

TEC



*Guidance*

*Tools and data to  
support the UFS*

*April 2022*

# Tools and data to support the UFS

## Introduction

We are implementing an interim solution for the unified funding system (UFS) data exchange to support the UFS going live from 1 January 2023. Our interim solution aims to minimise any system impacts for our providers and student management system vendors. To achieve this, we will use existing tools and data as much we can. We are planning to deliver a longer-term solution from 2025.

## Tools and data

Learner volumes for the delivery and learner components continue to be based on equivalent full-time student (EFTS) and standard training measures (STMs), so there will be no change. The strategic component is not volume driven and no changes to tools or data are required.

From 1 January 2023, the value reported for other elements of the delivery and learner components will impact funding so it's important that reporting is complete and accurate. This relates particularly to elements that are new or changing, for example information about disabled learners.

# Delivery component

Elements	Interim solution tools and data
<b>Source of funding</b>	<ul style="list-style-type: none"><li>› A new value in the FUNDING field in the enrolment file to identify delivery component (UFS)-funded provision.</li><li>› Funding source 11 in the FUNDING field in the enrolment file will continue to identify all provider-based (off job) training associated with work-based training arrangements. This code MUST be used to report all provider-based aspects of work-based arrangements that are also reported via the Industry Training Register (ITR).</li></ul>
<b>Subject</b>	<ul style="list-style-type: none"><li>› Within the Single Data Return (SDR), no change. Will use existing course classification and funding rates which will be mapped to the UFS funding categories. For example, course classification #3, funding rate A1 will be mapped to UFS rate F1. See <i>Infosheet on UFS funding categories for subject areas</i> for further information.</li><li>› Subject-based rates (based on the SDR Course Classification Guide) introduced for ITR, and the ITR Mix of Provision (MoP) will be modified to include the subject-based delivery component funding category.</li><li>› For ITR programmes, TEC will assign the course classification and funding rate to each programme.</li></ul>
<b>Mode of delivery</b>	<ul style="list-style-type: none"><li>› No changes to SDR. TEC will infer mode of delivery based on data reported via the FUNDING and ATTEND fields in the enrolment file.</li><li>› Some changes to MoPs to incorporate modes of delivery and some additional manual reporting.</li><li>› No change to ITR. TEC will use additional manual reporting and business logic to infer mode of delivery.</li></ul>

# Learner component

Elements	Interim solution tools and data
<b>Low prior achievement</b>	<ul style="list-style-type: none"><li>› No additional data required. This is derived from data already available to the TEC.</li><li>› Defined as: a learner who has not previously achieved a qualification on the NZQF at level 3 or above as at the date of enrolment.</li></ul>
<b>Disabled learners</b>	<p>Will use “Y” returns in the following data fields:</p> <ul style="list-style-type: none"><li>› SDR Student File [STUD] both or either of:<ul style="list-style-type: none"><li>— Field 1.15 – DISABILITY (Disability Indicator)</li><li>— Field 1.9 – DIS_ACCESS (Disability Services Accessed Indicator)</li></ul></li><li>› ITR learner information table:<ul style="list-style-type: none"><li>— “Is Disabled Ind”</li></ul></li></ul>
<b>Māori learners</b>	No change, will continue to use ethnicity as currently reported
<b>Pacific learners</b>	No change, will continue to use ethnicity as currently reported

# Volume commitments for 2023 (Mix of Provision)

Over the last 18 months, we have worked with providers who have work-based training arrangements to determine the modes of delivery relevant to the 2021 provision. We have collated this data and will provide you with the mode of delivery data you need to complete your Mix of Provision (MoP) as part of this year's annual planning round.

For providers that do not have work-based training, you will only need to allocate your provision to either provider-based, or provider-based: extramural modes.

Tertiary Educations Organisations (TEOs) receiving a delivery component funding allocation for 2023 will need to complete the MoPs relevant to that delivery. The following table shows which MoPs you will need to complete.

## Delivery component

Modes of delivery that you deliver under	MoP templates you will need to complete
<b>Provider-based and provider-based: extramural modes only</b>	<ul style="list-style-type: none"><li>Private Training Establishments (PTE) delivery component MoP template or</li><li>Tertiary Education Institutions (TEI) delivery component MoP template</li></ul> <p>(Note, TEIs will still need to complete the current NZQF MoP covering all delivery from level 3 to level 10)</p>
<b>Work-based, work-based: pathway to work, and assessment and verification modes only</b>	<ul style="list-style-type: none"><li>Industry Training Register (ITR) MoP template</li></ul> <p>(Note, we are not expecting any commitments relating to work-based: pathway to work mode in 2023)</p>
<b>Both work-based AND provider-based modes of delivery, e.g., provider-based, provider-based: extramural and work-based modes of delivery (including assessment and verification)</b>	<ul style="list-style-type: none"><li>PTE delivery component MoP template or</li><li>TEI delivery component MoP template AND</li><li>ITR MoP template.</li></ul>

Delivery commitments relating to Student Achievement Component (SAC) for degree and above provision (SAC7D+) will need to be provided in separate templates which will be the same format as the SAC3+ templates used in previous years. Example MoPs are on pages 12 and 13.

# Reporting actuals in 2023

## Industry Training Register (ITR)

There will be no changes to the ITR.

From January 2023, TEOs that deliver under the work-based and assessment and verification modes of delivery will need to either start or continue reporting this type of delivery through the ITR. TEOs that deliver provider-based training will continue (or start) reporting this type of delivery through the SDR.

For arrangements that are within the assessment and verification mode, we have identified two potential options for this delivery. We will consult with TEOs currently identified as utilising this mode to establish the best solution.

Additional and/or improved reporting is required to identify:

- › provider-based elements of work-based arrangements (such as off-job training); and
- › learners who move into work-based training under the pathway to work mode.

## Single Data Return (SDR)

Changes are required for the SDR, and to the way some provision is reported:

- › Use the new source of funding code 37 in the FUNDING field in the enrolment file for provider-based modes of delivery
- › Use the existing codes in the ATTEND field to distinguish between provider-based and provider-based: extramural
- › Use the existing source of funding code 11 (currently called “ITO off-job training”) in the FUNDING field in the enrolment file to capture provider-based aspects of work-based arrangements that are also reported through the ITR. This code MUST be used to report all provider-based delivery that is part of otherwise work-based arrangements, e.g., night courses or block courses – refer to further details regarding mixed-mode delivery on page 7 in scenario 3.

## Additional reporting

Additional reporting is required to supplement SDR and ITR data. New templates will be available on Workspace 2 to identify:

- › work-based training arrangements that include provider-based study (mixed-mode)
- › learners who come under the work-based: pathway to work mode.

Examples of these templates will be provided soon.

## Scenarios

### ***Scenario 1 – Provider-based and/or provider-based: extramural only.***

Delivery will be reported in the SDR only. The use of the ATTEND code will determine which of these two modes applies.

### ***Scenario 2 – Work-based only.***

Delivery will be reported in the ITR only. TEC will apply subject-based funding rates per programme.

### ***Scenario 3 – Mixed mode: When a learner is doing work-based learning with some provider-based or provider-based extramural, e.g. block courses, night classes and/or “gap filling”.***

Delivery needs to be reported in three places – ITR, SDR and a new reporting template in WS2 (working title “Delivery component – mixed mode delivery”).

- › Set up the required qualifications relating to programmes reported through the ITR in the Services for Tertiary Educations Organisations website (STEO).
  - If the relevant qualification already exists in STEO then a new qualification is not required.
  - If the qualification does not currently exist in STEO, follow existing process to set up qualifications relating to programmes reported through the ITR in STEO (in order for TEC to link data in ITR and SDR and correctly calculate the relevant volume of delivery).
- › Continue to report delivery in ITR – no change.
- › SDR: use code 11 (currently “ITO off-job training”) in the existing ‘FUNDING’ field in the enrolment file. This identifies UFS as the source of funding for this provision.
  - From **1 January 2023**, providers who currently use code 11 with generic qualifications (such as “Contracted courses” or “ITO courses”) will need to report all such provision separately under their specific qualifications. From 1 January 2023, this data will be used for funding purposes and TEC will monitor it.
  - The use of the ATTEND code will determine whether provider-based, or provider-based: extramural mode applies.
- › Complete and submit a new template in WS2 (Delivery component – mixed mode delivery) as part of regular reporting. This allows TEC to match SDR and ITR enrolment records so that the correct mode of delivery can be assigned, and consequently the volume and value of delivery can be calculated.

### ***Scenario 4 – Work-based: pathway to work: When the learner commences in provider-based mode, and the TEO pathways the learner into work with a work-based training arrangement and provides additional support to the learner. This support will enable them to embed their learning within their new work environment.***

The learner will have been originally reported in the SDR under the new delivery component (UFS) source of funding code 37. The provider will now also report them in ITR and complete a new form “work-based: pathway to work” via WS2. The new form enables TEC to match SDR and ITR enrolment records, assign the correct mode of delivery and calculate the correct dollars delivered.

### ***Scenario 5 – Assessment and verification: When the arrangement with the employer falls under the assessment and verification mode.***

We have identified two potential options for this delivery. We will be contacting the TEOs identified as utilising this mode to establish the best solution.

# Questions and Answers

Question	Answer
<b>2023 Funding Documents (Commitments)</b>	
<b>What funding documents are changing for UFS funding in 2023?</b>	<p>The only changes are to the Mixes of Provisions (MoPs).</p> <p>There are no changes to the other funding documents including no changes to Educational Performance Indicator commitments (EPICs) for 2023.</p>
<b>What Mix of Provisions (MoPs) do I need to submit for UFS funding in 2023?</b>	<p>You will have to submit a different Delivery Component MoP depending on the type of TEO you are and the mode(s) of delivery you use.</p>
<b>If you are a PTE and only use provider based and/or provider based extramural modes of delivery?</b>	<p>You need to submit the new PTE Delivery Component MoP template for L3-7 training. It includes new fields to capture mode of delivery. You can find an example of the new MoP on page 12.</p>
<b>If you are a Tertiary Education Institution (TEI) and only use provider based and/or provider based extramural modes of delivery?</b>	<p>You need to submit the new TEI Delivery Component MoP template for L3-7 (non-degree) delivery. It includes new fields to capture mode of delivery. You can find an example of the new MoP on page 13.</p>
<b>If you only use work-based, work-based: pathway to work, and assessment and verification modes?</b>	<p>You need to submit the new industry training register (ITR) Delivery Component MoP template. It includes new fields to capture mode of delivery and subject-based delivery component funding category.</p> <p>You can find an example of the new MoP on page 13.</p>
<b>If you use both work-based AND provider-based modes of delivery?</b>	<p>You need to submit the PTE Delivery Component MoP template <b>or</b> the TEI Delivery Component MoP template <b>AND</b> the ITR MoP template.</p>

Question	Answer
<p><b>Do I use the new UFS MoP to report both UFS delivery component and L7 (degree) and above commitments?</b></p>	<p>No.</p> <p>Only use the new UFS Delivery Component MoP to return commitments for delivery at level 3 to 7 (non-degree).</p> <p>Continue to use the SAC7D+ MoP (which remains the same as the current SAC3+ MoP) to return commitment for L7 (degree) and above</p> <p>TEOs who deliver under UFS Delivery Component and L7 (degree) and above will complete 2 MoPs.</p>
<p><b>Why was a separate MoP created for UFS delivery component?</b></p>	<p>We currently have separate MoPs for each of our funds, so separate Delivery Component MoPs for UFS is consistent with our existing approach for data exchange.</p> <p>The interim approach has been designed to minimise system change as much as possible for TEOs and student management system vendors.</p>
<p><b>Reporting actuals in 2023</b></p>	
<p><b>Who submits learner data through ITR, SDR or additional reporting?</b></p>	<p>The Lead TEO – this is the TEO that holds the enrolment (learner) and is funded for all aspects of the learning.</p> <p>The Lead TEO may subcontract learning to other providers.</p> <p>Subcontractors should not report delivery.</p> <p>Reporting provider-based aspects of work-based training arrangements must be reported by the Lead TEO through the SDR under source of funding 11.</p> <p>Additional data will be submitted by the Lead TEO via Workspace2 (WS2). Examples of these templates will be provided soon.</p>
<p><b>How do I use the Source of Funding field in the SDR?</b></p>	<ul style="list-style-type: none"> <li>› Use source of funding code 01 for SAC L7 &amp; above.</li> <li>› Use source of funding code 37 for UFS learning that only uses provider-based &amp; provider-based: extramural modes of delivery.</li> <li>› Use source of funding code 11 for UFS learning for the provider-based elements of otherwise work-based delivery.</li> </ul>
<p><b>What is funding source code 11 and why is it important?</b></p>	<p>Funding code 11 (SOF11) captures the provider-based component of work-based delivery, for example block courses or night classes.</p> <p>Providers will have to submit SOF11 data against the relevant, approved qualification that has been entered in Services for Tertiary Education Organisations (STEO). Generic qualifications, such as “Off-job training” must not be used.</p>

Question	Answer
<p><b>If a learner is engaged in 'off job' learning at the end of the month, do I report them as active in the ITR?</b></p>	<p>Yes</p> <p>Learners remain active in the ITR regardless of the learning setting, providing they are actively learning.</p>
<p><b>How do I report managed apprenticeships now?</b></p>	<p>We are working through options for reporting managed apprenticeships and will engage with TEOs in due course.</p>
<p><b>When are the additional reports and why do I need to submit them?</b></p>	<p>There will be at least two WS2 reporting templates. We anticipate that they will be submitted at the same time as SDR submissions. The templates are:</p> <ul style="list-style-type: none"> <li>› Work-based – mixed mode delivery</li> <li>› Work-based: pathway to work</li> </ul> <p>We use the additional reporting to match data across the SDR and ITR datasets.</p> <p>Examples of these templates will be provided soon.</p> <p>A further template may be required for the Assessment and Verification mode.</p>
<p><b>How do I use the ATTEND field in the SDR?</b></p>	<p>Use the ATTEND field in SDR to identify provider-based or provider-based extramural modes of delivery. Updated guidance for the use of this field will be provided.</p>
<p><b>Is ITR being shut down?</b></p>	<p>No. The ITR continues to be required for the interim solution. There are no changes to ITR proposed.</p>



# Mix of Provision template examples

Three new mix of provision (MoP) templates have been created to capture information required for UFS.

The Private Training Establishment (PTE) delivery component MoP template and the Tertiary Education Institution (TEI) delivery component MoP template both have a column to capture mode of delivery, and the TEI MoP will also display the delivery component funding category identifier.

The Industry Training Register (ITR) MoP template now has columns to capture both the subject-based delivery component funding category identifier and mode of delivery.

Below are examples of each of the new MoPs that show the new columns and examples of the new data.

## Example 1: Private Training Establishments (PTE) delivery component MoP template

Qualification Code	Qualification Name	NZQF Qualification Level	TLA	Region	Mode of delivery	2023 EFTS (funded only)	2023 EFTS (unfunded only)	2023 Total EFTS (funded and unfunded)	\$ per EFTS for the Qualification (GST Exclusive)	Allocation (GST Exclusive)	Indicative 2024 EFTS (funded only)	Indicative 2024 EFTS (unfunded only)	Indicative 2024 Total EFTS (funded and unfunded)	Indicative 2024 value of planned delivery	Comments
Dropdown List	Calculated	Calculated	Dropdown List	Calculated/ Dropdown	Dropdown List	User Entered	User Entered	Calculated	Calculated/ User Entered	Calculated	User Entered				User Entered
NZ1842	New Zealand Certificate in Baking (Generalist) (Level 4)	L04	Auckland City	Auckland Region	Provider-based	5.0000		5.0000		\$0.00			0.0000	\$0.00	
NZ1842	New Zealand Certificate in Baking (Generalist) (Level 4)	L04	Extramural	Extramural	Provider-based: extramural	20.0000		20.0000		\$0.00			0.0000	\$0.00	
NZ2470	New Zealand Certificate in Health and Wellbeing (Level 3)	L03	North Shore City	Auckland Region	Provider-based	10.0000		10.0000	The MoP will pre-populate with the TEC's calculated rate per EFTS	\$0.00			0.0000	\$0.00	
NZ2104	New Zealand Certificate in Food and Beverage Service (Level 3)	L03	Extramural	Extramural	Provider-based: extramural	4.0000		4.0000		\$0.00			0.0000	\$0.00	
NZ2104	New Zealand Certificate in Food and Beverage Service (Level 3)	L03	Mackenzie District	Canterbury Region	Provider-based	2.0000		2.0000		\$0.00			0.0000	\$0.00	

**Example 2: Tertiary Education Institutions (TEI) delivery component MoP template**

Course Classification Name	Funding Category	Course Classification Code	Mode of delivery	Delivery Component Funding Category	2023 Plan EFTS	2023 Value of Funded Delivery	2023 Unfunded EFTS	2023 Value of Unfunded Delivery	2023 Total EFTS	2023 Total Value of Delivery	2024 Plan EFTS	2024 Value of Funded Delivery	2024 Unfunded EFTS	2024 Value of Unfunded Delivery	2024 Total EFTS	2024 Total Value of Delivery
Arts; Advanced Studies for Teachers; Health Therapies; Humanities; Languages; Social Sciences	A1	3	Provider-based	F1	20.0000	TBC	5.0000	TBC	25.0000	TBC		\$0.00		\$0.00		\$0.00
Business; Accountancy; Office Systems/ Secretarial; Management	J1	4	Provider-based: extramural	F1	5.0000	TBC		TBC	5.0000	TBC		\$0.00		\$0.00		\$0.00
Trades 2: All Trade Courses other than for Trainees under Part III of the Industry Training Act 1992 and Agricultural, Horticultural, Forestry, and Primary Industry Cadets	P1	22	Provider-based	F2	10.0000	TBC		TBC	10.0000	TBC		\$0.00		\$0.00		\$0.00
Engineering; Technology	C1	11	Provider-based	F3	20.0000	TBC	4.0000	TBC	24.0000	TBC		\$0.00		\$0.00		\$0.00
Engineering; Technology	C1	11	Provider-based: extramural	F3	5.0000	TBC		TBC	5.0000	TBC		\$0.00		\$0.00		\$0.00

**Example 3: Industry Training Register (ITR) MoP template**

Study Type	Delivery Component Funding Category	Mode of Delivery	2023 Trainee Numbers	2023 Planned STMs	2023 Value of Delivery	2024 Trainee Numbers	2024 Planned STMs	2024 Value of Delivery	Comments
Drop down	Drop down	Drop down	Whole Number	Decimal	Decimal	Whole Number	Decimal	Decimal	Text
IT1-3	F1	Work-based	100	40.00	TBC			\$0.00	
IT1-3	F4	Work-based	20	10.00	TBC			\$0.00	
IT1-3	F4	Assessment and verification	10	4.00	TBC			\$0.00	
IT4+	F2	Work-based	50	20.00	TBC			\$0.00	
NZA	F1	Work-based	60	15.00	TBC			\$0.00	
NZA	F2	Work-based	200	100.00	TBC			\$0.00	