

Variation of Information Matching Agreement

Between

**Ministry of Social Development / Te Manatū Whakahiato Ora
(MSD)**

and

Ministry of Education / Te Tāhuhu o te Mātauranga (MoE)

(the Parties)

BACKGROUND

- A. The Parties entered into an Information Matching Agreement 2011 (**IMA**), to enable MoE to share information with MSD for the purposes of administering student allowances and student loans.
- B. More specifically, given that the requirements for student loans and allowances require students to have passed a certain amount of the study they enrolled in to be eligible, MSD sought to independently verify that students have met those requirements by obtaining the results of students' study from MoE, in accordance with the IMA.
- C. At the time that the IMA was entered into, MoE held that information as part of the single data returns that tertiary education organisations were required to provide to MoE. However, earlier in 2022, the systems were changed so that the Tertiary Education Commission (**TEC**) now receives single data return information, and therefore holds students' result of study information.
- D. The TEC is not authorised, under the Education and Training Act 2020 or the Privacy Act 2020, to share that information with MSD directly. Accordingly, consistent with MoE's obligations under the IMA, it is proposed that TEC will provide the information to MSD as an agent of MoE.
- E. The Parties wish to amend the IMA to ensure that the IMA allows for TEC to be appointed an as agent of MoE.
- F. With effect on and from the date of signing of this Agreement (**Effective Date**), the Parties wish to amend the IMA on the terms and conditions of this variation agreement (**Variation**). All other terms of the IMA continue in full force and effect except as amended in this Variation.

VARIATION

1. Paragraph F in the Background is amended by replacing "*sections 307D in the Education Act 1989*" with "*clause 7 of Schedule 9 of the Education and Training Act 2020 (formerly section 307D of the Education Act 1989)*".
2. Paragraphs G-H in the Background are amended by replacing the paragraphs with the following:

MSD and MOE agreed that the best way for the matching to occur was as an authorised information matching programme under Part 10 of the Privacy Act 1993 (continued under Part 7 of the Privacy Act 2020), which will include annual reporting to the Privacy Commissioner on the operation and results of this activity.

For that purpose, MSD and MOE entered into this Information Matching Agreement, the provisions of which reflect the requirements as at the time the Information Matching Agreement was entered into (i.e., under section 99 of the Privacy Act 1993 and the information matching rules set out in Schedule 4 of that Act).
3. Clause 1.1 is amended in accordance with the table attached as Appendix 1.

4. Clause 4.4 is amended by replacing "*section 307D of the Act*" in each place with "*clause 7 of Schedule 9 of the Act*".
5. Clause 5.2 is amended by replacing "*section 103 of the Privacy Act 1993*" with "*section 181 of the Privacy Act 2020*".
6. Clause 6.1 is deleted.
7. Clause 8.4 is amended by replacing "*Rule 4(6) of Schedule 4 to the Privacy Act 1993*" with "*Rule 3(4) of Schedule 6 of the Privacy Act 2020*".
8. Clause 8.5 is amended by replacing "*section 99, and Rule 4(5) of Schedule 4, of the Privacy Act 1993*" with "*section 178, and Rule 3(5) of Schedule 6 of the Privacy Act 2020*".
9. Clause 10.2 is amended by replacing "*Rule 6 of the information matching rules outlined in Schedule 4 of the Privacy Act 1993*" with "*Rule 5 of the information matching rules outlined in Schedule 6 of the Privacy Act 2020*".
10. Clause 12.1 is amended by replacing:
 - (a) "*Privacy Act 1993*" with "*Privacy Act 2020*"; and
 - (b) "*Education Act 1989*" with "*Education and Training Act 2020*".
11. Clause 13.2 is amended by, after the word "*employees*", inserting "*, contractors or agents*".
12. Clause 17.1 is amended by replacing clause 17.1.3 with "*by email to the address specified by the Party receiving the communication*".
13. Clause 17.2 is amended by replacing clause 17.2.3 with "*if sent by email, at the time the email enters the recipient's information system as evidenced by a delivery receipt requested by the sender and it is not returned undelivered or as an error*".
14. Clause 17.3 is amended by replacing the words "*by hand or transmission by facsimile*" with "*by hand or email*".
15. Clause 17.4 is amended by deleting "*Facsimile No: (04) 918-0061*" and "*Facsimile No: (04) 463 2868*".
16. Clause 18.1 is amended by replacing "*Neither party shall assign, transfer, subcontract or otherwise dispose...*" with "*Neither party shall assign, transfer or otherwise dispose...*".
17. The Technical Standards Report is replaced with the Technical Standards Report attached in Appendix 2 of this Variation. Appendix 2 forms the Variation Report required by clause 3(4) of Schedule 3 of the Privacy Act 2020, and a copy must be appended to the old Technical Standards Report.

SIGNATORIES

1. This Variation may be executed in any number of counterparts (including any scanned PDF counterpart), each of which shall be deemed to be an original, but all of which

together will constitute the same instrument. No counterpart will be effective until each party has executed at least one counterpart.

Signed for and on behalf of
**Ministry of Social
Development / Te
Manatū Whakahiato Ora**

Signature:



Name: George Van Ooyen

Position: **Group General Manager Client Service Support**

Date: 8 June 2023

Signed for and on behalf of
**Ministry of Education /
Te Tāhuhu o te
Mātauranga**

Signature:



Name: Katrina Sutich

Position: **General Manager Tertiary**

Date: 25 May 2023

Appendix 1 – amendments to definitions

Defined term	Amended definition
Act	means the Education and Training Act 2020
Adverse Action	has the same meaning as in section 177 of the Privacy Act 2020
Authorised Information Matching Programme	has the same meaning as in section 177 of the Privacy Act 2020
Personal Information	means information about an identifiable individual as defined in section 7 of the Privacy Act 2020
Privacy Commissioner	means the Privacy Commissioner appointed under section 13 of the Privacy Act 2020
Student Allowance or Allowance	means an allowance payable under the Student Allowances Regulations 1998. For the purpose of this Agreement it also includes a scholarship gazetted under section 307AB or section 307AC of the Education Act 1989, or under clause 10 or 11 of Schedule 9 of the Education and Training Act 2020.
Unique Identifier	has the same meaning as in section 7 of the Privacy Act 2020
Working Day	has the same meaning as in section 7 of the Privacy Act 2020

Appendix 2 - Technical Standards Report

1 Key Terms and their Definitions

- 1.1 In addition to terms defined in this Agreement, in this Technical Standards Report:

“Match” means that a student’s individual student allowance and/or student loan information held by MSD corresponds with information supplied by MoE about that same person; and

“Matches”, “Matching” and **“Matched”** have corresponding meanings.

2 Integrity, Relevance, Timeliness and Completeness of Information

2.1 Integrity of Results of Study Information

2.1.1 RoS information will be drawn from the electronic single data return (SDR) information that education providers are required to submit to MOE three times a year.

2.1.2 The SDR provides information on completion rates and outcome, including whether the student has passed, failed or is still to complete specific papers in which they have been enrolled.

2.2 Relevance of Results of Study Information

2.2.1 A student’s continuing entitlement to student allowance is (with some exemptions) dependent on their passing the equivalent of more than half of a full-time course in the previous period of study for which they received an allowance.

2.2.2 A student’s continuing access to student loan is (with some exemptions) dependent on their passing at least half of their tertiary study in the previous 5 years.

2.2.3 The RoS information is relevant to the determination of a student’s entitlement to student allowances and student loans.

2.3 Timeliness of Results of Study Information

2.3.1 Education Providers are required to submit an SDR three times a year – as at 31 December (due 01 – 31 January), as at 31 March (due 16 – 29 April) and as at 31 July (due 8 – 21 August). A student’s completion status must be included in an organisation’s SDR for the duration of the calendar year that the enrolment event applies and can only be removed when a ‘final completion indicator’ – pass/fail has been awarded and subsequently reported. MoE will notify MSD of any variations, in respect of any Education Provider, to this schedule.

2.3.2 The RoS information for an individual student will be requested when they apply for any subsequent student allowance or student loan.

2.4 Completeness of Results of Study Information

2.4.1 The Tertiary Education Commission utilises SDR information to determine continuing funding for education providers. Therefore, it is in the education providers’ best interests to ensure that their SDR’s are reported correctly and in a timely manner.

3 The Extract of RoS Information

- 3.1 The file will be exchanged via FTPS. MoE will be able to pull and push request and response files to a secure location. PGP keys with a password are used to encrypt files

and access the folder. SSH private key and password is used for authorisation. MoE's IP is whitelisted to enable firewall access.

- 3.2 The file exchange will occur daily Monday through Saturday, including holidays. If there are no requests or responses then the respective files will contain no requests or responses. This will allow for automated checking of file delivery as there will be a scheduled delivery on these days. If a file is not delivered then a fault has occurred which will need to be investigated.
- 3.3 MSD will deliver the Request file to the FTPS folder by 2200 hours. MoE will deliver the corresponding response to the FTPS folder by 0500 hours the following day.
- 3.4 If error has taken place during the automatic process, MoE will provide analysis by 1000 hours the following business day, with the expected resolution time.
- 3.5 In accordance with clause 3 of the Agreement, MSD will request MoE to supply RoS Information when a student applies for a subsequent Student Allowance or Student Loan.
- 3.6 The RoS Information supplied to MSD will be based on information that is given to MoE by education providers in the Single Data Return. Each record will include the study results (passed, failed, underway, withdrawn, future missing) for individual papers for all matched students.
- 3.7 MSD will ensure their Firewall is available (open) 22 of 24 hours (being 0700 – 0500 hours) to allow for return of result file.
- 3.8 MoE operational support hours are from 9:00am until 5:00pm Monday to Friday with the exception of statutory holidays and subject to 3.9 (below). MSD acknowledges that MoE support outside of these hours is best endeavours only.
- 3.9 MoE is closed from Christmas until after New Year – MSD acknowledges that MoE support during this time is best endeavours only.
- 3.10 Any websites that MSD use to confirm course related information are not covered by this agreement.

4 Format of Information

- 4.1 Unless otherwise agreed between the Parties, the information supplied by MoE shall be in the following xml format:

4.2 RoS Request DTD

The RoS request DTD is detailed below:

```
<!-- PROVIDER -->
```

```
<!ELEMENT PROVIDER (
```

```
    PROVIDER.CODE,
```

```
    PROVIDER.STUDENT_ID?,
```

```
    PROVIDER.NAME_IDENTIFIER*)>
```

```
<!ELEMENT PROVIDER.CODE
```

```
(#PCDATA)>
```

```

<!ELEMENT PROVIDER.STUDENT_ID                (#PCDATA)>
<!ELEMENT PROVIDER.NAME_IDENTIFIER           (#PCDATA)>
<!-- ROS_REQUEST -->
<!ELEMENT ROS_REQUEST (
    ROS_REQUEST.ROS_ID,
    ROS_REQUEST.NAME_IDENTIFIER+,
    ROS_REQUEST.DATE_OF_BIRTH,
    ROS_REQUEST.NSN?,
    ROS_REQUEST.IRD_NUMBER?,
    ROS_REQUEST.STUDY_START_DATE,
    ROS_REQUEST.STUDY_END_DATE,
    PROVIDER+)>
<!ELEMENT ROS_REQUEST.ROS_ID                (#PCDATA)>
<!ELEMENT ROS_REQUEST.NAME_IDENTIFIER        (#PCDATA)>
<!ELEMENT ROS_REQUEST.DATE_OF_BIRTH         (#PCDATA)>
<!ELEMENT ROS_REQUEST.NSN                   (#PCDATA)>
<!ELEMENT ROS_REQUEST.IRD_NUMBER            (#PCDATA)>
<!ELEMENT ROS_REQUEST.STUDY_START_DATE      (#PCDATA)>
<!ELEMENT ROS_REQUEST.STUDY_END_DATE        (#PCDATA)>
<!-- ROOT ELEMENT - ROS_REQUEST_FILE -->
<!ELEMENT ROS_REQUEST_FILE (ROS_REQUEST*)>

```


4.3 RoS Request DTD Element Definitions

<p><i>ROS_REQUEST_FILE</i></p>	<p>This is the root element. If there are no RoS requests for the date given, then the Request file will contain only this element. E.G.:</p> <pre><?xml version="1.0" encoding="UTF-8"?> <!DOCTYPE ROS_REQUEST_FILE SYSTEM ROS_REQUEST.DTD"> <ROS_REQUEST_FILE> </ROS_REQUEST_FILE></pre>
<p><i>ROS_REQUEST</i></p>	<p><i>Each ROS_REQUEST contains a single request for results of study for a single student.</i></p> <p><i>There will not be multiple requests for a given student in the same file, but there may be multiple requests for a given student over multiple files.</i></p>
<p><i>ROS_REQUEST</i> <i>ROS_ID</i></p>	<p><i>This is the unique identifier for the RoS Request. This will link a request to the response.</i></p> <p><i>Numeric, 9 digits.</i></p>
<p><i>ROS_REQUEST</i> <i>NAME_IDENTIFIER</i></p>	<p><i>This is the name identifier of the student. There may be multiple occurrences of this element if the student has aliases.</i></p> <p><i>Alpha, 5 characters, first four the characters of surname plus first character of the first name.</i></p>
<p><i>ROS_REQUEST</i> <i>DATE_OF_BIRTH</i></p>	<p><i>The Date of Birth of the student.</i></p> <p><i>Alpha, 10 characters, format YYYY-MM-DD.</i></p>
<p><i>ROS_REQUEST</i> <i>NSN</i></p>	<p><i>The National Student Number. Initially this will be blank.</i></p> <p><i>Numeric, 10 digits.</i></p>
<p><i>ROS_REQUEST</i> <i>IRD_NUMBER</i></p>	<p><i>The IRD number of the student.</i></p> <p><i>Numeric, 8 digits.</i></p>
<p><i>ROS_REQUEST</i> <i>STUDY_START_DATE</i> <i>STUDY_END_DATE</i></p>	<p><i>The start and end of study dates. The RoS request is for all study that overlaps this date range. That is, starts or ends within these dates, or starts before the start date and ends after the start date</i></p> <p><i>Alpha, 10 characters, format YYYY-MM-DD.</i></p>
<p><i>PROVIDER</i></p>	<p><i>Details the provider that the student studied at. All providers that MSD knows the student studied at during the study dates will be listed. The provider data is provided to assist with identification of the student. The RoS response should not be limited to the institutions that are included in the request.</i></p>

<i>PROVIDER CODE</i>	<i>The MoE assigned provider number. Alpha, 10 characters.</i>
<i>PROVIDER STUDENT_ID</i>	<i>The student ID that the student uses at this provider. Alpha, 10 characters.</i>
<i>PROVIDER NAME_IDENTIFIER</i>	<i>Any known aliases used by the student at this provider. There may be multiple name identifiers for a given provider. Duplicates with the RoS_REQUEST.NAME_IDENTIFIER will not be included. Alpha, 5 characters, first four characters of surname plus first character of the first name.</i>

4.4 RoS Response DTD

The RoS response DTD is detailed below:

```

<!-- COURSE -->

<!ELEMENT COURSE (COURSE.CODE,
                  COURSE.START_DATE,
                  COURSE.END_DATE,
                  COURSE.EFTS,
                  COURSE.WITHDRAWL_DATE?,
                  COURSE.COMPLETION_CODE)>

<!ELEMENT COURSE.CODE                (#PCDATA)>
<!ELEMENT COURSE.START_DATE          (#PCDATA)>
<!ELEMENT COURSE.END_DATE            (#PCDATA)>
<!ELEMENT COURSE.EFTS                (#PCDATA)>
<!ELEMENT COURSE.WITHDRAWL_DATE      (#PCDATA)>
<!ELEMENT COURSE.COMPLETION_CODE     (#PCDATA)>

<!-- PROVIDER -->

<!ELEMENT PROVIDER (PROVIDER.CODE,
                   PROVIDER.MATCHED_STUDENT_ID?,

```

```

        PROVIDER.MATCHED_NAME_IDENTIFIER*,
        COURSE*)>

<!ELEMENT PROVIDER.CODE                (#PCDATA)>
<!ELEMENT PROVIDER.MATCHED_STUDENT_ID  (#PCDATA)>
<!ELEMENT PROVIDER.MATCHED_NAME_IDENTIFER  (#PCDATA)>
<!-- ROS_RESPONSE -->
<!ELEMENT ROS_RESPONSE (ROS_RESPONSE.ROS_ID,
                        ROS_RESPONSE.MATCHED_NAME_IDENTIFER*,
                        ROS_RESPONSE.MATCHED_DATE_OF_BIRTH?,
                        ROS_RESPONSE.MATCHED_NSN?,
                        ROS_RESPONSE.MATCHED_IRD_NUMBER?,
                        PROVIDER*,
                        ROS_RESPONSE.STATUS,
                        ROS_RESPONSE.STUDY_START_DATE?,
                        ROS_RESPONSE.STUDY_END_DATE?)>
<!ELEMENT ROS_RESPONSE.ROS_ID          (#PCDATA)>
<!ELEMENT ROS_RESPONSE.MATCHED_NAME_IDENTIFER  (#PCDATA)>
<!ELEMENT ROS_RESPONSE.MATCHED_DATE_OF_BIRTH  (#PCDATA)>
<!ELEMENT ROS_RESPONSE.MATCHED_IRD_NUMBER  (#PCDATA)>
<!ELEMENT ROS_RESPONSE.STATUS            (#PCDATA)>
<!ELEMENT ROS_RESPONSE.STUDY_START_DATE  (#PCDATA)>
<!ELEMENT ROS_RESPONSE. STUDY_END_DATE  (#PCDATA)>
<!--ROOT ELEMENT - ROS_RESPONSE_FILE-->
<!ELEMENT ROS_RESPONSE_FILE (ROS_RESPONSE*)>

```

4.5 RoS Response DTD Element Definitions

<i>ROS_RESPONSE_FILE</i>	<p>This is the root element. If there are no RoS requests for the date given, then the response file will contain only this element. E.G.:</p> <pre><?xml version="1.0" encoding="UTF-8"?> <!DOCTYPE ROS_REQUEST_FILE SYSTEM ROS_RESPONSE.DTD> <ROS_RESPONSE_FILE> </ROS_RESPONSE_FILE></pre>								
<i>ROS_RESPONSE</i>	<i>Each ROS_RESPONSE contains a single response to a given request of study results for a single student.</i>								
<i>ROS_RESPONSE</i> <i>ROS_ID</i>	<p><i>This is the unique identifier of the RoS Request that is being responded to. Only one response can be given per request, even across multiple files.</i></p> <p><i>Numeric, 9 digits.</i></p>								
<i>ROS_RESPONSE</i> <i>MATCHED_NAME_IDENTIFIER</i>	<p><i>The name identifier of the student that the MoE have matched the request with. This name identifier must be in the original RoS request. There may be multiple name identifiers if multiple matches were found and MoE are able to confirm that they are a single physical student. This is optional as the name identifiers may not have been used to match the student.</i></p> <p><i>Alpha, 5 characters, first four the characters of surname plus first character of the first name.</i></p>								
<i>ROS_RESPONSE</i> <i>MATCHED_DATE_OF_BIRTH</i>	<p><i>The Date of Birth of the student that MoE have matched the request with. It must be the same as the original request date of birth.</i></p> <p><i>Alpha, 10 characters, format YYYY-MM-DD</i></p>								
<i>ROS_RESPONSE</i> <i>NSN</i>	<p><i>The National Student Number. May be NULL (initially blank)</i></p> <p><i>Numeric, 10 digits.</i></p>								
<i>ROS_RESPONSE</i> <i>MATCHED_IRD_NUMBER</i>	<p><i>The IRD number that the MoE matched the request with. This must be the same as the original RoS Request and only included if matched on.</i></p>								
<i>ROS_RESPONSE</i> <i>STATUS</i>	<p><i>The status of the RoS response. Valid values are:</i></p> <table> <tr> <td><i>UNKNOWN</i></td> <td><i>Cannot match this student to any on the MoE database</i></td> </tr> <tr> <td><i>MULTIMATCH</i></td> <td><i>Multiple matches for this student were found.</i></td> </tr> <tr> <td><i>NOSTUDY</i></td> <td><i>Can match this student but have no record of study between the study dates.</i></td> </tr> <tr> <td><i>MATCHED</i></td> <td><i>Matched – Can match this student and have study details to return.</i></td> </tr> </table> <p><i>ALPHA, 10 Characters.</i></p>	<i>UNKNOWN</i>	<i>Cannot match this student to any on the MoE database</i>	<i>MULTIMATCH</i>	<i>Multiple matches for this student were found.</i>	<i>NOSTUDY</i>	<i>Can match this student but have no record of study between the study dates.</i>	<i>MATCHED</i>	<i>Matched – Can match this student and have study details to return.</i>
<i>UNKNOWN</i>	<i>Cannot match this student to any on the MoE database</i>								
<i>MULTIMATCH</i>	<i>Multiple matches for this student were found.</i>								
<i>NOSTUDY</i>	<i>Can match this student but have no record of study between the study dates.</i>								
<i>MATCHED</i>	<i>Matched – Can match this student and have study details to return.</i>								
<i>ROS_RESPONSE</i> <i>STUDY_START_DATE</i>	<p><i>The start and end of study dates. The RoS request is for all study that overlaps this date range. That is, starts or ends within these dates, or starts before the start date and ends after the start date</i></p>								

<i>STUDY_END_DATE</i>	<i>Alpha, 10 characters, format YYYY-MM-DD</i>
<i>PROVIDER</i>	<i>Details the provider that the student studied at. All providers that MoE knows the student studied an approved course (see COURSE element below). The list of providers should NOT be limited to the list of providers on the RoS request.</i>
<i>PROVIDER CODE</i>	<i>The MoE assigned provider number. Alpha, 4 characters.</i>
<i>PROVIDER MATCHED_STUDENT_ID</i>	<i>The student ID that the student uses at this provider. Alpha, 10 characters.</i>
<i>PROVIDER MATCHED_NAME_IDENTIFIER</i>	<i>The name identifier of the student that the MoE have matched the request with. This name identifier must be in the original RoS request. There may be multiple name identifiers if multiple matches were found and MoE are able to confirm that they are a single physical student. Alpha, 5 characters, first four the characters of surname plus first character of the first name.</i>
<i>COURSE</i>	<i>List of courses that the student studied at that were allowance or loan approved at the time of the course start and was studied within the timeframes of the RoS request.</i>
<i>COURSE CODE</i>	<i>The MoE assigned prospectus course code. Alpha, 20 characters.</i>
<i>COURSE START_DATE END_DATE</i>	<i>Start and end dates for the course studied. Alpha, 10 characters, format YYYY-MM-DD.</i>
<i>COURSE EFTS</i>	<i>EFTS (Equivalent Full Time Student) rating of the course studied. Numeric, 6 digits including 4 decimal places.</i>
<i>COURSE COMPLETION_CODE</i>	<i>Completion code of the course studied. Valid values are: 'PASSED' Successfully completed 'FAILED' Unsuccessfully completed 'UNDERWAY' Yet to complete 'WITHDRAWN' Did not complete 'FUTURE' Start date is in the future 'MISSING' Matching course completion not found Alpha, 9 Characters.</i>
<i>PROVIDER MATCHED_STUDENT_ID</i>	<i>The student ID that the student uses at this provider. Alpha, 10 characters.</i>
<i>PROVIDER</i>	<i>The name identifier of the student that the MoE have matched the request with. This name identifier must be in the original RoS request. There may be multiple</i>

MATCHED_NAME_IDENTIFIER	<p>name identifiers if multiple matches were found and MoE are able to confirm that they are a single physical student.</p> <p>Alpha, 5 characters, first four the characters of surname plus first character of the first name.</p>												
COURSE	<p>List of courses that the student studied at that were allowance or loan approved at the time of the course start and was studied within the timeframes of the RoS request.</p>												
COURSE CODE	<p>The MoE assigned prospectus course code.</p> <p>Alpha, 20 characters.</p>												
COURSE START_DATE END_DATE	<p>Start and end dates for the course studied.</p> <p>Alpha, 10 characters, format YYYY-MM-DD.</p>												
COURSE EFTS	<p>EFTS (Equivalent Full Time Student) rating of the course studied.</p> <p>Numeric, 6 digits including 4 decimal places.</p>												
COURSE COMPLETION_CODE	<p>Completion code of the course studied. Valid values are:</p> <table> <tr> <td>'PASSED'</td> <td>Successfully completed</td> </tr> <tr> <td>'FAILED'</td> <td>Unsuccessfully completed</td> </tr> <tr> <td>'UNDERWAY'</td> <td>Yet to complete</td> </tr> <tr> <td>'WITHDRAWN'</td> <td>Did not complete</td> </tr> <tr> <td>'FUTURE'</td> <td>Start date is in the future</td> </tr> <tr> <td>'MISSING'</td> <td>Matching course completion not found</td> </tr> </table> <p>Alpha, 9 Characters.</p>	'PASSED'	Successfully completed	'FAILED'	Unsuccessfully completed	'UNDERWAY'	Yet to complete	'WITHDRAWN'	Did not complete	'FUTURE'	Start date is in the future	'MISSING'	Matching course completion not found
'PASSED'	Successfully completed												
'FAILED'	Unsuccessfully completed												
'UNDERWAY'	Yet to complete												
'WITHDRAWN'	Did not complete												
'FUTURE'	Start date is in the future												
'MISSING'	Matching course completion not found												

4.6 Provider SDR Update DTD

The Provider SDR Update DTD is detailed below:

```
<!-- PROVIDER -->
```

```
<!ELEMENT PROVIDER (
```

```
    PROVIDER.CODE,
```

```
    PROVIDER.DATE_SUBMITTED,
```

```
    PROVIDER.RETURN_MONTH)>
```

```
<!ELEMENT PROVIDER.CODE (#PCDATA)>
```

```
<!ELEMENT PROVIDER.DATE_SUBMITTED (#PCDATA)>
```

```
<!ELEMENT PROVIDER.RETURN_MONTH (#PCDATA)>
```

```
<!-- SDR_STATUS -->
```

```

<!ELEMENT SDR_STATUS (PROVIDER)

<!-- ROOT ELEMENT - SDR_STATUS_FILE -->

<!ELEMENT SDR_STATUS_FILE (SDR_STATUS*)>

```

4.7 Provider SDR Update DTD Element Definitions

<i>SDR_STATUS_FILE</i>	This is the root element and must be in the XML file.
<i>SDR_STATUS</i>	Extra element as requested by MOE
<i>PROVIDER</i> <i>CODE</i>	<i>The MoE assigned provider number.</i> <i>Alpha, 4 characters.</i>
<i>PROVIDER</i> <i>DATE_SUBMITTED</i>	<i>The date that the last SDR submission for this provider occurred on.</i> <i>Numeric, 10 characters, format YYYY-MM-DD.</i>
<i>PROVIDER</i> <i>RETURN_MONTH</i>	<i>The two-digit month and four-digit year that the last SDR was submitted for.</i> <i>Numeric, 6 characters, format YYYYMM</i>

5 Transfer of Results of Study Information

5.1 MSD shall seek approval from the Privacy Commissioner for both Parties to transfer the Request and Response information between each other by means of an on-line computer connection, specifically via access to a secure directory on MSD file server.

5.2 Any on-line transfer of information shall be protected by encryption and such other protective measures agreed to by the Parties, noting that the Privacy Commissioner may impose a requirement to use a particular or additional protective measure as a condition of granting approval for the on-line transfer. The security and controls relating to the on-line transfer of information shall be recorded in clause 7 of this schedule.

5.3 In the event that the Privacy Commissioner

- does not grant; or
- withdraws; or
- makes a variation that either Party considers to be unacceptable to;

an approval for the Parties to transfer the Request Information or Response Information by on-line computer connection, then the transfer of information shall be by an encrypted portable electronic data storage medium in accordance with clause 5.4 or clause 5.5 of this Schedule.

5.4 Where clause 5.3 applies, or an on-line connection request has not been made or an on-line connection is unable to be used, MSD shall supply the Request Information to MoE on an encrypted portable electronic data storage medium delivered in a safe and secure manner as follows:

5.4.1 encrypted using AES 256 or better;

- 5.4.2 password to be a minimum of 12 characters containing at least one alpha and one numeric character;
 - 5.4.3 password to be transmitted separately
 - 5.4.4 if the physical media is transmitted by courier or post, then using track and trace;
 - 5.4.5 if the physical media is transferred by hand, then it must be signed for and the receipt filed.
- 5.5 Where clause 5.3 applies, or an on-line connection request has not been made or an on-line connection is unable to be used, MoE shall supply the Response Information to MSD on an encrypted portable electronic data storage medium delivered in a safe and secure manner.

6 Matching Technique

6.1 Unique Identifiers

The student ID number is being utilised as a third identifier. This is vital to ensure that the correct student is being matched. The other identifiers are the name, which comprises the first initial of the first name and the first four letters of the surname, and the date of birth.

6.2 Nature of matters being sought to be identified

MSD is seeking to identify that students have:

- 6.2.1 passed more than half of a full-time tertiary course the last time that they were in receipt of a Student Allowance; and/or
- 6.2.2 passed at least half of their previous 5 years of tertiary study.

7 Controls and Security

7.1 Transfer of Information

- 7.1.1 MoE will transfer the Results of Study Information via FTPS in accordance with clause 5 of the Technical Standards Report. MoE will be able to pull and push request and response files to a secure location. PGP keys with a password are used to encrypt files and access the folder. SSH private key and password is used for authorisation. MoE's IP is whitelisted to enable firewall access.
- 7.1.2 MSD will operate a checking process to ensure that the Results of Study Information received from MoE is valid and complete.
- 7.1.3 MSD will ensure that all Matched Information (including backup copies) is stored and used such that no unauthorised use or disclosure will take place.
- 7.1.4 The ROS file transfer mechanism will use MSD's standard DMZ SFTP platform for MoE to pull and push request and response files to a secure location.

7.2 Disasters

- 7.2.1 In the event of any disaster, the Parties will co-operate, taking all reasonable steps to ensure the security and/or recovering of the information suspended during force majeure.

7.3 Corrupted File

- 7.3.1 MoE will notify MSD of any corrupted files detected by the anti-malware scan. No corrupted files can be processed.
- 7.3.2 On receiving notice of any corrupted or unusable file, MSD shall, as soon as practicable correct and resend the affected records.

- 7.3.3 Both MoE and MSD will be notified by email if a file is not sent. Usual escalation procedures will be followed and a resolution agreed to by the parties.

7.4 Destruction of Information

- 7.4.1 MoE will not retain or copy any Request information received from MSD.
- 7.4.2 MSD will destroy the Response information provided under the Programme in accordance with Rule 5 of the information matching rules outlined in Schedule 6 of the Privacy Act 2020.
- 7.4.3 Specifically, Response information that does not reveal a discrepancy will be deleted by MSD as soon as practicable. In cases where a discrepancy is revealed, the information will be destroyed by MSD Party as soon as practicable after the information is no longer needed for the purposes of taking any adverse action against a student.

7.5 Time Limits

- 7.5.1 A Results of Study Request will be issued daily (from Monday through Saturday) every week of the year. The file will be issued even if empty.
- 7.5.2 No further RoS Requests will be issued for individual students when a confirmed result (either passed or failed) has been received. If no confirmed result is received, the RoS Request file can only be reissued twice more (a maximum of three automatic RoS requests per student).
- 7.5.3 MSD may make an ad hoc request for Results of Study Information if required. This would only be activated in cases where the RoS Return has not provided a confirmed result.

7.6 Databank of Previous Matches

- 7.6.1 The information held on this database will only be available to MSD systems administration and IT staff, once any applicable time limit set out in clause 7.4 above has been reached.
- 7.6.2 In accordance with rule 6 of the information matching rules contain in Schedule 6 of the Privacy Act 2020, the Parties will not permit the information used in the Programme to be linked or merged in such a way that it creates a new separate permanent register or databank of information about all or any of the people whose information has been subject to the Programme.
- 7.6.3 Clause 7.6.2 does not prevent MSD from maintaining a register for the purposes of excluding individuals from the Programme, but such a register shall contain only the minimum amount of information necessary for that purpose.
- 7.6.4 Notwithstanding clause 7.6.2 or 7.6.3 of the Technical Standards Report, either Party may create a new databank if that becomes necessary for the limited authorised purposes in either rule 6(2) or rule 6(3) of the information matching rules in Schedule 6 of the Privacy Act 2020.
- 7.6.5 A new databank created under clause 7.6.4 is to be operated strictly in accordance with the rules referred to in clause 7.6.4. The Party operating that new databank shall report annually to the other Party and to the Privacy Commissioner detailing why the new databank is operating, what fields of information are contained therein, and shall confirm that information relating to

particular individuals is being removed from the register when it is no longer necessary for that information to be held in that new databank.

8 Roles and Responsibilities

The Ministry of Education Sector Service Desk email address is:
service.desk@education.govt.nz

The Ministry of Social Development StudyLink Operations Analyst Student Support Centre email address is:

[StudyLink_Operations_Analysts\(MDS\)@msd.govt.nz](mailto:StudyLink_Operations_Analysts(MDS)@msd.govt.nz)

Where the roles of the Sector Service Desk or the MSD StudyLink Operations Analyst Student Support Centre are assigned to an agent or contractor contact email addresses for the assigned roles will be notified by email

9 RoS application and Error Notification process

As reassurance of the above process occurring in the desired succession, eSDR sends three e-mails to the Sector Service Desk after each completion stage of the RoS process. These are sent to the Sector Service Desk mailbox in the following order:

- 1 The first e-mail is to advise that the MoE has pulled the RoS Request file on the specific date at the specific time.
- 2 The second informs that the MoE has completed processing of the RoS request file, specifying the dates and time when this was done.
- 3 Finally, an e-mail is sent out to confirm that the MoE has pushed the RoS response file, again specifying when and what time this action was completed.

In the event of an error an e-mail message will be sent to the Sector Service Desk.

If the error refers to the FTPS folder access with one of the following messages:

- 421 Service not available, closing control connection.
- 425 Can't open data connection.
- 426 Connection closed; transfer aborted.
- 430 Invalid username or password
- 434 Requested host unavailable.
- 450 Requested file action not taken.
- 451 Requested action aborted. Local error in processing.
- 452 Requested action not taken. Insufficient storage space in system

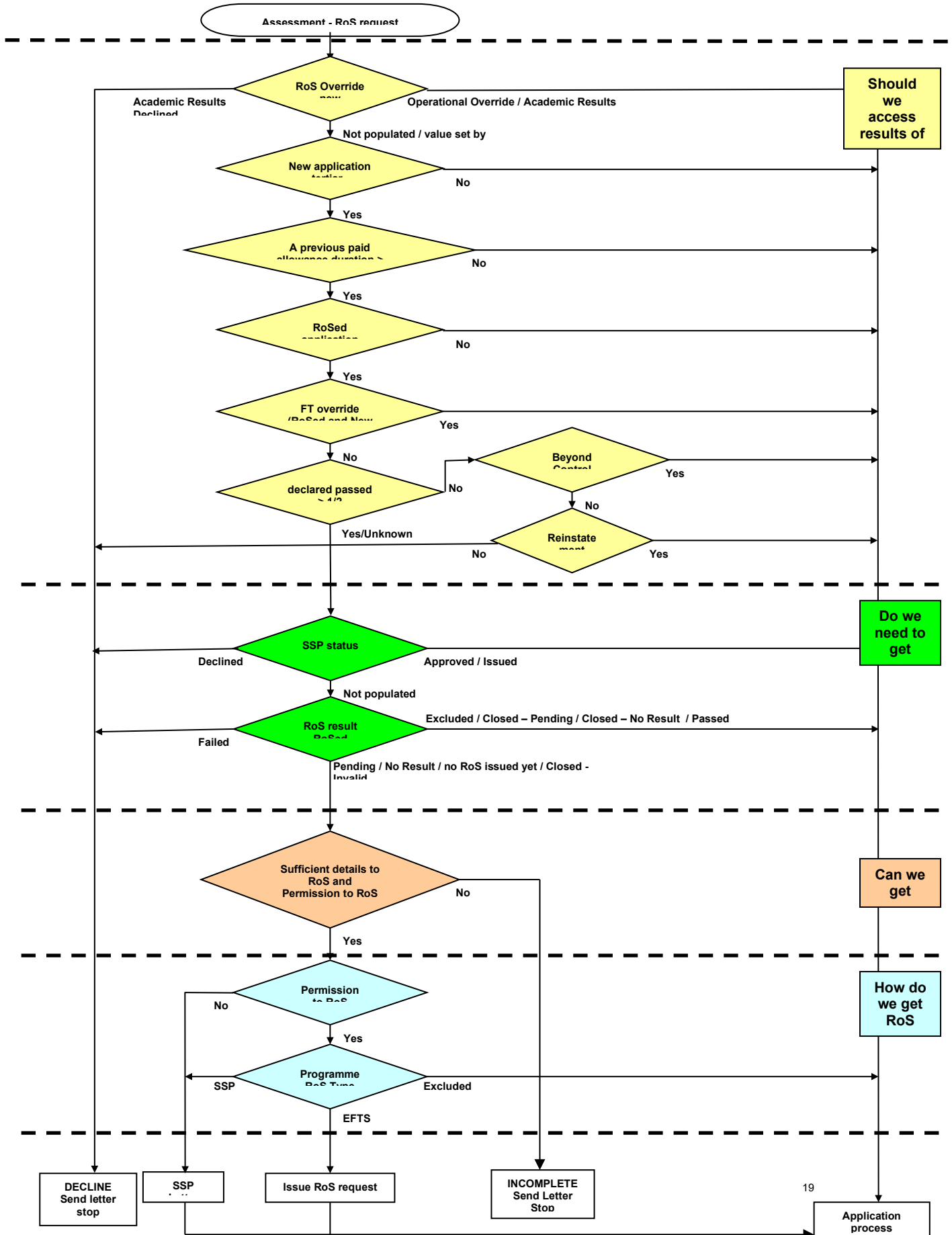
The MSD StudyLink Operations Analyst Student Support Centre should be contacted to solve the issue. Once the error has been fixed the RoS process will resume automatically.

If the email message refers to a RoS processing error then MSD StudyLink must be notified of the failure and the MoE System admin contacted to investigate the problem. The MoE Business Services team (2nd level) is required to advise the MoE Sector Service Desk (1st level) who in turn informs MSD StudyLink of delays owing to fix times greater than 15 minutes.

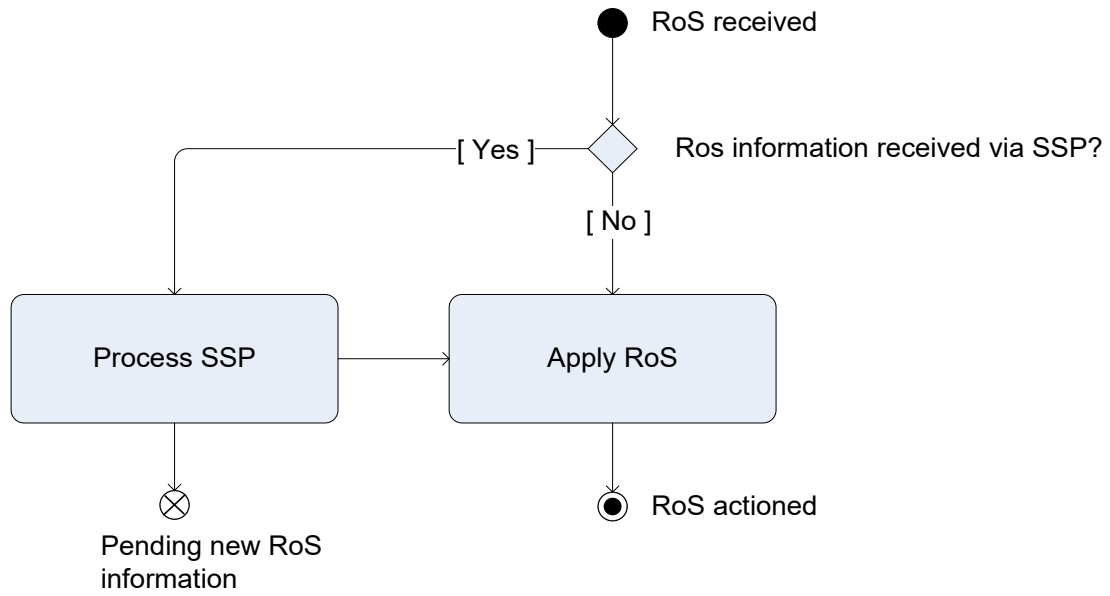
Appendix 3

PROCESS FLOW DIAGRAMS

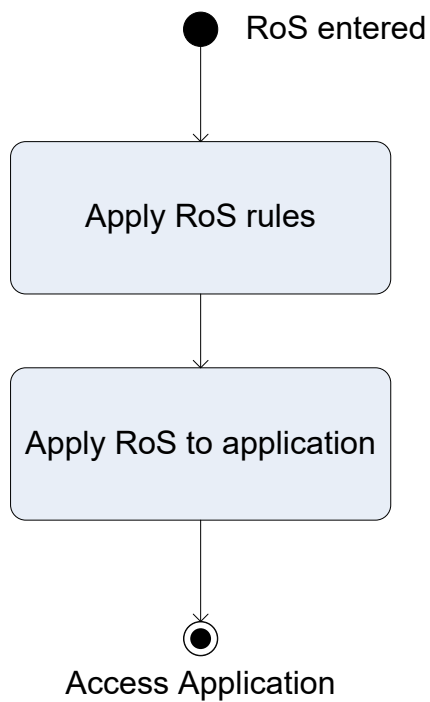
Student Allowance Process



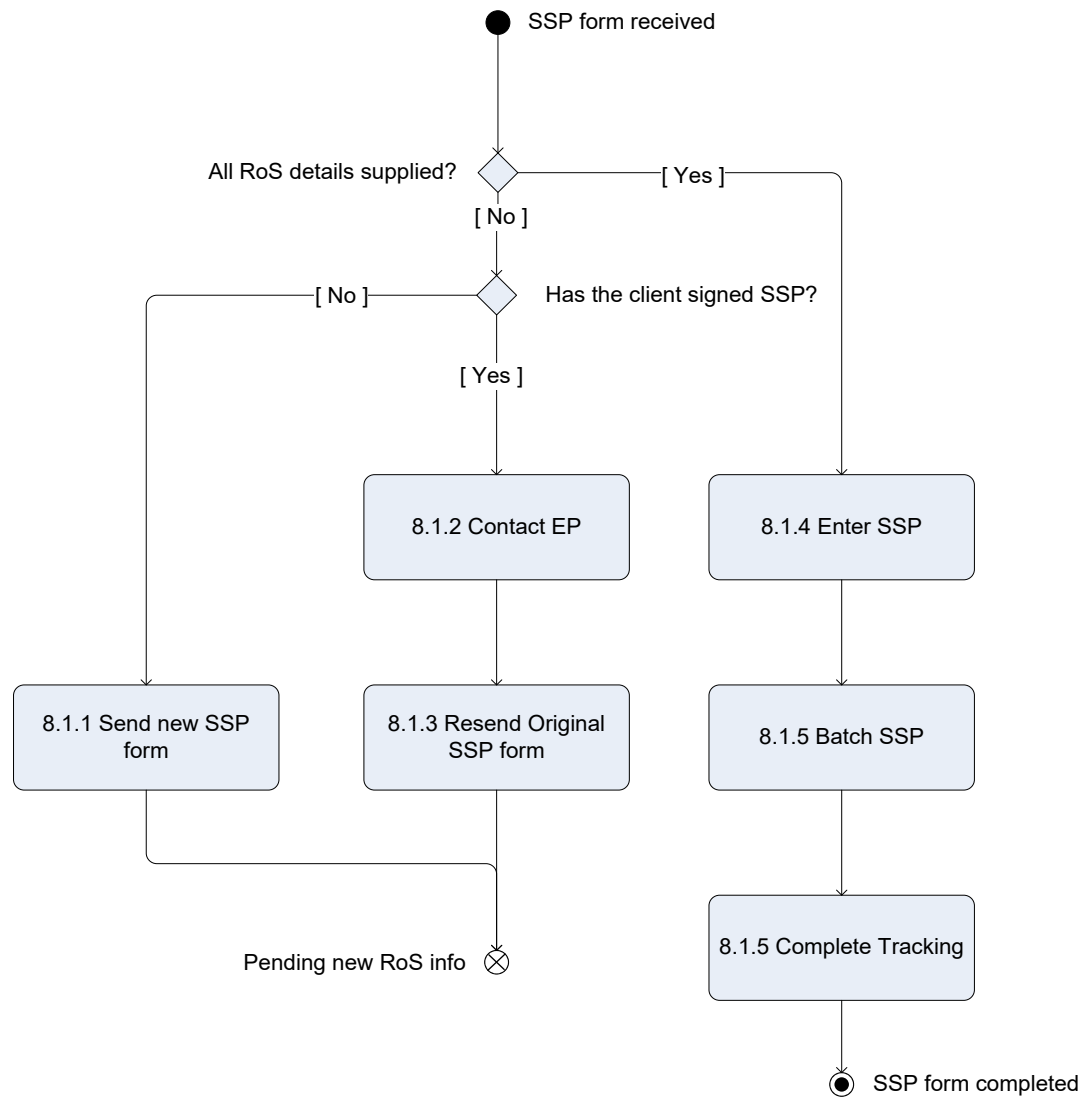
Student Loan RoS Process



Student Loan Apply RoS process



Student Loan process SSP



Student Loan process updated

Business Process

Student Loan Process

