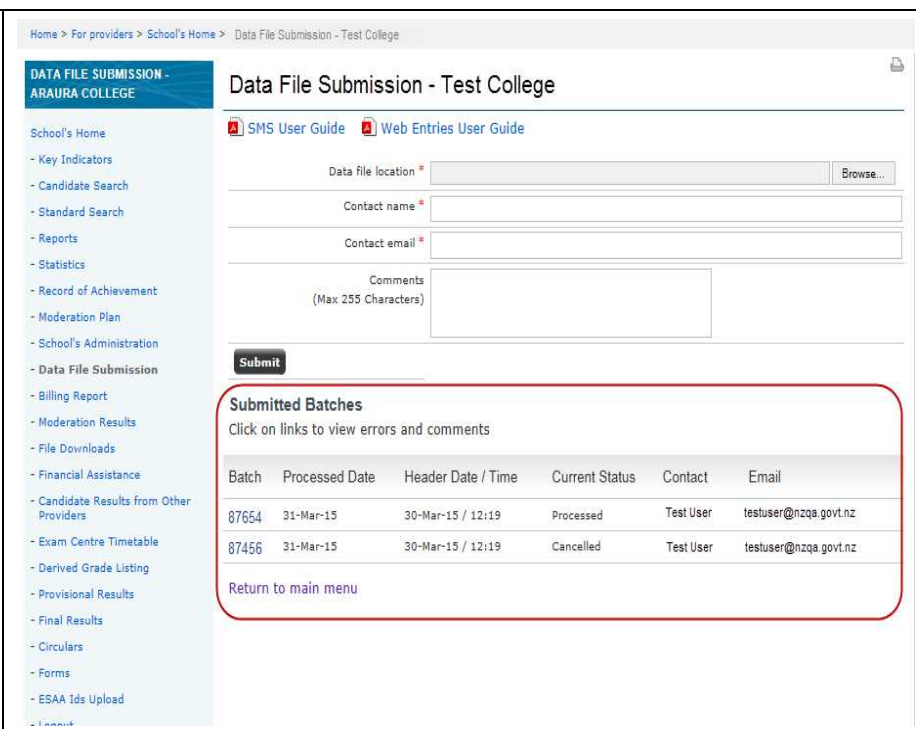
No.	Error Message	Explanation
1	Cannot determine the Provider Number from the file. Value in file is X.	Review the Provider Number in the file header and contact your SMS supplier.
2	Either the file/path is invalid, does not exist or the file is empty.	You must enter a file path and file name before clicking the Submit button. Review the file path entered or selected to ensure that it exists on your network directory.
3	File Data Extraction Date (X) has an invalid format. Expected format is yyyy-mm-dd	Review the Data Extraction Date and contact your SMS supplier.
4	File Data Extraction Date Time (X) has an invalid format. Expected format is yyyy-mm-ddThh:mm:ss.	Review the Data Extraction Date Time and contact your SMS supplier.
5	File Data Extraction Date date is missing.	Review the Data Extraction Date and contact your SMS supplier.
6	File Data Extraction Time (X) has an invalid format. Expected format is {X}.	Review the Data Extraction Time and contact your SMS supplier.
7	File Data Extraction Time is missing.	Review the Data Extraction Time and contact your SMS supplier.
8	Software Id is missing.	Review the Software Id and contact your SMS supplier.
9	The file name is invalid. It must be in the format nceannnnn.xml or nceannnnn.zip	Correct the file name and resubmit. Note: 'nnnnn' represents your school's MoE number. To make a total of 5 digits, use leading zeroes for example: <i>ncea09999.xml</i>
10	The Provider Number record of the file (X) must be the same as the submitting provider number.	Review the Provider Number in the file header and contact your SMS supplier.
11	Your data submission cannot proceed as the comments exceed the maximum allowed of 255 characters. Please amend your comments.	Review the comments and reduce to less than 255 characters.

## Step 6: Reviewing submitted files

Once a data file has been successfully submitted to NZQA, it will be assigned a unique batch number.

The file will then appear under **Submitted Batches** (found at the bottom of the Data File Submission screen as shown), with the latest submitted file appearing at the top.

*Note: You will need to refresh your screen in order to view a file that has just been submitted.*



Home > For providers > School's Home > Data File Submission - Test College

**DATA FILE SUBMISSION - ARAURA COLLEGE**

School's Home

- Key Indicators
- Candidate Search
- Standard Search
- Reports
- Statistics
- Record of Achievement
- Moderation Plan
- School's Administration
- Data File Submission
- Billing Report
- Moderation Results
- File Downloads
- Financial Assistance
- Candidate Results from Other Providers
- Exam Centre Timetable
- Derived Grade Listing
- Provisional Results
- Final Results
- Circulars
- Forms
- ESAA Ids Upload

**Data File Submission - Test College**

[SMS User Guide](#) [Web Entries User Guide](#)

Data file location \*

Contact name \*

Contact email \*

Comments (Max 255 Characters)

**Submitted Batches**  
 Click on links to view errors and comments

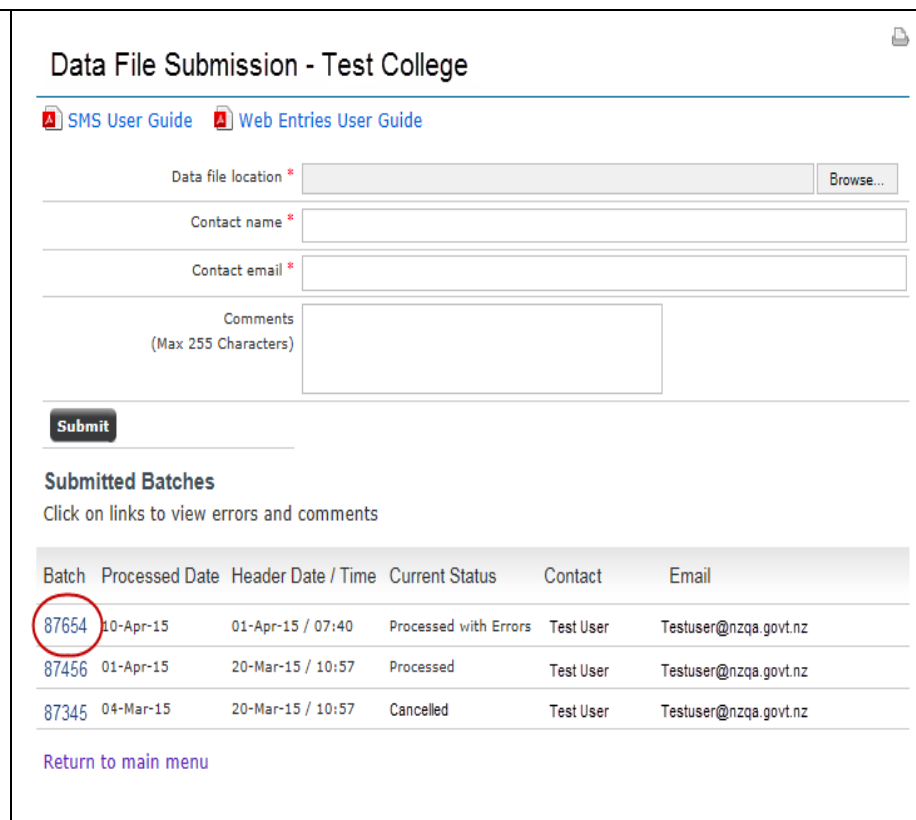
Batch	Processed Date	Header Date / Time	Current Status	Contact	Email
87654	31-Mar-15	30-Mar-15 / 12:19	Processed	Test User	testuser@nzqa.govt.nz
87456	31-Mar-15	30-Mar-15 / 12:19	Cancelled	Test User	testuser@nzqa.govt.nz

[Return to main menu](#)

## Step 7: Viewing batch details

Click on the batch number to open the batch submission data screen (as shown).

This will enable you to check for any errors or warnings.



Home > For providers > School's Home > Data File Submission - Test College

**DATA FILE SUBMISSION - ARAURA COLLEGE**

School's Home

- Key Indicators
- Candidate Search
- Standard Search
- Reports
- Statistics
- Record of Achievement
- Moderation Plan
- School's Administration
- Data File Submission
- Billing Report
- Moderation Results
- File Downloads
- Financial Assistance
- Candidate Results from Other Providers
- Exam Centre Timetable
- Derived Grade Listing
- Provisional Results
- Final Results
- Circulars
- Forms
- ESAA Ids Upload

**Data File Submission - Test College**

[SMS User Guide](#) [Web Entries User Guide](#)

Data file location \*

Contact name \*

Contact email \*

Comments (Max 255 Characters)

**Submitted Batches**  
 Click on links to view errors and comments

Batch	Processed Date	Header Date / Time	Current Status	Contact	Email
<b>87654</b>	10-Apr-15	01-Apr-15 / 07:40	Processed with Errors	Test User	Testuser@nzqa.govt.nz
87456	01-Apr-15	20-Mar-15 / 10:57	Processed	Test User	Testuser@nzqa.govt.nz
87345	04-Mar-15	20-Mar-15 / 10:57	Cancelled	Test User	Testuser@nzqa.govt.nz

[Return to main menu](#)



## Step 8: Viewing the Submission Data screen

<p>Any validation errors and/or warnings that have been identified during processing will be displayed in the Submission Data screen. These are listed under the Error/Warning Report heading (as shown).</p> <p>The count column (as shown on the far right) tells you how many records have been affected by the error or warning.</p> <p>Clicking on any of the error or warning links will provide a detailed summary of the affected records.</p> <p>Refer to step 9 to view the Error/Warning Report screen for 'Learner Count Different'.</p>	<div style="border: 1px solid black; padding: 5px;"> <h3 style="text-align: center;">Submission Data - Test College</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Batch Number:</td> <td style="text-align: center;">87654</td> <td>Processed Date:</td> <td style="text-align: center;">10-Apr-15</td> </tr> <tr> <td>File Header Date and Time:</td> <td style="text-align: center;">01-Apr-15 / 07:40</td> <td>Current Status:</td> <td style="text-align: center;">Processed with Errors</td> </tr> </table> <h4 style="margin-top: 10px;">Error/Warning Report</h4> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Error</th> <th style="text-align: right;">Count</th> </tr> </thead> <tbody> <tr> <td><a href="#">Internal Standard Has Expired</a></td> <td style="text-align: right;">2</td> </tr> <tr> <td><a href="#">New Secondary Home School for year</a></td> <td style="text-align: right;">3</td> </tr> <tr> <td><a href="#">Version Supplied Has Passed The Last Assessment Date</a></td> <td style="text-align: right;">132</td> </tr> <tr> <th style="text-align: left;">Warning</th> <th style="text-align: right;">Count</th> </tr> <tr> <td><a href="#">Learner Count Different</a></td> <td style="text-align: right;">1</td> </tr> </tbody> </table> <p><b>Comments</b>            this file contains SAC entries</p> <p><a href="#">Return to Data File Submission page</a>  <a href="#">Return to main menu</a></p> <p><b>Note:</b>  <i>An <b>Error</b> means that there is a critical data issue with a record in the file. The record(s) will not be added to, or updated in, the NZQA database. In order for this to occur, the error must be corrected.</i></p> <p><i><b>Warnings</b> are intended to alert users to minor data issues. A warning will still allow the record(s) to be added or updated in the NZQA database, but unless corrected, the warning message will persist.</i></p> </div>	Batch Number:	87654	Processed Date:	10-Apr-15	File Header Date and Time:	01-Apr-15 / 07:40	Current Status:	Processed with Errors	Error	Count	<a href="#">Internal Standard Has Expired</a>	2	<a href="#">New Secondary Home School for year</a>	3	<a href="#">Version Supplied Has Passed The Last Assessment Date</a>	132	Warning	Count	<a href="#">Learner Count Different</a>	1
Batch Number:	87654	Processed Date:	10-Apr-15																		
File Header Date and Time:	01-Apr-15 / 07:40	Current Status:	Processed with Errors																		
Error	Count																				
<a href="#">Internal Standard Has Expired</a>	2																				
<a href="#">New Secondary Home School for year</a>	3																				
<a href="#">Version Supplied Has Passed The Last Assessment Date</a>	132																				
Warning	Count																				
<a href="#">Learner Count Different</a>	1																				

## Step 9: Viewing Error/Warning Reports

<p>The Error/Warning Report details screen provides a full summary of the issue and the affected records. Where possible, the errors and warnings should be addressed before your next file submission to NZQA.</p> <p>For further details on error and warning messages and how to resolve them, refer to Appendix 1.</p>	<div style="border: 1px solid black; padding: 5px;"> <h3 style="text-align: center;">Error/Warning Report - Test College</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Batch Number:</td> <td style="text-align: center;">87654</td> <td>Create Date:</td> <td style="text-align: center;">02-Apr-15</td> </tr> <tr> <td>File Header Date and Time:</td> <td style="text-align: center;">02-Apr-15 / 13:33</td> <td>Current Status:</td> <td style="text-align: center;">Processed</td> </tr> </table> <div style="border: 2px solid red; border-radius: 15px; padding: 10px; margin-top: 10px;"> <p><b>Details</b></p> <p style="text-align: center;">Learner count is more than 20 between this batch and previously loaded batch</p> <p>Occurred at    Batch 87654</p> </div> <p><a href="#">Return to Submission Data page</a>  <a href="#">Return to Data File Submission page</a>  <a href="#">Return to main menu</a></p> </div>	Batch Number:	87654	Create Date:	02-Apr-15	File Header Date and Time:	02-Apr-15 / 13:33	Current Status:	Processed
Batch Number:	87654	Create Date:	02-Apr-15						
File Header Date and Time:	02-Apr-15 / 13:33	Current Status:	Processed						

### Need Further Help?

Contact the NZQA Secondary Data Management Team on 04 463 3000 or by emailing: [schools@nzqa.govt.nz](mailto:schools@nzqa.govt.nz).

## Appendix 1: Error and Warning Message Details

If you receive an error message that is not listed below please contact the NZQA Secondary Data Management Team by emailing: [schools@nzqa.govt.nz](mailto:schools@nzqa.govt.nz), or phone 04 463 3000.

Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
20209	Adding New External Entry	Adding a new external entry after the close off date (09 Sep 2013) Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "11259" Standard "90011" Vn "5" Class Id ""	Check NZQA has been notified that the student will be sitting the exam paper for the standard(s) advised in the error message. Exam paper may not be personalised	No
15	Address Line 1 is missing	Kruger, Freddy DOB "06/06/1997" NSN "666666663" Local Id "66666", Status = Active	Enter address details in first address field in your SMS System	Yes
16	Address Line 2 is missing	Kruger, Freddy DOB "06/06/1997" NSN "666666663" Local Id "66666", Status = Active	Enter address details in second address field in your SMS System	Yes
20017	Attempted to Update Slave Learner	Could not update the matched learner as it has been merged as the slave of another learner Kruger, Freddy, DOB "06/06/1992" NSN "666666663" Local Id "66666", Status: Active	Enter the master NSN for the student	Yes
20200	Award Date Provided Without Result	Award Date 11 Jun 2013 Provided Without Result Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "213095793" Standard "91493" Vn "1" Class Id ""	Enter a valid result code for the student(s) and standard(s) advised in error message	Yes
20202	Date Completed In Wrong Year	Invalid Date Completed - date completed (28 Jan 1951) must be within the academic year of the enrolment (2013) Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666" Standard "91266" Vn "1" Class Id "" Result "N"	Enter a result date that falls within the current academic year	Yes
20024	Date completed too early	Date completed too early: 28 Jan 1951 Kruger, Freddy DOB "06/06/1996" NSN "666666663" Local Id "66666" Standard "91266" Vn "1" Class Id "" Result "N"	Enter a result date that falls within the current academic year	Yes
20004	Date of birth too recent	Date of birth less than two years ago: 18 Nov 2013 Kruger, Freddy, DOB "18/11/2013" NSN "666666663" Local Id "66666", Status: Active	Correct the students DOB	Yes
20185	Duplicate FA Application Number	FA Application Number 0049-12-0010547 has already been used in another academic year Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666", Status: Active	Enter a unique Financial Assistance number. Suggested format yyyy-xxxx-nnnnn (where y = current academic year, x = school MoE, n = sequential number)	Yes



Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
10033	Duplicate secondary course	Duplicate secondary course "13ENG-1001"	The Course number must be unique. Delete the duplicate Course number from your school system.	Yes
10009	Duplicate standard for learner	Duplicate Entry for Standard 90641 Kruger, Freddy, DOB "06/06/1993" NSN "666666663" Local Id "66666", Status: Active	If the duplicate standard is withdrawn, delete from your system and do not send to NZQA.	Yes
85	Enrolment Date is missing	Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Enter correct enrolment date.	Yes
20	Ethnic Group 1 is missing	Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Select a valid ethnicity code from the list supplied by your School Management System. This must be numeric.	Yes
44	Ethnic Group 2 must be numeric	Ethnic Group 2 must be numeric - was <b>Itali</b> Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "66666", Status: Active	Select a valid ethnicity code from the list supplied by your School Management System. This must be numeric	Yes
45	Ethnic Group 3 must be numeric	Ethnic Group 3 must be numeric - was <b>Itali</b> Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "66666", Status: Active	Select a valid ethnicity code from the list supplied by your School Management System. This must be numeric	Yes
20203	External Entry Missing from file	External entry missing from file and it is too late to withdraw. NSN 666666663 / Standard 90916	No action required. This is just advising you that personalisation of exam papers has taken place and External Achievement standards cannot be withdrawn.	
20027	External Standard no longer assessable	Invalid version - the date entered is after the Last Assessment Date (31 Dec 2012) for this version Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "66666" Standard "90520" Vn "3" Class Id ""	Delete the standard from your SMS system and replace with the correct standard number (if required).	Yes
10029	File Has Already Been Loaded	This file appears to have already been loaded into SPER - see Batch NNNNN(76177)	No action required	
20009	Financial assistance flag different		No action required	
20128	Financial Assistance for Foreign Fee Payer	Financial Assistance data has been supplied for this foreign fee paying learner Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Remove the Financial assistance Type code from the student. International students are not eligible for financial assistance.	Yes
152	First Name is missing	Kruger, , DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	A Student's first name is required. Where a student only has one name, enter a single character into this field e.g. "C" or ".".	Yes

Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
20201	Future Date Completed	Future Date Completed: 28 Nov 2027 Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "666666" Standard "91155" Vn "1" Class Id "" Result "A"	Enter a date that is prior to the extraction date of your school file and is in the current academic year.	Yes
20105	Future Enrolment Date	Future Enrolment date: 28 Nov 2027 Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "666666" Standard "91155" Vn "1" Class Id "" Result "A"	Enter a date that is prior to the extraction date of your school file and is in the current academic year.	
20110	Future Leaving Date not in current Academic Year	Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "666666", Status: Active	Enter a valid leaving date. A future leaving date may be entered for a student as long as it falls within the current academic year.	Yes
10026	Header Date Earlier Than Previous Batch	This batch file appears to pre-date the file processed in Batch NNNNN (68754)	Check to see if you have sent the latest extracted file to NZQA	Yes
20135	Insufficient siblings for Family Financial Assistance	Number of Siblings must be at least 2 for Family Financial Assistance, was 1 Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "666666", Status: Active	Check to ensure number of siblings is two and total fee of both students is in excess of \$200.00 if F (Family) assistance type has been chosen. If not then remove Family assistance flag from student(s) record	Yes
20168	Internal Standard Has Expired	Version supplied expired on 30 Dec 2012 Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "666666" Standard "90440" Vn "2" Class Id "" Result "M"	Delete this standard from your SMS system	
20133	Invalid Answer in Maori Indicator	Answering in Maori is not available for this standard Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "666666" Standard "90588" Vn "2" Class Id ""	Remove the Answer in Maori indicator from the standard	Yes
20002	Invalid ethnic group 2	Invalid ethnic group 2: Itali Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "666666", Status: Active	Select a valid ethnicity code from the list supplied by your SMS	Yes
20003	Invalid ethnic group 3	Invalid ethnic group 3: Itali Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "666666", Status: Active	Select a valid ethnicity code from the list supplied by your SMS	Yes
20013	Invalid exam centre code	Invalid exam centre code - 498-1 Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "666666", Status: Active	Enter correct Exam Code - Applicable for Westmount School and Te Aho o Te Kura Pounamu use only	Yes

Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
20018	Invalid Leaving Code	Invalid Leaving Code: 3 Kruger, Freddy, DOB "06/06/1993" NSN "666666663" Local Id "66666", Status: Active	Select a valid leaving code from the list supplied by MoE and NZQA	Yes
20021	Invalid Other Provider	Invalid Other Provider: 362-2 Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666" Standard "91169" Vn "1" Class Id ""	Select the correct assessing provider code and location number	Yes
20023	Invalid result code	Invalid result code: NTS Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666" Standard "91476" Vn "1" Class Id "" Result "NTS"	Select correct result code from list supplied by your SMS	Yes
20126	Invalid Standard Context	The Context "(ABC)" is not valid for this standard	Contact your SMS provider to ensure the context table has been removed from the system and you cannot manually enter one.	
20026	Invalid standard version number	Invalid standard version number for standard 22607 and version 3 Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666" Standard "22607" Vn "3" Class Id "" Result "N"	Select the correct version of the Standard	Yes
20180	Invalid Student Type	Invalid Student Type: re Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666", Status: Active	Select a valid student type from the list supplied by your SMS. Student type code must be in UPPER CASE	Yes
20132	Invalid Te Reo Paper Indicator	A Te Reo Paper is not available for this standard Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "66666" Standard "91429" Vn "1" Class Id ""	Remove the Te Reo Paper indicator from the standard	Yes
20179	Invalid Year Level	Invalid Year Level: 16 Kruger, Freddy, DOB "06/06/1992" NSN "666666663" Local Id "66666", Status: Active	Select correct MoE Year Level code from list supplied by your SMS. Valid MoE Year level codes range from 1 through to 15.	Yes
20193	Learner count different	Learner count is more than 20 between this batch and previously loaded batch	Check student counts and if correct advise NZQA data person to process batch. If incorrect extract a new file and send it to NZQA. Note: No action is required if this is the first batch for the academic year.	Yes
20101	Learner Withdrawn without Leaving Code	Learner Withdrawn without Leaving Code. Please include leaving reason if student has left school. Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Withdrawn	Enter Leaving Reason code from list supplied by your SMS system	Yes

Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
20103	Learner Withdrawn without Leaving Date	Learner Withdrawn without Leaving Date. Please include leaving date if student has left school. Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Withdrawn	Enter Leaving Date	Yes
20019	Leaving Code without Date	Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Enter Leaving Date	Yes
20100	Leaving Date without Code	Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Enter Leaving Reason code from list supplied by your SMS system	Yes
20031	Live Entry for Withdrawn Learner	Found a live entry for a withdrawn learner - this entry will be withdrawn Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "66666" Standard "91426" Vn "1" Class Id ""	Withdraw all standards for the withdrawn student(s) in your SMS	Yes
20007	Missing benefit number	Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	If Financial Assistance Benefit type B chosen then Community services number required	Yes
20130	Missing Financial Assistance Application Number	The Application Number is required when supplying Financial Assistance Data Kruger, Freddy, DOB "06/06/1995" NSN "666666663" Local Id "66666", Status: Active	Enter a unique Financial Assistance number i.e. the application cannot have been used before. Suggested format xxxx-yyyy-nnnnnn school number-year-number	Yes
20129	Missing Number of Applicants	The Number of Applicants is required when supplying Financial Assistance Data Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Enter the number of family members that will be assigned the same application number for Financial Assistance Number e.g. 2 if two siblings	Yes
10040	Missing secondary course name	Missing secondary course name at line 1 Secondary Course Number "10MAA-1162" Line Number "1	Enter a secondary course name	Yes
20211	New Secondary Home School for year	Enrolment cannot be created for learner as an active enrolment already exists at school 158 Kruger, Freddy, DOB "06/06/1997" NSN "128531657" Local Id "49401914", Status: Withdrawn Kruger, Freddy Junior, DOB "06/06/1997" NSN "666666664" Local Id "66666", Status: Active	If the enrolment status of the student is 'Withdrawn' then no action is required. If status of student is 'Active' and the student is enrolled at your school, then contact the school in the error message to withdraw the student.	Yes
20182	No Iwi Supplied For Maori Learner	Iwi 1 must be supplied when the learners ethnicity is Maori Kruger, Freddy, DOB "06/06/1997" NSN "666666663" Local Id "66666", Status: Active	Select an Iwi code from the list supplied by your School Management System	
20010	NSN does not exist in NSI	NSN does not exist in NSI: 666666665 Kruger, Freddy, DOB "06/06/1999" NSN "" Local Id "66666", Status: Active	Check NSN with ENROL to see if it is valid. If not valid then get new NSN from Enrol	Yes

Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
10110	NSN not supplied for learner	NSN not supplied for learner on line 1 Kruger, Freddy, DOB "06/06/1996" NSN "" Local Id "66666", Status: Active	Check with ENROL by searching name or get new NSN from Enrol for this student.	
20044	Provider does not have consent to assess	Provider does not have consent to assess: 8406 Kruger, Freddy, DOB "06/06/1996" NSN "666666663" Local Id "66666" Standard "146" Vn "4" Class Id ""	Select correct provider code and location for the assessing provider	Yes
20148	Re-activating Withdrawn External Entry	A withdrawn external entry has been re-activated after the close off date (09 Sep 2013) Kruger, Freddy, DOB "06/06/1998" NSN "666666663" Local Id "66666" Standard "90998" Vn "1" Class Id ""	Ensure that you have followed NZQA procedures to ensure that a student is entered into this standard. This standard cannot be withdrawn once reactivated.	No
10019	Record Count Mismatch	Entry record count mismatch - expected 4126, was 4125	Extract a new file and send it to NZQA. Either the Learner count or the Entry count differs from NZQA to what was supplied in the school file.	Yes
21000	Secondary course not defined	Secondary course number "AH300" is not defined for this provider and year	Ensure that a course has been setup for the course number assigned to the standard	Yes
154	Student Type is missing	Kruger, Freddy DOB "06/06/1997" NSN "666666663" Local Id "66666", Status = Active	Select a valid student type from the list supplied by your School Management System	Yes
20034	Superceded standard version	Version 1 has been superceded - current version 2 has been used instead Kruger, Freddy, DOB "06/06/1998" NSN "666666663" Local Id "66666" Standard "91008" Vn "2" Class Id ""	Select the latest registered version of the External Achievement standard	Yes
12	Surname is missing	, Freddy DOB "06/06/1997" NSN "666666663" Local Id "66666", Status = Active	Enter the student's surname. This can be a single letter e.g. "C", "B", ".", for those students that have only one name.	Yes
40011	Value blank	Value must not be blank at line 7556, column 153, element <b>&lt;EthnicityCode&gt;</b> , NSN: 0666666663, LocalId: "66666", Surname: "Kruger", First name: "Freddy"	The error in the element in this case <b>&lt;EthnicityCode&gt;</b> cannot be blank. A valid ethnicity must be selected.	Yes
40012	Value not numeric or too long	Value must be numeric with at most 2 digits at line 1, column 4146733, element <b>&lt;NumberOfStudentsCount&gt;</b> , NSN: 666666663, LocalId: "6666", Surname: "Kruger", First name: "Freddy"	The error in the element in this case for Financial Assistance <b>&lt;NumberOfStudentsCount&gt;</b> must be numeric with at most 2 digits in length. Enter the number of siblings assigned to the FA Application number e.g. 2	Yes

Code	Error/Warning Message	Error/Warning Example	Action Required by school	Submit new file to NZQA?
40007	Value too long	Value must be at most 4 characters long at line 1, column 1172117, element <LearnerDetails><Address><PostCode>, NSN: 0666666663, LocalId: "66666", Surname: "Kruger", First name: "Freddy"	Enter maximum of 4 digits for <b>Postcode</b>	Yes
20300	Version Supplied Approaching Last Assessment Date	Version supplied has a Last Assessment Date of 31 Dec 2013 Kruger, Freddy, DOB "06/06/1995" NSN "66666663" Local Id "66666" Standard "10781" Vn "3" Class Id "" Result "A"	No action required. Just a warning advising the last accepted date for assessment of the standard version supplied in the file	No
20299	Version Supplied Has Passed The Last Assessment Date	Last Assessment Date for version supplied was 31 Dec 2012 Kruger, Freddy, DOB "06/06/1995" NSN "66666663" Local Id "66666" Standard "8768" Vn "3" Class Id "" Result "A"	Delete the standard from your SMS system	Yes
20147	Withdrawing External Entry Too Late	A withdrawn external entry has been received after the close off date (09 Sep 2013) and will be ignored - Kruger, Freddy, DOB "06/06/1996" NSN "66666663" Local Id "6666" Standard "91098" Vn "1" Class Id ""	No action required. This is just advising you that as personalisation of exam papers has taken place External Achievement standards cannot be withdrawn in the school batch file.	No



## Appendix 2: Understanding batch statuses

Batches will progress through a sequence of stages depending on the quality of the data within the file. The status is visible in the batch summary screen under the 'Current Status' heading.

An ideal batch file will avoid generating any error or warning messages and will progress directly from 'Pre-Processed' to 'Processed' with little or no further action required by the school. Realistically, because of the varied nature of the data contained within these batch files, most will require some form of attention by the school. Files containing severe issues will not be processed and will be cancelled. A NZQA staff member will make contact with you in these instances.

Below is a brief summary of each of the possible batch status your file may appear in, as well as the action that will need to be taken (if applicable):

<b>Cancelled</b>	Batches that cannot be processed by NZQA due to system problems or severe file or data issues will be cancelled. NZQA will make contact with you. <i>(Please note: If more than one file is received within a day, only one will be processed and the other/s will be cancelled)</i>
<b>Received with Errors</b>	The file has failed initial validation by NZQA batch processing systems. A NZQA staff member will manually assess the severity of the error and decide whether the file will be accepted for pre-processing or cancelled.
<b>Pre-Process First/Pre-Process Now</b>	The batch is in the queue awaiting immediate pre-processing.
<b>Pre-Processed</b>	The batch has been successfully pre-processed, with little or no issues encountered. A NZQA staff member will manually progress the batch through to the next stage, 'Ready to Process', scheduling it for overnight processing.
<b>Pre-Processed with Errors</b>	The batch has been pre-processed and contains some error and/or warning messages. NZQA staff will manually assess the severity of the error/warning messages and decide whether the file should be scheduled for overnight processing or cancelled.
<b>Pre-Processed with Partial Matches</b>	These batches contain student details that cannot be automatically matched by NZQA systems. NZQA staff will compare the details with records stored in the National Student Index (NSI) or in NZQAs database, then manually match these learners to the correct student record. On the rare occasion, where no suitable match is found, NZQA will create a new NSN for a learner. <i>Note: Batches in this status may also contain error and warning messages so a NZQA staff member will also be assessing the severity of the error/warning messages and will decide whether the file should be scheduled for overnight processing or cancelled.</i>
<b>Process First/Process Now</b>	The batch is in the queue awaiting immediate processing.
<b>Processed</b>	File processing is complete. NZQA systems have been updated with the data contained in your submitted file.
<b>Processed with Errors</b>	File processing is complete. Only data without errors have been updated in NZQA systems. Errors and warnings can be viewed in the batch summary screen and should be addressed before the next file submission (see step 8).
<b>On Hold</b>	The batch has been put into a holding state. This may be used when NZQA suspends processing due to system maintenance, or if there is a query regarding the file and NZQA is awaiting a response.