

**Tertiary Education Commission  
Te Amorangi Mātauranga Matua**

**Draft Progress Monitoring Report  
Methodology Paper**

**For  
Tertiary Education Organisations that receive  
the Student Achievement Component**

**Version 1.1**

**October 2008**

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## VERSIONING AND AMENDMENTS

Version	Release Date	Key Points/Changes from previous version
1.1	26 September 2008	Draft Version with dates updated and minor wording changes made from August release of April SDR based Progress Monitoring Report. This Document provides the methodology for the release of the October Progress Monitoring Report, which is based on the August SDR.
1.0	22 August 2008	Draft Version for Draft Progress Monitoring Reports

## INTRODUCTION

### Purpose of this Methodology Paper

In 2007 a number of Tertiary Education Organisations (developed and submitted Investment Plans. These Plans contained Tertiary Education Organisation commitments to achieve outcomes and to deliver provision over a one to three year period commencing in 2008.

The Tertiary Education Commission, Te Amorangi Mātauranga Matua (TEC), has produced draft Progress Monitoring Reports to monitor progress with respect to the Tertiary Education Organisation commitments using available year to date information.

The purpose of this document is to describe how the TEC has compiled the data presented in the latest round of draft Progress Monitoring Reports for Tertiary Education Organisations who receive the Student Achievement Component (SAC). These reports were released in October 2008.

Feedback on the draft Progress Monitoring Reports and the present document will be used to enhance future versions of Progress Monitoring Reports.

### Background

As part of the development of monitoring to support Investing in a Plan the TEC developed in 2007:

- a set of quantitative Key Performance Indicators for each sub-sector linked to the Tertiary Education Strategy 2007-10 (TES) and described in the TEC's Investment Guidance 2008-10; and
- a mix of provision appropriate to each sub-sector.

These utilised existing information available through the Single Data Return (SDR) and were developed in consultation with sector representatives.

Baseline information on the Key Performance Indicators for each Tertiary Education Organisation were provided in Baseline Monitoring Reports produced in 2007 and 2008 and definitions and calculations of the Key Performance Indicators were provided in the methodology paper supporting these reports<sup>1</sup>.

A series of interim tools were utilised in 2007 to support development and collection of Plan commitments. These generally involved spreadsheets and contained baseline Key Performance Indicator and mix of provision information. The information collected from Tertiary Education Organisations was loaded into a TEC database.

In the latter part of 2007 and early 2008 comments were sought from sector representatives on a proposed Progress Monitoring Report and also enhanced analysis of sub-sector information. Utilising the combined feedback on these two elements the TEC produced draft Progress Monitoring Reports in August 2008 and again in October 2008.

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<sup>1</sup> Baseline Monitoring Report Methodology Paper for Student Component Funded Tertiary Education Organisations. See the TEC website ([www.tec.govt.nz](http://www.tec.govt.nz)) for latest version.

Within the context of Tertiary Education Organisations' primary responsibilities for monitoring performance against Plans, the Progress Monitoring Reports are intended to:

- provide sector comparative information to support Tertiary Education Organisations in their continuous improvement activities;
- allow TEC investment managers to build up a picture over time of the value emerging from investment and progress being made towards agreed changes and commitments;
- minimise the impact of monitoring Tertiary Education Organisations through utilising existing information collections;
- provide a mutually understood evidence base that adds value to the discussions between investment managers and Tertiary Education Organisations;
- signal the importance of performance against the Plan and provide some transparency as to how the TEC will monitor this; and
- assist in building a shared understanding of what constitutes significant variation from the Plan, data quality, and interpretation of data.

Progress Monitoring Reports will be produced on year to date information and full year information. The draft Progress Monitoring Report produced in October 2008, which this methodology paper describes, focuses on year to date information from the August SDR. Progress Monitoring Reports in 2009 will include a mixture of year to date information and full year information currently provided in Baseline Monitoring Reports as this information becomes available through the SDR. Figure 1 (below) shows the likely content of reports produced in 2008 and 2009 in relation to individual SDRs.

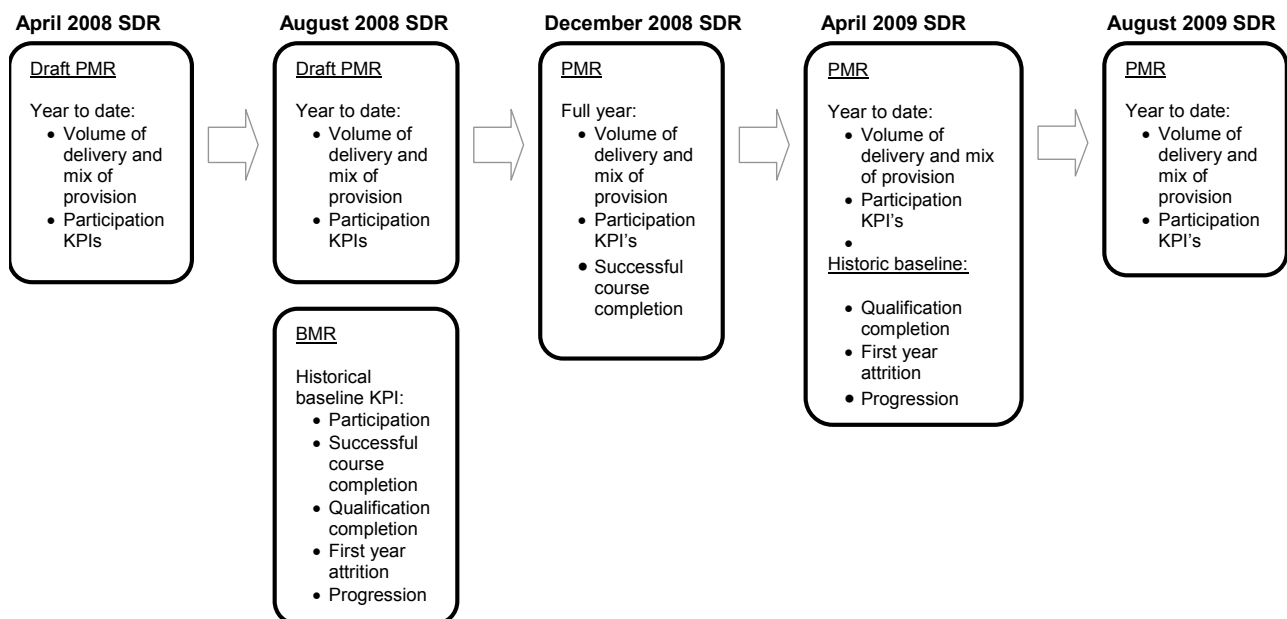


Figure 1 Content of reports produced in 2008 and 2009 in relation to individual SDRs

## Overview of Content of Draft Progress Monitoring Reports

The draft Progress Monitoring Report presents information in two general categories:

1. Volume of Delivery and Mix of Provision; and
2. Key Performance indicators (Key Performance Indicators).

The information contained in the each of these areas differs by sub-sector. The major categories of information presented in the draft Progress Monitoring Reports are described further below. For

each of these areas the commitments in Plans are matched to the year to date information and comparative reference points to previous years actuals provided to assist interpretation.

### **Volume of Delivery and Mix of Provision**

This content relates to Section 3 of the Plan – the Summary of Activity.

*Volume of delivery* provides the total SAC funded provision in dollars and the total Equivalent Full Time Students (EFTS) funded.

*Mix of provision* provides more detail on the nature of the provision. This includes

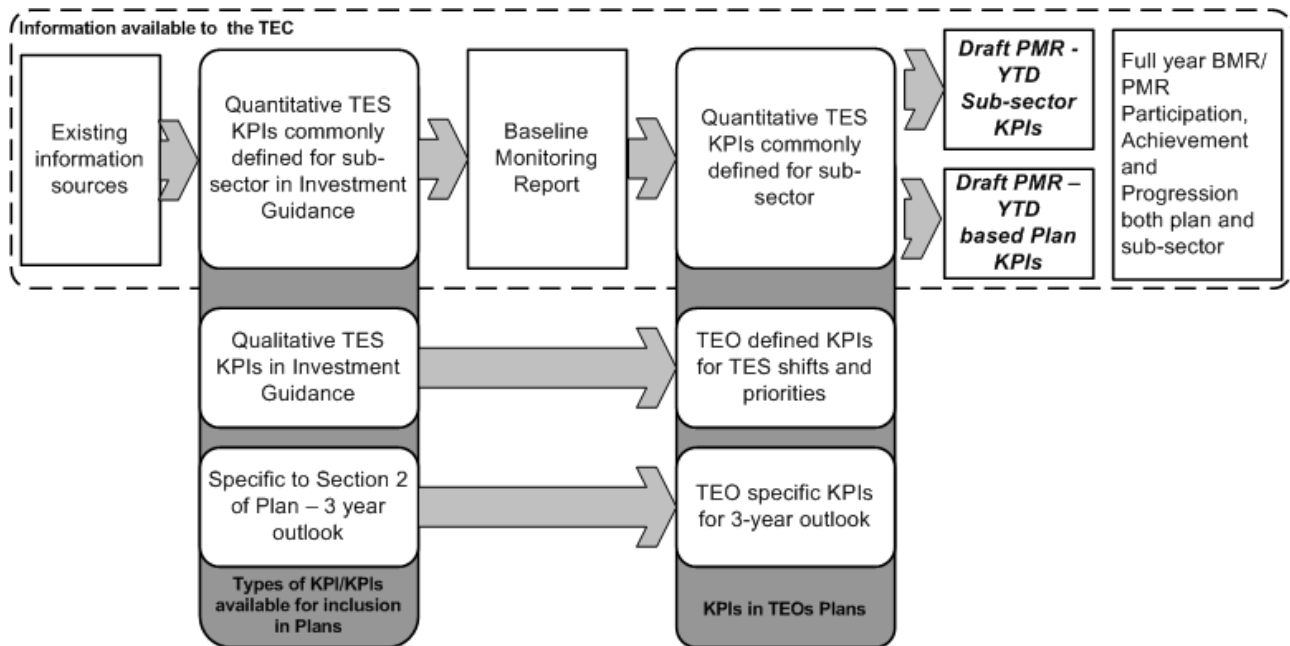
- Funding and EFTS by Funding Category – provided for Universities, Institutes of Technology and Polytechnics (ITP), and Wānanga;
- EFTS by New Zealand Standard Classification for Education (NZSCED) and Level Level on the Register of Quality Assured Qualifications (Qualifications Register Level – formerly known as NQF Level) – provided for ITPs, Wānanga, Private Training Establishments (PTEs), and Other Tertiary Education Providers (OTEPs); and
- Funding and EFTS per qualification – provided for PTEs and OTEPs.

### **Key Performance Indicators**

This content relates to Section 4 of the Plan – Key Performance Indicators - and also to indicators contained in the TEC's Investment Guidance 2008-2010 that indicate progress against the TES.

Figure 2 below indicates how the Key Performance Indicators contained in the draft Progress Monitoring Report relate to the types of Key Performance Indicators available for inclusion in Plans (the shaded left box of the diagram) and those included in Plans (the shaded right box of the diagram). The Key Performance Indicators that might be included in the Progress Monitoring Report are those for which there is information available through the SDR (as indicated by the dotted box) and produced in the Baseline Monitoring Report. This is a subset of possible Key Performance Indicators and so presents a partial picture of progress.

The draft Progress Monitoring Report uses the year-to-date information in the current year and compares this with the equivalent data for previous reporting periods. For example the 2008 August SDR information is compared with 2007 August SDR information. The Baseline Monitoring Report includes Key Performance Indicators that use successful course completions, qualification completion, progression, and EFTS. Only EFTS based Key Performance Indicators (from the Participation section of the Baseline Monitoring Reports) can usefully be produced from year-to-date information and are included in the draft Progress Monitoring Report. Progress Monitoring Report's will also incorporate full year information in 2009 (as shown in Figure 1).



**Figure 2 - Key Performance Indicators (KPIs) presented in the draft Progress Monitoring Report in relation to other Key Performance Indicators**

The draft Progress Monitoring Report contains both Key Performance Indicators that have an outcome commitment in an individual Tertiary Education Organisation’s Plan (Plan Key Performance Indicators) and those that do not have an outcome commitment (sub-sector Key Performance Indicators). One of the reasons sub-sector Key Performance Indicators are included is to recognise that Tertiary Education Organisations may still make a significant contribution to the progress of the sub-sector in areas where commitments were not made in Plans.

This document repeats relevant aspects of the Baseline Monitoring Report Methodology Paper and includes enhancements to incorporate sub-sector calculations.

## Information Sources

The draft Progress Monitoring Report uses two primary groups of information sources:

- Single data return (SDR) information provided by Tertiary Education Organisations to the Ministry of Education and subsequently provided to the TEC; and
- Tertiary Education Organisation Investment Plans as collected through the mix of provision and Key Performance Indicator collection tools<sup>2</sup>.

These are described in further detail below.

### The Single Data Return (SDR)

The SDR database is a repository for unit record data collected from Tertiary Education Organisations. Tertiary Education Organisations submit the unit-record data from their student management systems at intervals throughout the year (i.e. April, August, and December). This information must be completed by all Tertiary Education Organisations that receive SAC funding,

<sup>2</sup> Information on the total allocation in dollars has also been drawn from the TEC’s Tertiary Contact Management system for PTEs and OTEPs. Extraction date for this information was 25 July 2008.

formerly known as the Student Component Fund, and/or that have students with Student Loans or Allowances.

The draft Progress Monitoring Reports are based on SDR data submitted up to and including the August 2008 Reporting Period as extracted on 26 September 2008.

### **Key Performance Indicator and Mix of provision collection tools**

Plans submitted by Tertiary Education Organisations in 2007 included commitments for the volume of delivery and mix of provision in the summary of activity section (Section 3) of their plans. Key Performance Indicators were submitted in the Key Performance Indicator section (Section 4). As an interim process, spreadsheet based tools were used to capture the volume of delivery, Mix of Provision and Key Performance Indicator information and input these into the TEC investing in a plan database. This interim process may have introduced some data quality issues and the draft Progress Monitoring Report provides an opportunity to resolve any issues that emerge. Commitment data in the reports is as at the 5th of August 2008.

### **Document structure**

There are several parts to this methodology document:

- The body of the document provides specific definitions for the information included in the draft Progress Monitoring Report as well as high-level key steps for deriving the information;
- Appendix A provides a detailed description of the transformation and processing of data; and
- Appendix B presents a list of abbreviations.

### **Implications of current methodology and data**

The methodology is based on the Baseline Monitoring Report and baseline Mix of Provision information in 2007. With respect to the Baseline Monitoring Report it was noted that:

- many indicators in the Baseline Monitoring Reports are relatively new and do not directly align with the indicators used by Tertiary Education Organisations or the Ministry of Education (MoE). This is because the indicators in the Baseline Monitoring Reports are defined to provide the most accurate view of performance in terms of the shifts and priority outcomes identified in the Investment Guidance 2008-2010. As a result, some comparisons between the data presented in the Baseline Monitoring Reports and data previously reported by Tertiary Education Organisations (e.g., Annual Reports, or MoE reports, such as, Profiles and Trends and the SDR Summary Reports) may not be consistent.
- consultation with sector representatives and the Data Quality Exercise revealed a number of data quality issues. Business rules were developed to address some issues. In cases where a business rule could not be developed, the Baseline Monitoring Reports have been annotated with caveats. In addition to these issues, users of the Baseline Monitoring Reports are advised against interpreting the data out of context. Many contextual factors that vary across providers may affect performance, in particular for achievement and progression indicators. The information contained in the Baseline Monitoring Reports needs to be interpreted in the context of these, as well as the limitations of current data.

The draft Progress Monitoring Report extends the methodology to produce year to date information, comparative information on the distribution of other Tertiary Education Organisations

in the sub-sector, and comparison against Plans. As with the Baseline Monitoring Report, annotations are included to note issues that readers should be aware of. Some general implications are noted below:

- historical and current funding has not been adjusted for historical or actual funding caps. Actual funding may vary;
- year-to-date information is subject to change. While comparative reference points have been provided to assist the interpretation, the information in draft Progress Monitoring Reports may not be predictive of full year results;
- Tertiary Education Organisations use different reporting practices when reporting year to date information, with some Tertiary Education Organisations reporting enrolments up to the extract date for the particular SDR and others reporting all known enrolments up to the end of the year. Simple comparisons between a Tertiary Education Organisation and other Tertiary Education Organisations (or the sub-sector) may be misleading and comparison with previous history may be more appropriate; and
- an interim approach was used to capture information on Plan commitments. This may have resulted in data quality issues in some cases which will need to be corrected.

While the methodology for the draft Progress Monitoring Reports builds on that for the Baseline Monitoring Report, and is functionally equivalent where applicable, some revision of the approach to processing of the data and documenting the processing has been conducted. In particular the description of the transformations in Appendix A incorporates process diagrams and technology independent code (pseudo code) to enhance clarity. It is anticipated that a further revision to the methodology paper will occur when the Baseline Monitoring Report and draft Progress Monitoring Report are combined in the Progress Monitoring Report in 2009.

## Areas of continuing Development

Comment on the draft Progress Monitoring Report may suggest areas of future development. In particular it is anticipated that future Progress Monitoring Reports will:

- apply the suppression rules used in the Baseline Monitoring Report. The Baseline Monitoring Report does not calculate proportions where the denominator count is less than 30, as these rates are likely to be subject to significant variation and this may lead to misinterpretation. For privacy reasons, counts between 1 and 3 were also suppressed to ensure individual's anonymity;
- link to the TEC's payment system and supply actual payment information for comparison to progress against the Plan;
- incorporate full year information in 2009 as appropriate. This will generate some changes in content. For instance, comparative reference points for year-to-date information such as four year range will not be required;
- include the number of Tertiary Education Organisations included in the calculation of sub-sector comparative information (e.g. medians); and,
- include funding caps (such as enrolment caps for high-cost programmes or the caps of 200 EFTS growth in certificate and diploma courses) with full year information.

## **Feedback**

Both the Progress Monitoring Reports produced in 2008 and associated methodology papers have been provided as draft in anticipation that Tertiary Education Organisation and TEC use of the information may identify opportunities for improvement. Comment can be provided to Investment Managers and Investment Advisors or to [Queries.IR&E@tec.govt.nz](mailto:Queries.IR&E@tec.govt.nz) .

## YEAR-TO-DATE AND HISTORICAL ACTUALS

The draft Progress Monitoring Report uses the SDR enrolment information aggregated into 'EFTS delivered and awaiting delivery' as well as 'Monthly and 'EFTS delivered'. EFTS received for the April or August SDR are referred to as 'Year to Date', December SDR data is referred to as 'Historic Actuals'.

EFTS delivery is described as follows:

### *EFTS delivered (Analysis by Month)*

EFTS delivered is the portion of enrolments for which delivery has commenced and is provided up to the return period (April, August or December). For example an enrolment starting 01 January 2008 ending 31 December 2008 worth 0.9 EFTS will have a value of 0.3 EFTS for the April 2008 SDR and a value of 0.6 EFTS for the August 2008 SDR.

Progress Monitoring Report information that states analysis by month, or that are calculated by month use EFTS delivered in their calculations. Monthly EFTS delivered (Analysis by Month) is not included in the University sector reports.

### *EFTS delivered and awaiting delivery*

This is the total of the EFTS delivered and those awaiting delivery. EFTS delivered are as defined above. EFTS awaiting delivery is the portion of enrolments for which (a) delivery has still to be provided for courses that have commenced, and (b) delivery that has yet to commence. Hence EFTS awaiting delivery includes known enrolments (pre-enrolments) for the year included in the SDR.

For example an enrolment worth 0.6 EFTS starting on 01 January 2008 and ending 30 June 2008 will have an "EFTS delivered" value of 0.4 and an "EFTS delivered and awaiting delivery" value of 0.6 in the 2008 April SDR (0.4 EFTS is delivered and a further 0.2 EFTS is awaiting delivery)

Key Points:

1. Course enrolments are filtered to include only 01 coded<sup>3 4</sup> Student Achievement Component (formerly known as Student Component Fund) funded course enrolments (notional EFTS are excluded);
2. Adult Community Education (ACE) enrolments are removed;
3. Duplicate enrolment records are removed, (duplicate enrolment records may occur as a result of matching, for example NSN Master matching);
4. In the case of Key Performance Indicators - non-formal enrolments are excluded (see Table 4);
5. Total EFTS delivered and awaiting delivery EFTS are calculated from the sum of all EFTS delivered and awaiting delivery falling in each month between enrolment start and end dates within the reporting year;

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<sup>3</sup> Funding field (field 2.11), SDR Manual 2008, V 10.5, p. 77.

<sup>4</sup> The cohort includes coded 01 funded enrolment when the students entered the course. If the same course was removed from 01 funding in a subsequent year, these enrolments would not be included.

6. Total EFTS delivered per month are calculated from the sum of all EFTS delivered falling in each month between enrolment start and end dates for the reporting period (e.g. Jan to April for the April SDR);
7. Funded dollar actuals are calculated using EFTS, Funding Category, and funding rates for the relevant years; and
8. The EFTS delivered and awaiting delivery and associated dollar values and then summarised as appropriate.

**Note:** figures have not been adjusted for enrolment caps for high-cost programmes or the cap of 200 EFTS growth in certificate and diploma courses.

## VOLUME OF DELIVERY AND MIX OF PROVISION

This section of the draft Progress Monitoring Report describes Tertiary Education Organisation progress against planned mix of provision for the current year and the previous four years actuals. It is comprised of the Volume of Delivery and EFTS section and the Mix of Provision section

### Volume of Delivery and EFTS

The following table indicates the analysis that is reported for each sub sector. The definitions and calculations of each type of analysis follow the table.

**Table 1 - Volume of delivery and EFTS analysis**

Sub-sector	Analysis
Universities	<ul style="list-style-type: none"> <li>Volume of delivery and EFTS – delivered and awaiting delivery</li> </ul>
Institutes of Technology and Polytechnics	<ul style="list-style-type: none"> <li>Volume of delivery and EFTS – delivered and awaiting delivery</li> <li>Volume of delivery and EFTS – analysis by month</li> </ul>
Wānanga	<ul style="list-style-type: none"> <li>Volume of delivery and EFTS – delivered and awaiting delivery</li> <li>Volume of delivery and EFTS – analysis by month</li> </ul>
Private Training Establishments and Other Tertiary Education providers	<ul style="list-style-type: none"> <li>Volume of delivery and EFTS – delivered and awaiting delivery</li> <li>Volume of delivery and EFTS – analysis by month</li> </ul>

### Volume of delivery and EFTS – delivered and awaiting delivery

#### Definition and calculation of main elements

This section of the Progress Monitoring Report presents volume of delivery in dollars and EFTS delivered and awaiting delivery for each of the past four years and the current year. The central indicator presented is the year-to-date as a proportion of the Plan Commitment value and also as a proportion of historical end of year actual.

Both individual Tertiary Education Organisation and sub-sector<sup>5</sup> aggregated information are presented. The descriptions below refer to calculation of Tertiary Education Organisation-level information presented in the draft Progress Monitoring Report but can also be applied to the sub-sector aggregations presented in the draft Progress Monitoring Report.

The *year to date proportion of full year* for the SAC allocation (i.e. dollars) and EFTS funded uses the following definition (Formula 1):

$$\text{Formula 1: } \frac{\text{Dollars or EFTS delivered and awaiting delivery year-to-date}}{\text{Total dollars or EFTS delivered and awaiting delivery, planned}}$$

<sup>5</sup> Note that Private Training Establishments and Other Tertiary Education Providers are aggregated to one sub-sector for the purpose of this section and that only those Tertiary Education Organisations required to produce a Plan in 2008 are included.

<sup>6</sup> Planned EFTS is used for current year calculations and actual EFTS for prior year calculations.

or actual<sup>6</sup>

*Variance from a four year range* is the amount by which the Tertiary Education Organisation's year to date proportion is above or below the highest, or lowest, proportion recorded for the Tertiary Education Organisation in the last four years. If the Tertiary Education Organisation's current variance is within previous years variances this value will be 0%, otherwise it represents the amount by which it exceeds the highest or lowest variance during the last 4 years. For instance if the high and low for a Tertiary Education Organisation for the past four year are 60% and 65% respectively but their current year is 67% then the variance from the four year range would be 2%.

*The proportion of Tertiary Education Organisations that are above or below their 4 year range* is the proportion of the sub sector who are above (or below) their highest (or lowest) variance over the last four years. A threshold of 3% has been applied limiting the result to those either 3% or more above or 3% or more below their four year range.

*Full year to YTD/Plan difference* is the dollars or EFTS delivered or awaiting delivery year-to-date minus the Plan information or year-to-date minus the historic end of year actual.

**Note:** Current and historical figures have not been adjusted for enrolments caps including enrolment caps for high-cost programmes or the cap of 200 EFTS growth in certificate and diploma courses.

## **Volume of delivery and EFTS – analysis by month**

### Definitions and calculation of main elements

This section of the draft Progress Monitoring Report provides a month-by-month analysis of volume of delivery and EFTS. It is based on delivered EFTS only. Three views are shown in the draft Progress Monitoring Report:

- Delivery volume and EFTS against plan – cumulative by month;
- Delivery volume against plan – current year by month; and
- EFTS by month.

*EFTS by month* is a sub set of EFTS delivered. It is the proportion of EFTS delivered for the month reported. The sum of the EFTS by month for the year -to -date equals the EFTS delivered.

*Estimated distribution of funded EFTS or SAC allocation* are the funded EFTS or SAC allocation for the current year distributed over the months of the current year based on how the proportion of EFTS or dollars for each month were distributed over the months in the previous full year.

*Payment* is the total allocation distributed evenly over the 12 month period.

*Delivery variance* is the cumulative month to date payments made less the cumulative year -to -date SAC funding that the Tertiary Education Organisation is eligible for the months to date i.e. what has been paid to date minus what the Tertiary Education Organisation is eligible for.

*Delivery variance percentage* is the delivery variance divided by the cumulative month to date payments made i.e. delivery variance divided by payments made to date.

**Note:** Figures have not been adjusted for other factors which may affect payment and actual figures such as enrolment caps for high-cost programmes or the 200 EFTS growth in certificate and diploma courses. Actual payments made may differ from those presented.

## Mix of Provision

This section of the draft Progress Monitoring Report analyses the Tertiary Education Organisation's mix of provision by degree research status, by funding category, by New Zealand Standard Classification for Education (NZSCED), by level on the New Zealand Register of Quality Assured Qualifications (Register level), and by qualification.

Table 2 indicates what analyses are reported for each sub-sector. The definitions and calculations of each type of analysis follow the table.

**Table 2 - Mix of Provision analysis**

Sub-sector	Analysis
Universities	<ul style="list-style-type: none"> <li>• Year to date mix of provision by funding category                             <ul style="list-style-type: none"> <li>- Proportion of EFTS (actual against planned) by degree research status</li> <li>- Funding category breakdown - EFTS</li> <li>- Funding category breakdown (\$)</li> </ul> </li> </ul>
Institutes of Technology and Polytechnics	<ul style="list-style-type: none"> <li>• Year to date mix of provision by funding category                             <ul style="list-style-type: none"> <li>- Proportion of EFTS (actual against planned) by degree research status</li> <li>- Funding category breakdown - EFTS</li> <li>- Funding category breakdown (\$)</li> </ul> </li> <li>• Year to date mix of provision by NZSCED code and Register Level                             <ul style="list-style-type: none"> <li>- Mix of provision against plan - NZSCED</li> <li>- Mix of provision against plan – Register level</li> </ul> </li> </ul>
Wānanga	<ul style="list-style-type: none"> <li>• Year to date mix of provision by funding category                             <ul style="list-style-type: none"> <li>- Proportion of EFTS (actual against planned) by degree research status</li> <li>- Funding category breakdown – EFTS</li> <li>- Funding category breakdown (\$)</li> </ul> </li> <li>• Year to date mix of provision by NZSCED code and Register Level                             <ul style="list-style-type: none"> <li>- Mix of provision against plan - NZSCED</li> <li>- Mix of provision against plan - Register Level</li> </ul> </li> </ul>
Private Training Establishments/Other Tertiary Education Providers	<ul style="list-style-type: none"> <li>• Year to date mix of provision by funding category                             <ul style="list-style-type: none"> <li>- Proportion of EFTS (actual against planned) by degree research status</li> <li>- Funding category breakdown - EFTS</li> <li>- Funding category breakdown (\$)</li> </ul> </li> <li>• Year to date mix of provision by NZSCED code, Register Level and Qualification                             <ul style="list-style-type: none"> <li>- Mix of provision against plan – qualification</li> </ul> </li> </ul>

## Year to date mix of provision by funding category and degree and research status

### Definitions and calculations

This section of the draft Progress Monitoring Report presents year to date information by funding category and degree and research status<sup>7</sup>.

Both individual Tertiary Education Organisation and sub-sector aggregated information are presented<sup>8</sup>.

*Year to date proportion of EFTS delivered against plan* uses the following definition (Formula 2):

$$\text{Formula 2: } \frac{\text{EFTS delivered and awaiting delivery year-to-date}}{\text{Total EFTS delivered and awaiting delivery planned or actual}}^9$$

*Year to date proportion of EFTS delivered as a percentage of total* uses the following definition (Formula 3):

$$\text{Formula 3: } \frac{\text{EFTS delivered and awaiting delivery year-to-date for funding category}}{\text{Total EFTS delivered year to date}}$$

*Range 4 year high (and low)* is the highest (and lowest) proportion over the preceding four year period as at the year-to-date period being reported e.g. April or August.

The *% below own range (or above)* is the number of Tertiary Education Organisations in the sub-sector who are above (or below) their 4 year range divided by the number of Tertiary Education Organisations in the sub-sector who (a) have a four year range and (b) have planned to deliver in the category being reported.

## Year to date mix of provision by NZSCED code and Register Level

This section of the report shows the year to date EFTS delivered and awaiting delivery for a number of subsets. Three views are shown:

- Mix of provision against plan - NZSCED category
- Mix of provision against plan –Register Level
- Mix of provision against plan – Qualification

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<sup>7</sup> This information is derived from the funding category field in the SDR.

<sup>9</sup> Planned EFTS is used for current year calculations and actual EFTS for prior year calculations.

Definitions and calculations of main elements

*Proportion of EFTS* uses the following definition (Formula 4):

**Formula 4:** 
$$\frac{\text{EFTS delivered and awaiting delivery year-to-date for X}}{\text{Total EFTS delivered and awaiting planned or actual for X}^{10}}$$

Where X is:

- NZSCED - a broad category field from the New Zealand Standard Classification for Education associated with qualifications;
- Register Level – level on the New Zealand Register of Quality Assured Qualifications<sup>11</sup>; and
- Qualification - a combination of edumis numbers and qualification code that identifies a unique qualification at a Tertiary Education Organisation.

*Range 4 year high (and low)* is the highest (and lowest) proportion over the preceding four year proceeding period as at the year-to-date period being reported.

The *% below own range (or above)* is the number of Tertiary Education Organisations in the sub-sector who are above (or below) their 4 year range divided by the number of Tertiary Education Organisations in the sub-sector who (a) have a four year range and (b) have planned to deliver in the category being reported.

**Note:** the EFTS calculation at NZSCED and Register Level uses the category and level of the qualification and not the course. For example, if a student enrolls in a course at level three, but the course is part of a qualification at level four, these EFTS are counted toward the level four qualification.

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<sup>10</sup> Planned EFTS is used for current year calculations and actual EFTS for prior year calculations.

<sup>11</sup> This should not be confused with Qualification Level which is used for a number of Key Performance Indicators. Qualification level is derived from Qualification Award Category Codes.

## KEY PERFORMANCE INDICATORS (KPIs)

### Participation and provision

This section of the draft Progress Monitoring Report presents participation and provision KPIs. Participation and provision is indicated by the proportion of EFTS delivered and awaiting delivery year-to-date or full year at a Tertiary Education Organisation (and sub-sector) within certain groups of interest. The groups of interest may include age, ethnicity, and qualification level (based on Qualification Award Category Codes)<sup>12</sup>. The Key Performance Indicators year-to-date KPI value is calculated on an EFTS delivered and awaiting delivery basis. Historical full year information is also provided.

The participation and provision Key Performance Indicators for each sub-sector are listed in Table 3.

**Table 3 - Participation and provision indicators**

Sub-sector	Indicators
Universities	<ul style="list-style-type: none"> <li>Proportion of sub-degree EFTS provision</li> <li>Proportion of EFTS for degree, graduate diploma and post-graduate qualifications for students aged under 25</li> <li>Proportion of EFTS for Māori students</li> <li>Proportion of EFTS for Pacific peoples students</li> </ul>
Institutes of Technology and Polytechnics	<ul style="list-style-type: none"> <li>Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees, and graduate diplomas</li> <li>Proportion of EFTS for level 4 and above qualifications for students aged under 25</li> </ul>
Wānanga	<ul style="list-style-type: none"> <li>Proportion of EFTS at level 4 and above qualifications</li> <li>Proportion of EFTS for level 4 and above qualifications for students aged under 25</li> <li>Proportion of EFTS at level 4 and above qualifications for Māori students</li> </ul>
Private Training Establishments/Other Tertiary Education Providers	<ul style="list-style-type: none"> <li>Proportion of EFTS for level 4 and above qualifications for students aged under 25</li> <li>Proportion of EFTS for Māori students</li> <li>Proportion of EFTS for Pacific peoples students</li> </ul>

#### Definition and calculation of KPIs and supplemental information

The participation proportions for any group of interest uses the following definition

**Formula 5:** 
$$\frac{\text{Year-to-date EFTS delivered and awaiting delivery}}{\text{Total EFTS delivered and awaiting delivery}}$$
 for a specific group of interest<sup>13</sup>

<sup>12</sup> This should not be confused with Register Level that is used for elements of the mix of provision for some sub-sectors. Register Level is the level on the New Zealand Register of Quality Assured Qualifications.

<sup>13</sup> Please note that for Wānanga the indicator measuring Māori at diploma level 4 and above, the denominator includes the total number of consumed EFTS for Māori students only.

The formula above is applied to the dimensions specific to each of the KPIs for each sub-sector. Full year information is calculated by substituting full year information for year-to-date information in the above formula.

*Variance range last 4 years (year-to-date to actual)* is the maximum range of variation from year to date to full year over the preceding four years.

*Year to date variance from outcome commitment* is the absolute difference between the year to date proportions for the KPI and the outcome commitment in the Plan.

*Sub-sector distribution summary* contains measures of central tendency and variation for the distribution of the individual Tertiary Education Organisation actuals. Standard calculations are used for an arithmetic mean, median, upper quartile, lower quartile, standard deviation, and range<sup>14 15</sup>.

*Sub-sector distribution* is a plot of the year to date proportions for individual Tertiary Education Organisations in the sub-sector<sup>16</sup>.

*Sub-sector* and *sector proportion* sums the information from Tertiary Education Organisations in the sub-sector or sector and calculates the year to date proportion.

**Note:** the EFTS calculation at qualification level uses the level of the qualification and not the course. For example, if a student enrolls in a course at level three, but the course is part of a qualification at level four, these EFTS are counted toward the level four qualification.

**Note:** for the indicators including an ethnicity dimension, the EFTS for students identifying the ethnicity category is compared to all EFTS.

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<sup>14</sup> Note that Private Training Establishments and Other Tertiary Education Providers are treated as one sub-sector in the draft Progress Monitoring Reports.

<sup>15</sup> For the Wānanga sector the draft Progress Monitoring Report uses all Tertiary Education Institutions to provide a distribution of Tertiary Education Organisations because there are insufficient numbers of wānanga to produce useful descriptive statistical information.

<sup>16</sup> Note that Private Training Establishments and Other Tertiary Education Providers required to produce a Plan in 2008 are included.

## DIMENSIONS USED IN VOLUME OF DELIVERY AND MIX OF PROVISION AND KPIS

The following dimensions, with associated categories, are used to provide selected information for the Investment Guidance KPIS and to produce the Volume of Delivery and Mix of Provision. The lowest-level categorisations are described below, and where these categories are aggregated, the sum of the individual categories is determined before values (e.g. proportions or rates) are calculated.

All demographic information used in the analyses is the most recent demographic information obtained from each provider. Where a student has been enrolled with more than one provider, the most recent demographic information from that provider is used to provide a view of the provision and outcome.

**Important:** the characteristics of either the provision or the student are integrated into the dataset before it is processed. These same characteristics are then retained with the record being analysed through the transformation of the records.

### Qualification level

The Qualification Award Category Codes (QACCs) are used in most KPIS to identify the level of the study. As illustrated in Table 6 below the codes are grouped together to reflect provision occurring at a similar level, and are equivalent to the SDR Manual groupings<sup>17</sup>.

**Table 4: Qualification level groupings<sup>18</sup>**

Qualification level grouping	Qualification Award Category codes	Register level
Non-formal	Not applicable: excluded from KPI data	NA
1-3 Certificates	Codes 40, 41, 46, 60, and 98 <sup>19</sup>	Level 1-3
4 Certificates	Codes 36, 37, and 43	Level 4
5-7 Diplomas	Codes 30, 31, 32, 33, 34, and 35	Level 5-7
7 Degrees/Graduate Diplomas	Codes 20, 21, and 25	Level 5-7
8-9 Postgraduate	Codes 11, 12, 13, and 14	Level 8-9
10 Doctoral	Codes 01, and 10	Level 10

### Age

The age of a student is used in a number of KPIS to identify outcomes for defined groups. A student's age is calculated from the date of birth obtained from the SDR Student File, Field 1.4<sup>20</sup>. The most recent date of birth associated with a National Student Number is selected, and the age

<sup>17</sup> Refer SDR Manual 2008 Appendices, V 10.5, p. 38-39.

<sup>18</sup> Sub-degree categories in the draft Progress Monitoring Report include QACCs 40, 41, 46, 60, 98, 36, 43, 30, 31, 32, 33, 33, 34, 35.

<sup>19</sup> STAR, QACC 96, are removed from all data.

<sup>18</sup> Refer SDR Manual 2008, V 10.5, p. 39.

<sup>20</sup> Refer SDR Manual 2008, V 10.5, p. 39.

in whole years is calculated for the year being examined (cohort year). Age is determined as at 1 July in that year, and rounded down to a whole number. Age is determined at 1 July each year because this provides the average age of the individual in any given year, and is consistent with existing SDR practice.

## Ethnicity

Ethnic classifications are used to measure outcomes for student groups. Only two ethnic based student groups are used in the analysis; Māori and Pacific peoples students. The ethnic codes included in the ethnicity categories for dates before 2007 and from 2007 onwards are identified in Table 5.

Grouping	Codes from 2007 onwards	Codes before 2007
European	111, 121-129	01
Māori	211	20
Pacific peoples students	311, 321, 331, 341, 351, 361, 371	31, 32, 33, 34, 35, 36, 37
Asian	411-414, 421, 431, 441-444	51, 52, 68
Other	511-611	89
No response/not stated	999	99

**Table 5: Ethnicity categories used in the analysis with Pre-2007 and 2007 and onwards codes mapped to groupings**

Tertiary Education Organisations report up to three ethnic codes for a student with each Student File<sup>21</sup>. All reported ethnicities are used in the analysis, with a record being created for every ethnicity identified that relates to an ethnic category. The denominators used in calculating the proportions relates to the total population being examined.

For example, if a student undertaking 0.80 EFTS in 2004 identified themselves under ethnic codes for Māori and Pacific Peoples students, 0.80 EFTS would be counted under an indicator reporting the proportion of EFTS for Māori students and another 0.80 EFTS under an indicator reporting the proportion of EFTS for Pacific peoples students. However, please note that if the student identified themselves as both Niuean, code 04, and Tongan, code 05, these ethnic codes would be grouped into Pacific peoples students and would be counted only once in the indicators.

The most recent SDR submission is used to identify the last ethnic codes for the student at the provider.

**Important:** in-line with current Statistics New Zealand practice, this method ignores the ethnic-code priority field from pre-2007 SDR returns.

## New Zealand Standard Classification for Education

The New Zealand Standard Classification for Education (NZSCED) Code identifies the field of study of a Qualification. The NZSCED Code is a six digit code made up of 3 sets of 2 digits. The first two digit set specifies the broad field of study for example Health or Information Technology. The second two digit set gives a narrower, finer categorisation of the field of study. The third two digit set is the finest categorisation.

For example the NZSCED Code 070105 is categorised as follows:

<sup>21</sup> Refer SDR Manual 2008, V 10.5, p. 60.

07 - Health

01 - Teacher Education

05 - Teacher Education: Secondary (Pre-Service)

The broad field is used in Mix of Provision analysis and uses only the broad field of study (the first two digit set) for aggregation.

## **Funding Category**

The Funding Category is a two-character code that uniquely identifies Student Achievement Component funding categories. The field is an alpha-numeric combination of funding category and funding degree research status. The alpha code groups courses classified on the 1-39 course classification prescription. Funding degree and research status (the numeric code) classifies courses into non degree, undergraduate degree, taught post-graduate, research-based post-graduate, and foreign research-based post-graduate. The combination of funding category and funding degree/research status is associated with a funding rate<sup>22</sup>.

## **Register Level (NQF Level)**

The Register Level describes the level of content of each qualification on the New Zealand Register of Quality Assured Qualifications<sup>23</sup>. Register Level contains 10 levels and ranges from 1–10. Missing values and invalid values (values of 0) exist and are included in the draft Progress Monitoring Reports.

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<sup>22</sup> Details of the funding categories, the 1-39 course classification prescription, funding degree research status classification, and funding rates are published in the TEC's website under 2008 Tertiary Funding Information.

<sup>23</sup> Note that Register level was referred to as NQF Level in some baseline material provided in 2007.

## APPENDIX A: OPERATIONAL METHODOLOGY

### Introduction

This appendix provides detail on operational procedures used to produce the draft Progress Monitoring Reports (draft Progress Monitoring Reports). It contains the following sections

- Introduction - introducing and providing the overview of transformation processes;
- Source data - describes the source data used;
- Common steps for deriving the core datasets used – introduces the common data steps that are used by other parts of the data processing
- Processing steps for deriving the core datasets - contains diagrams and steps for production of source data tables;
- Graphs and tables - mix of provision (draft Progress Monitoring Report Section 2) - contains detailed steps for the production of each of the graphs and tables for the mix of provision in the draft Progress Monitoring Report; and
- Graphs and tables - KPIs mix of provision (draft Progress Monitoring Report Section 2) - contains detailed steps for the production of each of the graphs and tables for the mix of provision in the draft Progress Monitoring Report.

The draft Progress Monitoring Reports use five separate sets of data. Figure 3 illustrates, at a high-level, the data transformation process used to produce each part of the report. This appendix describes the process from the source data used (the left of the diagram) through to the production of indicators in the draft Progress Monitoring Reports (the right of the diagram).

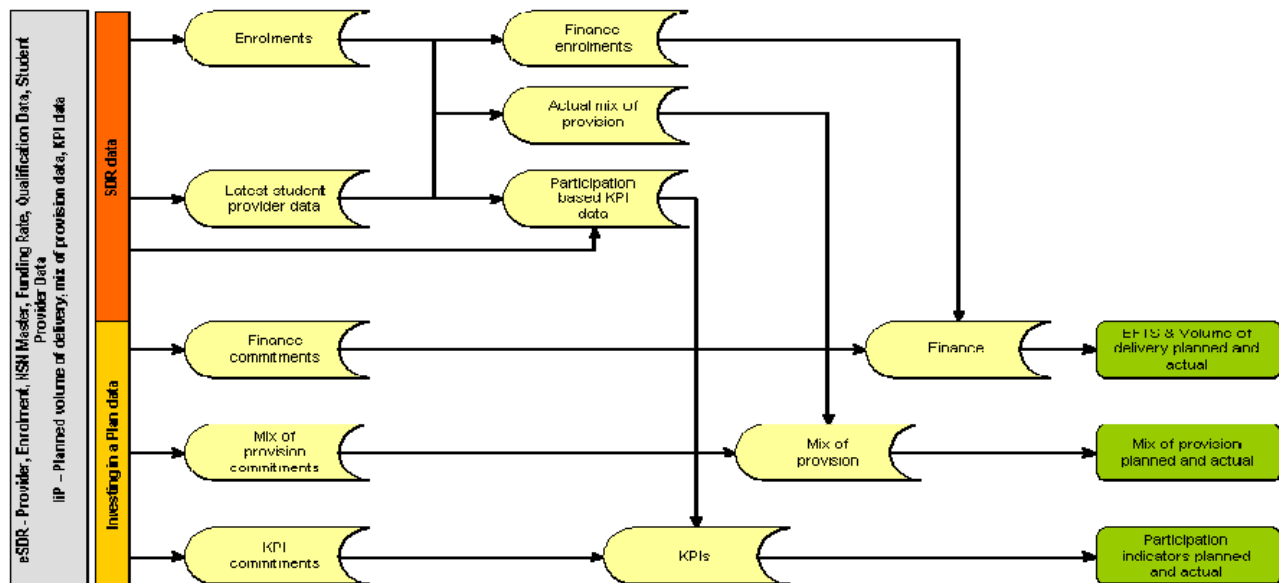


Figure 3: Data transformation process

This appendix uses technology independent code (pseudo-code) to assist Tertiary Education Organisations in replication they may do. This approach allows the processing to be accurately described independently of technology or tools.

Definitions of algorithms used within the processing have been described first (in the common steps for deriving the datasets) as they are used multiple times throughout.

## Source data

This section describes the data sources that have been used to generate the draft Progress Monitoring Reports. The data sources included:

- Single Data Return (SDR) database
  - stores the Single Data Returns that Tertiary Education Organisation (Tertiary Education Organisations) supply to the Ministry of Education (MoE) as extracts from their Student Management Systems (SMSs).
- Invest in a Plan (IIP) database
  - the repository for data that is collected by the KPI and Mix of Provision (MoP) Commitment Capture tools and is used for reporting the progress of Tertiary Education Organisations against Investment Plans.
- Tertiary Contact Management (TCM)
  - this records the actual payments made to Tertiary Education Organisations and has been used to supplement the PTE data where other data sources were not complete or correct.

Each of these data sources is described below in more detail.

### Single Data Return and Qualification Register

The information presented in the draft Progress Monitoring Reports is derived primarily from the data contained in the SDR. A brief description of the SDR is given below. For full details please see the SDR Manual (<http://cms.steo.govt.nz/Downloads/showall.htm>).

The SDR is a database that incorporates all the data items and information specifically required by the TEC and MoE to provide funding to Tertiary Education Organisations and for statistical reporting purposes. The SDR database acts as a central repository for the collection, processing, and delivery of information from Tertiary Education Organisations to education agencies. The information is required to be completed by all Tertiary Education Organisations that receive Student Achievement Component funding<sup>24</sup> and/or have students with Student Loans or Allowances and is used to monitor performance against delivery and outcome commitments in Tertiary Education Organisation Investment Plans (or Funding Agreements).

The SDR requires from Tertiary Education Organisations the unit-record data obtained from their SMSs at set intervals throughout the year (SDR data submitted within a year can be referred to as a Round). The SDR (also referred to as Return) is the single dataset provided by Tertiary Education Organisations at intervals throughout the year, which consist of multiple files:

- Student File
- Course Enrolment File
- Course Register File
- Course Completion File, and

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<sup>24</sup> Formerly known as Equivalent Full Time Student funding.

- Qualification Completion File.

With the exception of the Qualification Completion file each Return within a calendar year is expected to be cumulative (for the required or updated Files) therefore all of the April data submitted will be sent in the August data (note that the April data in the August Return will have updated values). The Qualification Completion file is not cumulative e.g., Completions may be in the April Return but not in the December Return.

Each time a Return is received from a Tertiary Education Organisation it is processed and checks are performed to ensure that the data meets the specifications and requirements of the SDR Manual. If the specification and requirements are not met then the Tertiary Education Organisation will be requested to re-submit the data until it is successfully processed. When the data is processed successfully it is then ready to be used for analysis. Multiple submissions have the effect of the SDR containing multiple versions of Returns for Tertiary Education Organisations for specific time periods. Each time a Return is submitted all of the information is allocated a unique Return sequence number to distinguish the Files from other Returns.

The data submitted by Tertiary Education Organisations is then made available to the TEC and the MoE via a database known as the eSDR.

#### Enrolment data

Enrolment data is derived from the Course Enrolment File and the Student File for each Return Period. The Course Enrolment and Student Files are linked for the same SDR to associate the NSN with the Enrolment information. Within the SDR database the fields identified in Table 6 are renamed from the SDR.

SDR File (reference) <sup>25</sup>	Draft Progress Monitoring Report Reference	Field description
INSTIT	Provider Code	A four digit code assigned by the MoE to uniquely identify each Tertiary Education Organisation
QUAL	Qualification Code	The field identifies the Qualification code relating to a quality assured qualification
FUNDING	Funding Source	Code identifying the source of funding that supports the student's enrolment in the course
CRS_SRT	Start Date	Start Date of the Students course in the current or previous academic year. This date is the officially notified beginning date of instruction and/or structured supervision associated with each student's course at a recognised Tertiary Education Organisation
CRS_END	End Date	End Date of the student's course. This will normally be the officially notified end date of instruction and/or examination associated with a course. If a course spans the end of the normal academic year the last date will be for the following year
CATEGORY	Funding Category	Two character code assigned by the MoE to uniquely identify student component funding

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<sup>25</sup> Refer SDR Manual 2007, V 9.2, File Specifications - Course Enrolment File, p. 29.

SDR File (reference) <sup>25</sup>	Draft Progress Monitoring Report Reference	Field description
		categories
CLASS	Course Classification	Four character code assigned by the MoE to uniquely group courses into subject classifications
EFTS_MTH	EFTS	Sum of each portion of the course EFTS factor for each month of enrolment for all students in the reporting period
	Return Period	Six digit number in the format YYYYMM describing the year and month of the SDR for example 200804 represents the April 2008 return

**Table 6: SDR Enrolment Fields**

### Qualification data

Qualification data is from the qualification table in the SDR database. This table is populated from the Qualification Register. The Qualification Register is created from submissions to the Services for Tertiary Education Organisations secure website by providers for qualifications they are offering. Below is a table (Table 7) translating the fields populated in the submission of qualifications to the STEOs secure website form and what they are referred to in the creation of the KPIs.

Field name in STEO	Draft Progress Monitoring Report Reference	Field Descriptions
Qualification Code (PC Code)	Qualification Code	Code that uniquely identifies a Qualification within a Provider
Award Category	Program Award Code/Qualification Award Category Code	Detailed categorisation of the Qualification Award Level
NQF Level/National Qualification Level	Register Level (NQF Level)	Describes the level qualification on the NZ Register of Quality Assured Qualifications.
NZSCED	Broad NZSCED Code	The first two digits of the NZSCED Code are used to calculate the Broad NZSCED Code.

**Table 7: STEO linked fields**

### Provider data

Provider data is from the MoE's EDUMIS system, which is transferred into the SDR dataset.

### Student data

Enrolment data is extracted from the Course Enrolment File and the Student File for each Return Period. The Course Enrolment and Student Files are linked for the same SDR to associate the NSN with the Enrolment information. Within the SDR database the fields identified in Table 6 are renamed from the SDR.

SDR File (reference) <sup>26</sup>	Draft Progress Monitoring Report Reference	Field description
INSTIT	Provider Code	A four digit code assigned by the MoE to uniquely identify each Tertiary Education Organisation
GENDER	Gender	A code to identify the Gender of a Student. Used to Categorise Gender Groups
DOB	DOB/Date-of-Birth	Day, Month and Year of the birth of the Student. Used to categorise
NSN	NSN	Number which uniquely identifies the student within and across Providers
ETHNIC	Ethnicity1 Ethnicity2 Ethnicity3	This code identifies the students Ethnicity. Up to three Ethnic Codes can be entered. This field is used to categorise the Ethnic Groups

**Table 8: SDR Student Fields**

### Reference information

The data sources identified in Table 9 were used at various stages in transforming the data and are referenced at various points in the calculation tables.

Reference Table	Description	Source
Course Data	Summary table with details about each course	SDR
Qualification Data	Summary table with details about each qualification	Qualification Register
Master NSN Data	To update SN information	NSI database managed by MoE
Latest Student Provider Data	Summary table with demographic information about each student	SDR

Table 9: Tables used matched to Data Source

### **Invest in a Plan (IIP)**

The IIP Database is the repository for the Plan data that is collected by the KPI and MoP Commitment Capture tools. Commitment information is extracted to be compared with year-to-date

<sup>26</sup> Refer SDR Manual 2007, V 9.2, File Specifications - Course Enrolment File, p. 29.

information. As an interim measure for the first investment round a number of predominately spreadsheet based capture tools were used. These tools can broadly be divided into:

- Key Performance Indicator;
- Mix of provision - costed; and
- Mix of provision - NZSCED, Register Level, and qualification.

The data generated from these tools are described below.

#### Key Performance Indicator (KPI)

KPI collection tools were structured around the TES shifts and priorities for the sub-sector that the Tertiary Education Organisation belongs to. A sheet within the tool was used for each shift/priority and for KPIs relating to the three year outlook in the Plan. Both KPIs defined in the Baseline Monitoring Report methodology paper and Tertiary Education Organisation defined KPIs were included. Figure 2 in the introduction provides further detail on the types of KPIs that could be included in Plans within the KPI collection tool. The draft Progress Monitoring Report includes those that are defined in the Baseline Monitoring Report methodology, and which are EFTS based, and it is the data relating to this set that is described here.

Table 10 below describes the fields contained in the KPI collection tool and the reference used in to describe the information drawn from the liP database for the draft Progress Monitoring Report.

Field name in KPI Capture Tool	Draft Progress Monitoring Report Reference	Field Descriptions
Baseline Monitoring Report Ref.	Baseline Monitoring Report Table Reference	Code that identifies the corresponding table in the Baseline Monitoring Report.
Plan KPI	Plan KPI Text	Text description of the KPI Commitment
Outcome Commitment	Outcome Commitment Value	Value entered by the Provider for the corresponding KPI
Outcome Commitment Year	Year (Return Year)	Year of Outcome Commitment
Historic Base Year	Year (Return Year)	Year of Historical Actual Value
Historic Result	Historic Actual	Historic Value calculated from SDR in the case of PTEs and OTEPs; and populated by the Tertiary Education Organisation in the case of TEIs

**Table 10 – liP KPI Commitment Fields**

#### Mix of provision - costed

Collection of Plan information on the mix of provision for Universities, ITPs, wānanga, PTEs and OTEPs included the costing of the mix of provision. For Universities ITPs, and wānanga this

information included EFTS by funding category. For PTEs and OTEPs this information included EFTS and dollars per qualification. At the time of the production of the draft Progress Monitoring Report some Plan information collected for PTEs and OTEPs needed to be updated to align with final allocations. Because of this, information on total funding per PTE or OTEP was drawn from the Tertiary Contact Management database and substituted for the costed mix of provision for PTEs and OTEPs. Table 11 below describes the fields contained in this mix of provision collection tool and the reference used to describe the information drawn from the IiP database for the draft Progress Monitoring Report. The costed mix of provision data extracted from IiP is referred to later in this reports as “finance data”.

Finance Data	Draft Progress Monitoring Report Reference	Field Description
EDUMIS	Provider Code	A four digit code assigned by the MoE to uniquely identify each Tertiary Education Organisation
Year	Reporting Year	Corresponding Reporting Period (Historical or year of Commitment)
Fund Category	Funding Category	Two Character code to uniquely identify Student Achievement Component (SAC also known as Student Component Funding) categories
Qualification Code	Qualification Code	Identifies the Qualification code relating to a Quality Assured Qualification
EFTS	EFTS	EFTS Actuals/Commitment for the corresponding year
Funded Amount	Funded Amount	Actual/Commitment Amount of funding for the corresponding Year

**Table 11: Mix of Provision Costed**

Mix of Provision - NZSCED, Register Level, and Qualification

Collection of Plan information for the mix of provision for ITPs, wānanga, PTEs, and OTEPs included the EFTS to be delivered by board NZSCED category and by Register level. For PTEs and OTEPs the EFTS for each individual qualification were also included. Table 12 below describes the fields contained in this mix of provision collection tool and the reference used in to describe the information drawn from the IIP database for the draft Progress Monitoring Report.

Field name in MoP Capture Tool	Draft Progress Monitoring Report Reference	Field Descriptions
--------------------------------	--	--------------------

Qualification Broad NZSCED	Broad NZSCED Code	The first two digits of the NZSCED Code are used to calculate the Broad NZSCED Code.
NQF Level	Register Level (NQF Level)	Describes level of content of each qualification the NZ Register of Quality Assured Qualifications.
Qualification Code	Qualification Code	Code that uniquely identifies a Qualification within a Provider
Qualification Title	Qualification Title	The Title of the Qualification
Year	Year (Return Year)	Year of Plan Commitment

**Table 12– liP MoP -NZSCED, Register Level, and Qualification Commitment Fields**

### Tertiary Contact Management (TCM)

The TEC maintains a database to assist in the management of contact with Tertiary Education Organisations. This Tertiary Contact Management (TCM Database) database holds information such as the allocation for each Tertiary Education Organisation for components and funds and payments made with respect to these. As noted above, the allocation information was used in the draft Progress Monitoring Report for PTEs and OTEPs to substitute for a costed mix of provision. Table 13 below describes the fields contained in TCM that have been used. In the future the TEC intends to draw payment information from this database for inclusion in draft Progress Monitoring Reports.

TCM Data	Draft Progress Monitoring Report Reference	Field Description
EDUMIS	Provider Code	A four digit code assigned by the MoE to uniquely identify each Tertiary Education Organisation
Fund Name	Funding Source	Code identifying the source of funding that supports the student's enrolment in the course
End Date Year	Reporting Year	Identifies the Year to which the data relates
Approved Amount	Funded Amount	Planned or Actual amount funded including GST
Approved Amount GST	Funded Amount	Planned or Actual amount funded excluding

**Table 13 TCM fields used for costing**

## Common Steps/Algorithms/Mappings for deriving the core datasets

The following sections and tables outline the common data steps that are used by other parts of the data processing methodology.

### Appending Data

Ensure that all Column Names and Attributes are the same for two datasets. Then add the rows of the second table to the bottom of the first table.

Therefore if the row count of Table X is 50 and the row count of table Y is 75 then the row count of the resulting table is 125.

X	Y	Z
1	A	Fish
2	B	Duck

**Table 14 - Appending Data - Example Table 1**

X	Y	Z
3	C	Bear
4	D	Goat

**Table 15 - Appending Data - Example Table 2**

X	Y	Z
1	A	Fish
2	B	Duck
3	C	Bear
4	D	Goat

**Table 16 - Appending Data - Example Table 1 Appended with Table 2**

### Merging Data

Merging data is useful when two tables share some common columns and some matching occurs.

Merging Data could be described as joining data 'Horizontally'

Example of merging data:

A	B	C
1	A	Fish
2	B	Duck
3	C	Baboon

**Table 17 - Merging Data - Example Table 1**

B	C	D
A	Fish	Water
B	Duck	Air
B	Goat	Land

**Table 18 - Merging Data - Example Table 2**

A	B	C	D
1	A	Fish	Water
2	B	Duck	Air
3	C	Baboon	NULL
NULL	B	Goat	Land

**Table 19 - Merging Data - Example of Table 1 and 2 Merged on Columns B and C**

## Cleaning Values

The data is cleaned and processed in a standardised way to ensure consistency of the values across steps, tables and providers, and to remove erroneous values in a consistent way. The following table describes the standard process used for cleaning values.

Task	Method/code
Cleaning Character Values	IF the value is not null THEN <ul style="list-style-type: none"> <li>• remove</li> <li>• carriage returns</li> <li>• line feeds</li> <li>• quotes</li> <li>• preceding or trailing blanks</li> </ul>
	IF Set to Upper Case required THEN Set to Upper Case
	Set the length of the variable
Cleaning Date Values	IF the value is not null THEN apply date format
Cleaning Numeric Values	The length of the Numeric Value is set (depending on degree of accuracy required)

**Table 20 - Cleaning Values**

## Assign Current Provider Codes to Merged Providers

Merging of data is required for some providers who submit SDR information under separate Provider Codes. Some data may be duplicated over merged providers, therefore the Provider Codes need to be prioritised so that the 'best' data is used where duplicates occur. The following table describes the way in which provider codes are merged.

Task	Method/code
Assign Current Provider Codes to Merged Providers	The Original Provider Code is stored in another column so that it may be referenced if required.
	<pre> IF Provider Code is an old code THEN     Set to New Code     Assign a low priority ELSE     Assign a high priority                     </pre>

**Table 21 - Assign Current Provider Codes to Merged Providers**

### Qualification Award Level Categorisation

The following table describes the way in which qualification codes are categorised.

Task	Method/code
Classify QACC codes into groups with appropriate labels.	<pre> IF      QACC IN ('40','41','46','60','96','98')     THEN '1-3 Certificates' ELSE IF QACC IN ('36','37','43')     THEN '4 Certificates' ELSE IF QACC IN ('30','31','32','33','34','35')     THEN '5-7 Diplomas' ELSE IF QACC IN ('20','21','25')     THEN '7 Degrees/Grad-Dip' ELSE IF QACC IN ('11','12','13','14')     THEN '8-9 Postgraduate' ELSE IF QACC IN ('01','10')     THEN '10 Doctorates' ELSE 'Non-Formal'                     </pre>

**Table 22 - Qualification Award Level Categorisation**

### Identifying Duplicates

The following table describes the standard way in which duplicates are identified:

Task	Method/code
Sort the data	Order the Data by Primary Key Variables then by the prioritised Variables
Identify the 1 <sup>st</sup> record and treat the rest as duplicates	Parse the data in order, flagging only the first combinations of Primary Key Variables as Non-Duplicates

Task	Method/code
	Flag all other rows as duplicates

**Table 23 - Identifying Duplicates**

### Identify Latest Student Record per Provider

The Latest Student record per Provider is used to ensure consistent reporting over years, as well as to best enable reconciliation with Provider data and TEC data. The following table describes how this is achieved.

Tasks	Method/ code
	Calculate the Maximum SDR Return Period per Year
	Filter for only data in the Maximum SDR Return Period per Year
	Order the Data by Master NSN and Provider Code then by Year Descending
	Parse the data in order, flagging only the first combinations of NSN and Provider Code as Latest in Year
	Flag all other rows as not Latest in Year

**Table 24 - Identify Latest Student Record per Provider**

### Removing Duplicated Cases

The following table describes how duplicates are removed:

Task	Method/code
Remove Duplicate Ethnicities	<pre> IF Ethnicity2 &lt;&gt; Ethnicity1     THEN Ethnicity2 = Ethnicity2 ELSE     Ethnicity2 = NULL IF Ethnicity3 &lt;&gt; Ethnicity1 AND Ethnicity3 &lt;&gt; Ethnicity2     THEN Ethnicity3 = Ethnicity3 ELSE     Ethnicity3 = NULL                     </pre>
Remove Duplicate Ethnic Groups	<p>Duplicate Ethnic Group values may occur due to Students being associated with multiple ethnicities within an ethnic group (see Ethnic Group Categorisation). Duplicates should be removed for reporting.</p> <pre> IF Ethnic Group2 &lt;&gt; Ethnic Group1     THEN Ethnic Group2 = Ethnic Group2 ELSE     Ethnic Group2 = NULL IF Ethnic Group 3&lt;&gt; Ethnic Group 1AND Ethnic Group 3&lt;&gt;                     </pre>

Task	Method/code
	<p style="text-align: center;">Ethnic Group 2</p> <p style="text-align: center;">THEN Ethnic Group3 = Ethnic Group3</p> <p>ELSE</p> <p style="text-align: center;">Ethnic Group3 = NULL</p>

**Table 25 - Removing Duplicated Ethnicites and Ethnic groups**

### Ethnic Group Categorisation, Age group Categorisation, Gender Categorisation

The following table describes the classification of ethnicity codes.

Task	Method
Ethnic Group Categorisation	<p>IF Ethnicity = '01'</p> <p>OR Ethnicity BETWEEN '100' and '199')</p> <p style="padding-left: 40px;">THEN 'European'</p> <p>ELSE IF (Ethnicity IN ('20','211'))</p> <p style="padding-left: 40px;">THEN 'Māori'</p> <p>ELSE IF (Ethnicity IN ('31','32','33','34','35','36','37')</p> <p style="padding-left: 40px;">OR Ethnicity BETWEEN '300' and '399')</p> <p style="padding-left: 40px;">THEN 'Pacific Peoples'</p> <p>ELSE IF (Ethnicity IN ('51','52','68')</p> <p style="padding-left: 40px;">OR Ethnicity BETWEEN '400' and '499')</p> <p style="padding-left: 40px;">THEN 'Asian'</p> <p>ELSE IF (Ethnicity = '89'</p> <p style="padding-left: 40px;">OR Ethnicity BETWEEN '500' and '699')</p> <p style="padding-left: 40px;">THEN 'Other'</p> <p>ELSE 'Unspecified'</p>
Age Group Categorisation	<p>IF DOB IS NULL</p> <p style="padding-left: 40px;">THEN 'Missing'</p> <p>ELSE IF (Year of Enrolment Start Date - Year of DOB) &lt; 18</p> <p style="padding-left: 40px;">THEN 'Under 18'</p> <p>ELSE IF (Year of Enrolment Start Date - Year of DOB) BETWEEN 18 and 19</p> <p style="padding-left: 40px;">THEN '18 - 19'</p> <p>ELSE IF (Year of Enrolment Start Date - Year of DOB) BETWEEN 20 and 24</p> <p style="padding-left: 40px;">THEN '20 - 24'</p>

Task	Method
	<p>ELSE IF (Year of Enrolment Start Date - Year of DOB) BETWEEN 25 and 39</p> <p>THEN '25 - 39'</p> <p>ELSE IF (Year of Enrolment Start Date - Year of DOB) &gt;= 40</p> <p>THEN '40+'</p>

### Master NSN Acquisition

The following table describes the way in which a Master NSN is identified.

Task	Method /code
Search for a Master NSN	Join the Source Data to the Master NSN table by matching the Source Data 'NSN' to the 'Slave NSN' of the Master NSN table.
Use a Master NSN where available	<p>IF a match is made THEN use the 'Master NSN' from the Master NSN table</p> <p>ELSE use the Source Data 'NSN'</p>

**Table 26 - Master NSN Acquisition**

## Processing Steps for Deriving Core Datasets

### Processing Step - Activity Data

This section describes the processing steps that are undertaken to create the core datasets for Enrolment and Monthly Consumption data.

#### NSN Master

The NSN Master data contains the Master NSN for students that have been assigned temporary NSNs or who have had records merged. The NSN value allows longitudinal statistics to be calculated. The following table describes the steps undertaken to create the Master NSN table.

Task	Method/code
Create the <b>Master NSN Table</b>	All NSN Slave to Master data is imported
	The data is cleaned as per Cleaning Values. No further processing of the data values is performed
	<p>The <b>Master NSN Table</b> is created (see top middle of Figure 4).</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Slave NSN</li> <li>○ Master NSN</li> </ul>

Task	Method/code

**Table 27 - Create the NSN Master table**

Qualification Data

The *Qualification* data contains the Qualification demographics that are used for aggregating calculations.

Task	Method/code
Create the <b>Qualification Table</b>	All Qualification data is imported
	All data is cleaned as per Cleaning Values.
	The Current Provider Codes are assigned to merged Providers.
	Duplicate Qualifications within providers are identified and removed. The uniquely identifying fields are: <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Qualification Code</li> </ul> <p>Note that this does have the potential to merge two different qualifications that had the same qualification code before a Provider merge.</p>
	The <b>Qualification Table</b> is created (see top middle of Figure 4). Table Columns: <ul style="list-style-type: none"> <li>○ Qualification Code</li> <li>○ Qualification Title</li> <li>○ Provider Code</li> <li>○ Qualification Award Level</li> <li>○ NQF Level</li> <li>○ Broad NZSCED Code</li> </ul>

**Table 28 - Create the Qualification Data table**

Student Provider Return Data

The Student data contains the Student demographic data used for aggregating calculations

Task	Method/code
Create the <b>Student Provider Return Table</b>	The Latest SDR for the Reporting Period that has been Submitted/Processed is imported.
	All data is Cleaned as per Cleaning Values (Table 20).
	The Current Provider Codes are assigned to merged Providers. Duplicate Ethnicities are removed (Table 25)
	The Master NSN is acquired from the Master NSN
	Ethnic Groups are assigned and Duplicate Ethnic Groups are removed

Task	Method/code
	Gender Groups are assigned
	Blank NSN Data is removed
	<p>The <b>Student Provider Return Table</b> is created (see bottom middle of Figure 4).</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ NSN</li> <li>○ Provider Code</li> <li>○ Return Period</li> <li>○ Gender Group</li> <li>○ Ethnic Group1</li> <li>○ Ethnic Group2</li> <li>○ Ethnic Group3</li> <li>○ Date of Birth (DOB)</li> </ul>

**Table 29 - Create the Student Provider Return table**

Student Provider Data

The following table describes how the Student Provider Data is created

Task	Method/code
Create the <b>Latest Student Provider Data Table</b>	Duplicates are identified where unique identifiers are Provider Code, NSN and Return Period. Duplicates are removed.
	Data is filtered for only the latest Reporting Period per Reporting Year.
	Data is filtered for only the most recent Student data per Provider (where unique identifiers are Provider Code and NSN) over all Reporting Periods.
	<p>The <b>Latest Student Provider Data Table</b> is created (see bottom middle of Figure 4).</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ NSN</li> <li>○ Provider Code</li> <li>○ Gender Group</li> <li>○ Ethnic Group1</li> <li>○ Ethnic Group2</li> <li>○ Ethnic Group3</li> <li>○ Date of Birth (DOB)</li> </ul>

**Table 30 - Create the Latest Student Provider Data table**

Funding Rate Data

The Funding Rate table contains the Rate at which EFTS are funded at for particular funding categories and reporting periods

Task	Method/code
Create the <b>Funding Rate Table</b>	All Funding Rate Data is imported.
	All data is cleaned as per Cleaning Values
	Funding Rate is adjusted for GST.
	<p>The <b>Funding Rate Table</b> is created.</p> <ul style="list-style-type: none"> <li>○ Table Columns:</li> <li>○ Provider Code</li> <li>○ Starting Reporting Period</li> <li>○ Ending Reporting Period</li> <li>○ Funding Rate Code</li> <li>○ Funding Rate</li> </ul>

**Table 31 - Create the Funding Rate table**

Enrolment Data

The Enrolment data contains the Enrolment demographic data used in many of the calculations for the KPIs (KPIs), Mix of Provision (MoP) and Finance data tables. It also associates Students with Qualifications and Funding Rates.

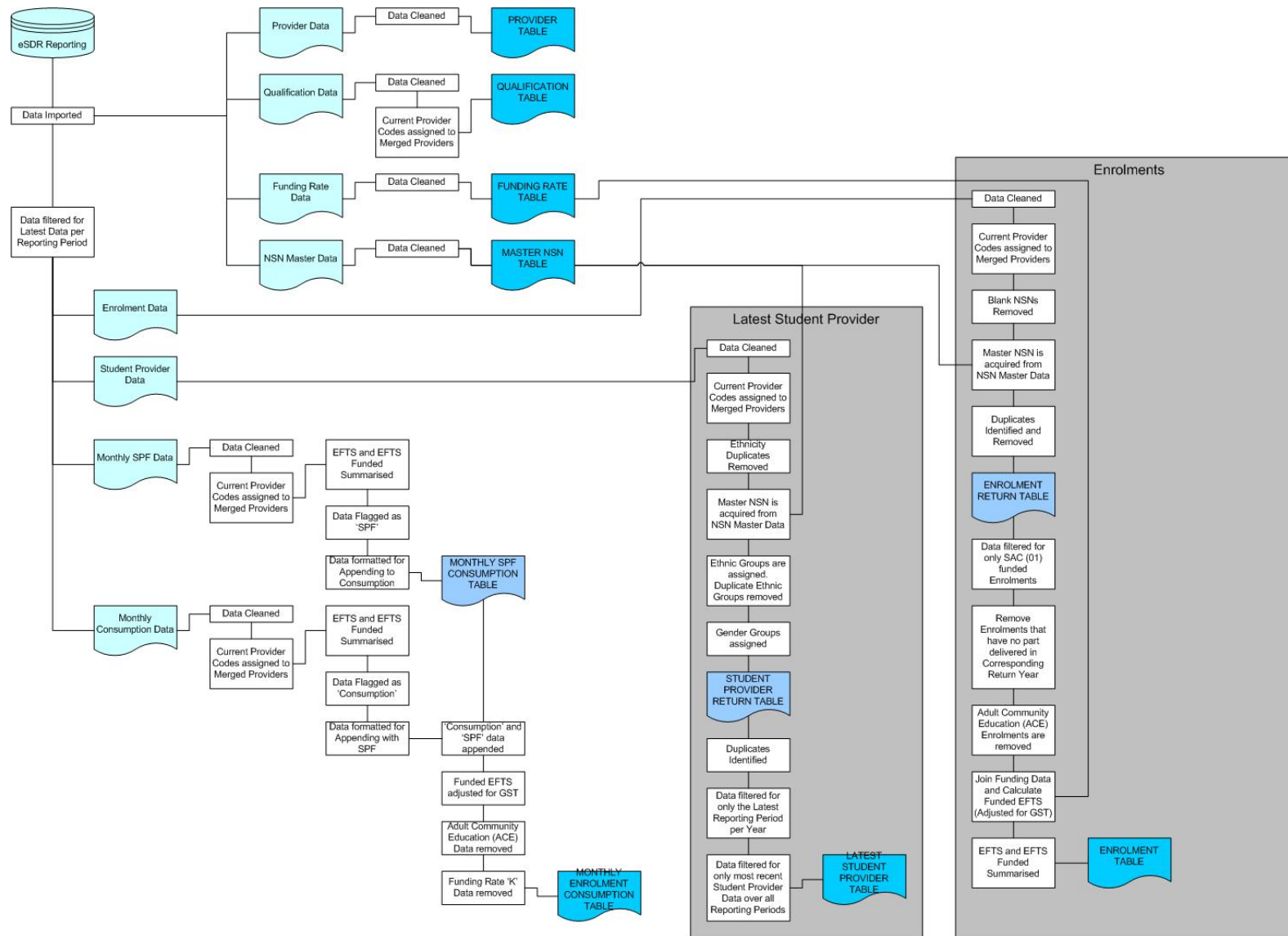


Figure 4 - Create Enrolment Data

Task	Method/code
Create the <b>Enrolment Return Table</b>	Import the latest SDR for the Reporting Period that has been Submitted/Processed.
	All data is Cleaned as per Cleaning Values.
	The Current Provider Codes are assigned to merged Providers
	Blank NSN Data is removed
	The Master NSN is acquired from the Master NSN
	Duplicates are identified where unique identifiers are Provider Code, NSN, Course Code, Return Period, Start Date
	Duplicates are removed
	<p>The <b>Enrolment Return Table</b> is created see Figure 4.</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Qualification Code</li> <li>○ NSN</li> <li>○ Return Period</li> <li>○ EFTS Consumed</li> <li>○ Funded Amount</li> <li>○ Funding Category</li> </ul>
Create the <b>Enrolment Table</b>	Data is filtered for only Student Achievement Component (SAC) Funded Enrolments
	Remove any Enrolments that have no part delivered within the corresponding Return Year (Filter for only data where the Year of Start Date <= Return Year and the Year of the End Date >= Return Year).
	Remove Adult Community Education (ACE) Enrolments
	Join the Funding Rate Table for the associated period and calculate the amount funded by multiplying EFTS by Funding Rate.
	Adjust Funding Amount for GST.
	Summarise the EFTS
	<p>The <b>Enrolment Table</b> is created (see Figure 4).</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Qualification Code</li> <li>○ NSN</li> <li>○ Return Period</li> <li>○ EFTS Consumed</li> <li>○ Funded Amount</li> <li>○ Funding Category</li> </ul>

**Table 32 - Create Enrolment Data Table**

Monthly Strategic Priorities Fund (SPF) Consumption Data

The Monthly SPF Consumption table contains the proportion of enrolments that are funded by SPF Funding, aggregated by Month.

Task	Method/code
Create the <b>Monthly SPF Consumption Table</b>	The Latest SDR for the Reporting Period that has been Submitted/Processed is imported
	All data is Cleaned as per Cleaning Values
	The Current Provider Codes are assigned to merged Providers
	Data is flagged as 'SPF'
	EFTS and Funded EFTS are summarised.
	The Data is formatted to be appended to the <b>Monthly Enrolment Consumption</b> table (see Table 34).
	<p>The <b>Monthly SPF Consumption Table</b> is created (see Figure 4)</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Return Period</li> <li>○ Month</li> <li>○ Funding Rate Code</li> <li>○ Course Class</li> <li>○ EFTS Type ('SPF')</li> <li>○ EFTS Consumed</li> <li>○ Funded Amount</li> </ul>

**Table 33 - ETL - Monthly Strategic Priorities Fund (SPF) Consumption Data**

Monthly Enrolment Consumption Data

The *Monthly Enrolment Consumption Data* contains the consumed EFTS for enrolments, aggregated by Month.

Task	Method/code
Create the <b>Monthly Enrolment Consumption Table</b>	The latest SDR for the Reporting Period that has been Submitted/Processed is imported
	All data is Cleaned as per Cleaning Values
	The Current Provider Codes are assigned to merged Providers
	Data is flagged as 'Consumption'
	EFTS and Funded EFTS are summarised
	The Data is formatted to have the same format as the <b>Monthly SPF Consumption Table</b>
	The Monthly SPF Consumption data is <b>appended</b> to the <b>Monthly SPF Consumption Table</b>
	Funded EFTS are adjusted for GST
	Adult Community Education (ACE) enrolment data is removed

Task	Method/code
	Enrolments under Funding Rate Code 'K' are removed.
	The <b>Monthly Enrolment Consumption Table</b> is created (see Figure 4). Table Columns: <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Return Period</li> <li>○ Month</li> <li>○ EFTS Consumed</li> <li>○ Funded Amount</li> </ul>

**Table 34 - ETL - Monthly Enrolment Consumption Data**

The outcome commitments from the Investment Plan are called the Planned Data. This data is stored in the IIP database and this section describes how it is processed.

TCM Data (PTE)

Task	Method/code
The TCM Data contains the Forecast Funding values that PTEs and OTEPS have made	All TCM Data is imported
	All data is cleaned as per Cleaning Values
	The <b>TCM Funding</b> table is created. Table Columns: <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Reporting Period</li> <li>○ Funding Source</li> <li>○ Funded Amount</li> </ul>

**Processing Step – Joining Enrolments and KPI Commitment Data**

This section describes the process used to join the Enrolment and KPI information. This data is eventually used to measure progress on KPIs against each Tertiary Education Organisation’s outcome commitment.

Enrolments and KPI Commitment Data

This section describes the creation of the KPI dataset. Figure 5 shows an overview of the process. Table 35 to Table 37 describe each step.

KPI Enrolment Data

The following table describes the process used for creating the information required to calculate KPIs from the Enrolment data.

Task	Method/code
Import and clean the data	The <b>Latest Student Provider</b> table is joined to the <b>Enrolment</b> table to supply the Ethnic Groups, Gender Groups and Date of Birth for calculating the Age Group.
	The Age Group is calculated as per Age Group Categorisation
	Set Other Tertiary Education Providers (OTEPs) to Private Training Establishments

Task	Method/code
	(PTEs) for Sub-Sector calculations.
	Join the <b>Qualification</b> table to get the Qualification Award Level.
	Join the <b>Provider Data table</b> to get Provider and Provider Type Data
	Remove Non-Formal Enrolments
Create the <b>KPI Enrolment Award Level</b> table	<p>Summarise the EFTS Data</p> <p>The <b>KPI Enrolment Award Level</b> table is created.</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Type Code</li> <li>○ Provider Code</li> <li>○ Reporting Period</li> <li>○ Ethnic Group1</li> <li>○ Ethnic Group2</li> <li>○ Ethnic Group3</li> <li>○ Age Group</li> <li>○ Gender Group</li> <li>○ Qualification Award Level</li> <li>○ EFTS</li> </ul>
KPIs are calculated	<p>The data is parsed and 'flagged' for each KPI Numerator and Denominators that it contributes to.</p> <p>The data is then summarised aggregating the Numerators and Denominator totals for each KPI.</p> <p>This is done aggregating at the data for each Sector Level (Provider, Sub-Sector and Sector).</p> <p>For each Sector Level the Numerator and Denominator Tables are merged as per Merging Data (see an example of merging in Table 19).</p> <p>The resulting Provider, Sub-Sector and Sector level tables are then also merged</p> <p>This results in a table having the KPI Numerators and Denominators per Provider, Sub-Sector and Sector in the same row.</p> <p>Rates are calculated by dividing the Numerators by the Denominators.</p>
Data is identified as being from actual enrolments	The data is flagged as being 'actual'

**Table 35 - Create KPI Enrolment Data**

KPI Measures (Commitments)

The following table describes the way that the commitments to KPIs are processed.

Task	Method/code
Create the <b>KPI Commitment Table</b>	Import all KPI Measure Data
	All data is cleaned as per Cleaning Values
	Duplicates are identified (as per Identifying Duplicates) where unique identifiers are Provider Code, KPI and Reporting Year. Prioritised by the Highest Measure Value..
	Duplicates are removed
	<p>The <b>KPI Commitment Table</b> is created</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ KPI</li> <li>○ Reporting Period</li> <li>○ EFTS (includes proportions)</li> </ul>

**Table 36 – Create the KPI Commitment table**

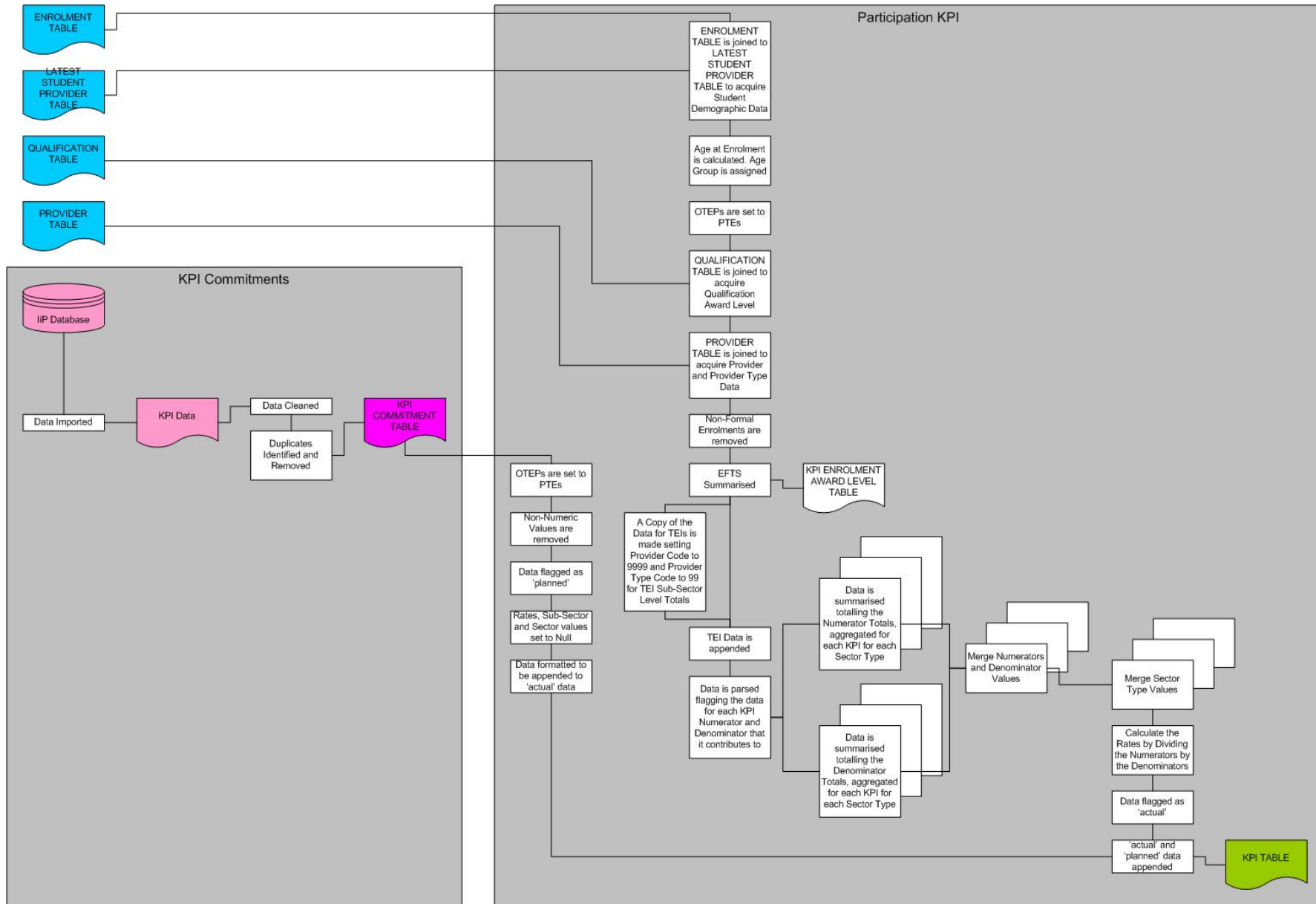


Figure 5 - Create KPI Data

## Joining KPI Commitment and Enrolment Data

The following table describes the combining of the commitment and actual KPI datasets.

Task	Method/code
Format the <b>KPI Commitment Table</b> data	Take the <b>KPI Commitment Table</b> data
	Set Other Tertiary Education Providers (OTEPs) to Private Training Establishments (PTEs) for Sub-Sector calculations.
	Any non-numeric values are set to NULL
	Sub-Sector and Sector Numerators, Denominators and Rates are set to NULL
	The data is flagged as being 'planned'.
	The data is formatted and structured to match the <b>KPI Enrolment Table</b> in preparation for being appended.
Append the <b>KPI Enrolment Table</b> and <b>KPI Commitment Table</b>	The <b>KPI Enrolment Table</b> and <b>KPI Commitment Table</b> are appended as per Appending Data (see an example of appending in Table 16).
Create the <b>KPI Table</b>	<p>The <b>KPI Table</b> is created</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Type Code</li> <li>○ Provider Code</li> <li>○ Reporting Period</li> <li>○ Result Type ('planned' or 'actual')</li> <li>○ KPI</li> <li>○ Provider Numerator</li> <li>○ Provider Denominator</li> <li>○ Provider Rate</li> <li>○ Sub-Sector Numerator</li> <li>○ Sub-Sector Denominator</li> <li>○ Sub-Sector Rate</li> <li>○ Sector Numerator</li> <li>○ Sector Denominator</li> <li>○ Sector Rate</li> </ul>

**Table 37 - Create KPI Commitment and KPI Dataset**

## Processing Step – Joining Enrolments and MoP Commitment Data

This section describes the creation of the MoP dataset. Figure 6 shows the overall process, while Table 38 and Table 40 describe each step.

### MoP Enrolment Data

The following table describes the process used for creating the information required to calculate Mix of Provision (MoP) metrics from the Enrolment data.

Task	Method/code
Create the <b>MoP Enrolment Table</b>	Set Other Tertiary Education Providers (OTEPs) to Private Training Establishments (PTEs) for Sub-Sector calculations.
	Join the <b>Qualification Table</b> to get the NQF Level, Broad NZSCED Code and Qualification Title.
	Join the <b>Provider Table</b> to get Provider and Provider Type Data.
	If not a PTE (or OTEP), then set Qualification Code and Qualification Title to NULL. Data is filtered for only Providers that are 'On a Plan'.
	For Each MoP Dimension (NQF Level, Broad NZSCED Code, Qualification Code) Summarise the EFTS Data aggregating the data for each Sector Level (Provider, Sub-Sector and Sector).
	For each Dimension, merge the Numerator and Denominator data for each Sector Level as per Merging Data (see an example of merging in Table 19). Then for each Dimension merge the results for each Sector Level
	This results in a table for each MoP dimension having each MoP Value with its Numerator and Denominator per Sector Level.
	The data is flagged as being 'actual' The <b>MoP Enrolment Table</b> is created

**Table 38 - Create MoP Enrolment Data**

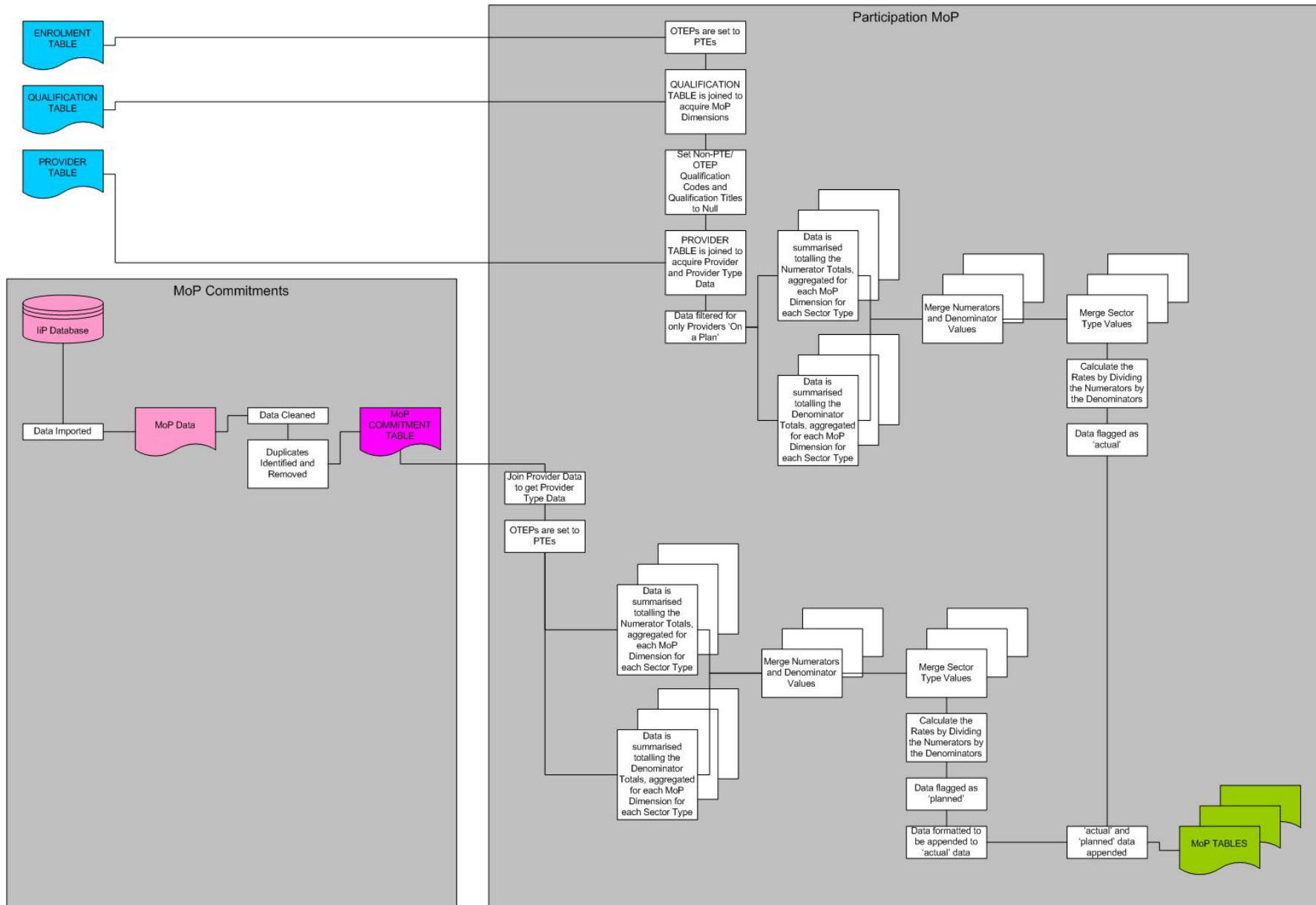


Figure 6 - Creation of MoP Data

## MoP Measures (Commitments)

The MoP Measure Data contains the MoP commitments that Providers have made as part of Investing in a Plan.

Task	Method
Import and clean data	Import all MoP Data
	All data is cleaned as per Cleaning Values
	Qualification Code data has blanks removed (For example if Qualification Code = 'QC 12345' then it is set to 'QC12345').
	Duplicates are identified where unique identifiers are Provider Code, Reporting Year, NQF Level, Broad NZSCED Code, Qualification Code, Qualification Title.
	Duplicates are removed.
Create the <b>MoP Commitment</b> table	<p>The <b>MoP Commitment</b> table is created</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Reporting Period</li> <li>○ NQF Level</li> <li>○ Broad NZSCED Code</li> <li>○ Qualification Code</li> <li>○ EFTS</li> </ul>

**Table 39 – Create the MoP Commitment table**

## Joining the MoP Enrolment and Commitment Data

The following table describes the blending of the commitment and actual data together to measure progress against Tertiary Education Organisation targets.

Task	Method/code
Format the <b>MoP Commitment Table</b> data	Take the <b>MoP Commitment Table</b> data
	Set Other Tertiary Education Providers (OTEPs) to Private Training Establishments (PTEs) for Sub-Sector calculations.
	Data is filtered for only Providers that are 'On a Plan'.
	For Each MoP Dimension (NQF Level, Broad NZSCED Code, and Qualification Code) Summarise the EFTS Data aggregating the data for each Sector Level.
	For each Dimension, merge the Numerator and Denominator data for each Sector Level as per Merging Data (see an example of merging in Table 19). Then for each Dimension merge the results for each Sector Level.
	This results in a table for each MoP dimension having each MoP Value with its Numerator and Denominator per Sector Level.
	The data is flagged as being 'planned'
	The data is formatted to be appended to the MoP Enrolment Data
Append the <b>MoP Enrolment Table</b> and <b>MoP Commitment Table</b>	The <b>MoP Enrolment Table</b> (Table 38) and the <b>MoP Commitment Table</b> are appended as per Appending Data (see an example of appending in Table 16).
	Rates are calculated by dividing the Numerators by the Denominators

Task	Method/code
Create the <b>MoP Table(s)</b> (NQF Level, Broad NZSCED Code, Qualification Code))	<p>The <b>MoP</b> tables are created.</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Type Code</li> <li>○ Provider Code</li> <li>○ Result Type ('planned' or 'actual')</li> <li>○ MoP Dimension (NQF Level/Broad NZSCED Code/Qualification Code)</li> <li>○ Provider Numerator</li> <li>○ Provider Denominator</li> <li>○ Provider Rate</li> <li>○ Sub-Sector Numerator</li> <li>○ Sub-Sector Denominator</li> <li>○ Sub-Sector Rate</li> <li>○ Sector Numerator</li> <li>○ Sector Denominator</li> <li>○ Sector Rate</li> </ul>

**Table 40 - Create MoP Commitment and MoP Data Table**

### Processing Step – Joining Enrolments and Finance Commitment Data

This section describes the process by which the Finance dataset is created. Figure 7 shows the data processing steps that are described in Table 41 and Table 43.

#### Finance Enrolment Data

The output generated by these steps are used at the end of the Table 43 which describes the processing of the Finance Commitment Data in the next section.

Task	Method/code
Create the <b>Finance Enrolment Table</b>	Set Other Tertiary Education Providers (OTEPs) to Private Training Establishments (PTEs) for Sub-Sector calculations.
	Data is filtered for only Providers that are 'On a Plan'
	For Each MoP Dimension (Funding Category, Course Class) Summarise the EFTS and EFTS Funded Data, aggregating the data for each Sector Level (Provider, Sub-Sector and Sector).
	For each Dimension, merge the Numerator and Denominator data for each Sector Level as per Merging Data (see an example of merging in Table 19). Then for each Dimension merge the results for each Sector Level
	This results in a table for each MoP dimension having each MoP Value with its Numerator and Denominator per Sector Level.
	The data is flagged as being 'actual' The <b>Finance Enrolment Table</b> is created

**Table 41 - Creation of the Finance Enrolment Dataset**

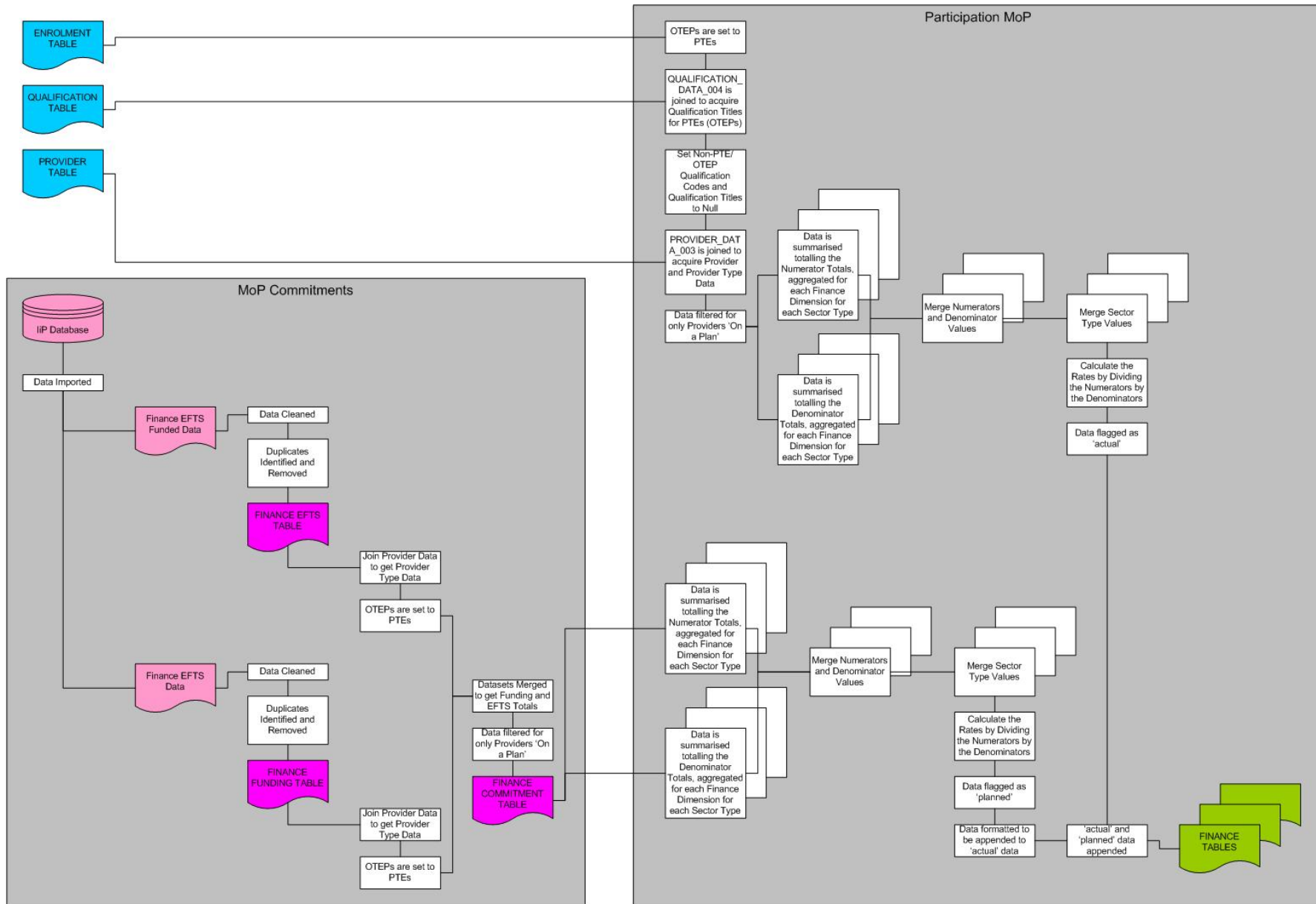


Figure 7 - Creation of the Finance Table

## Finance Data

The MoP Measure Data contains the MoP commitments that Providers have made as part of Investing in a Plan. Rates are applied to this data to calculate the Funded amount. Hence this is called the Finance data.

Task	Method/code
Create the <b>Finance EFTS Table</b>	Import Finance EFTS Data
	All data is cleaned as per Cleaning Values.
	Duplicates are identified where unique identifiers are Provider Code, Reporting Year, NQF Level, Broad NZSCED Code, Funding Category, Course Classification and Qualification Code. Prioritised by EFTS/EFTS Funded Value.
	Duplicates are removed.
	<p>The <b>Finance EFTS Table</b> is created.</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Reporting Period</li> <li>○ Course Classification</li> <li>○ Funding Category</li> <li>○ EFTS</li> </ul>
Create the <b>Finance Funding Table</b>	Finance EFTS Funding data is imported
	All data is cleaned as per Cleaning Values
	Duplicates are identified where unique identifiers are Provider Code,
	Reporting Year, NQF Level, Broad NZSCED Code, Funding Category,
	Course Classification and Qualification Code. Prioritised by EFTS/EFTS Funded Value.
	Duplicates are removed.
	<p>The <b>Finance Funding Table</b> is created.</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> <li>○ Reporting Period</li> <li>○ Course Classification</li> <li>○ Funding Category</li> <li>○ Funded Amount</li> </ul>
Merge <b>Finance EFTS Table</b> and <b>Finance Funding Table</b>	The <b>Finance EFTS</b> table and the <b>Finance EFTS Funded</b> table are Merged as per Merging Data (see an example of merging in Table 19)
	Set Other Tertiary Education Providers (OTEPs) to Private Training Establishments (PTEs) for Sub-Sector calculations.
	Join the <b>Provider Table</b> to get Provider and Provider Type Data.
	Data is filtered for only Providers that are 'On a Plan'.
Create the <b>Finance Commitment Table</b>	<p>The <b>Finance Commitment Table</b> is created (see Figure 7)</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>○ Provider Code</li> </ul>

Task	Method/code
	<ul style="list-style-type: none"> <li>o Reporting Period</li> <li>o Course Classification</li> <li>o Funding Category</li> <li>o EFTS</li> <li>o Funded Amount</li> </ul>

**Table 42 - Create the Finance EFTS, Finance EFTS Funded and Finance Commitment table**

Join the Finance Enrolment and Commitment Data

The following table describes hoe the actual enrolment and commitment data are combined to report on progress against Tertiary Education Organisation targets.

Task	Method/Code
Format and summarise the <b>Finance Commitment Table</b> data for appending to <b>Finance Enrolment Table</b>	Take the <b>Finance Commitment Table</b>
	For Each MoP Dimension (Funding Category, Course Class) Summarise the EFTS and EFTS Funded Data, aggregating the data for each Sector Level (Provider, Sub-Sector and Sector).
	For each Dimension, merge the Numerator and Denominator data for each Sector Level as per Merging Data (see an example of merging in Table 19). Then for each Dimension merge the results for each Sector Level.
	The data is flagged as being 'planned'.
	The <b>Finance Commitment Table</b> is formatted to be appended to the <b>Finance Enrolment Table</b>
Append <b>Finance Enrolment Table</b> and <b>Finance Commitment Table</b>	The <b>Finance Enrolment Table</b> (Table 41) and the <b>Finance Commitment Table</b> are appended as per Appending Data (see an example of appending in Table 16).
Create the <b>Finance Commitment Table</b>	<p>The <b>Finance Table(s)</b> are created.</p> <p>Table Columns:</p> <ul style="list-style-type: none"> <li>o Provider Type Code</li> <li>o Provider Code</li> <li>o Result Type ('planned' or 'actual')</li> <li>o Finance Dimension (Funding Category/Course Class)</li> <li>o Provider Numerator</li> <li>o Provider Denominator</li> <li>o Provider Rate</li> <li>o Sub-Sector Numerator</li> <li>o Sub-Sector Denominator</li> <li>o Sub-Sector Rate</li> <li>o Sector Numerator</li> <li>o Sector Denominator</li> <li>o Sector Rate</li> </ul> <p>The Numerators, Denominators and Rates are calculated for both EFTS and</p>

Task	Method/Code
	EFTS Funded.

**Table 43 - Create the Finance Commitment and Finance table**

## Graphs and Tables - Mix of Provision (draft Progress Monitoring Report Section 2)

The tables provided in this section give a detailed description of the calculations and criteria applied to the data tables to create the tables and graphs in the Volume of Delivery and Mix of Provision section of the draft Progress Monitoring Reports.

### Volume of delivery summary (\$000) based on EFTS delivered and awaiting delivery (Section 2.1.1.1)

Table 44 describes the process used to create the table in Section 2.1.1.1. of the draft Progress Monitoring Report. This section is common in the draft Progress Monitoring Report for all sectors – i.e. ITPs, Universities, PTEs and OTEPs, and Wānanga.

There are no differences in the method of calculation between the sub sectors. However, for Tertiary Education Organisations from the PTE and OTEP sector, the TCM planned payment amounts are used. This is because Plan information for some PTEs and OTEPs had not been aligned with allocations at the time the draft Progress Monitoring Report was produced.

Graph/Table	Calculations / Criteria
Comparing Year to Date (April) EFTS with delivered and estimated EFTS for the last 4 years.	<ul style="list-style-type: none"> <li>Using the Funding Category Finance Table</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the Total EFTS for:                             <ul style="list-style-type: none"> <li>December EFTS Actuals</li> <li>YTD EFTS Actuals</li> <li>Agreed Planned EFTS</li> </ul> </li> </ul>
	<ul style="list-style-type: none"> <li>For the previous 4 years, calculate YTD EFTS Actuals as a proportion of December EFTS Actuals by dividing YTD EFTS by December EFTS Actuals. For the current reporting year calculate YTD EFTS Actuals as a proportion of Agreed Planned EFTS by dividing YTD EFTS Actuals by the Agreed Planned EFTS.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate 'variance' as <math>1 - \text{YTD EFTS} / \text{December EFTS Actuals}</math> for previous 4 years and calculate 'variance' as <math>1 - \text{YTD EFTS} / \text{Agreed EFTS Planned to be delivered for current reporting year}</math>. For the previous 4 years, calculate YTD EFTS Actuals as a proportion of EFTS delivered by dividing YTD EFTS Actuals by December EFTS Actuals. For the current reporting year calculate YTD EFTS Actuals as a proportion of Agreed Planned EFTS by dividing YTD EFTS by the Agreed Planned EFTS.</li> </ul>
	<ul style="list-style-type: none"> <li>Repeat all the above for the sub sector. Calculate 'variance' as <math>1 - \text{YTD EFTS Actuals} / \text{December EFTS Actuals}</math> for previous 4 years and calculate 'variance' as <math>1 - \text{YTD EFTS} / \text{Agreed Planned EFTS}</math> for current reporting year.</li> </ul>

Graph/Table	Calculations / Criteria
	<ul style="list-style-type: none"> <li>If the current reporting year variance for the Tertiary Education Organisation is below the minimum of the previous 4 year variances for that Tertiary Education Organisation, then calculate this as <math>\min(\text{previous 4 year variances}) - \text{current reporting year variance}</math>.</li> </ul> <p>If the current reporting year variance is above the maximum of the previous 4 year variances then calculate this as <math>\text{current reporting year variance} - \max(\text{previous 4 year variances})</math>.</p> <p>If the current reporting year variance is between the minimum and maximum of the previous 4 year variances for that Tertiary Education Organisation then set the value at 0.</p> <p>When using the four year range, include zero scores, but exclude the missing values. Repeat all the above for the sub sector.</p> <hr/> <ul style="list-style-type: none"> <li>Repeat the step above for the Tertiary Education Organisation to sub sector variances, where the '2008 Average variance from the 4 year range' is the across the sub sector average of the Tertiary Education Organisation's values (derived from max min steps above, see Appendix G).</li> </ul> <p>When using the four year range, include zero scores, but exclude the missing values.</p> <p>If the current reporting year variance for the Tertiary Education Organisation is below the minimum of the previous 4 year variances for that Tertiary Education Organisation, then calculate this as <math>\min(\text{previous 4 year variances}) - \text{current reporting year variance}</math>.</p> <p>If the current reporting year variance is above the maximum of the previous 4 year variances then calculate this as <math>\text{current reporting year variance} - \max(\text{previous 4 year variances})</math>.</p> <p>If the current reporting year variance is between the minimum and maximum of the previous 4 year variances for that Tertiary Education Organisation then set the value at 0.</p> <p>When using the four year range, include zero scores, but exclude the missing values.</p>
2008 Variance from 4 year range	<ul style="list-style-type: none"> <li>Calculate the proportion of Tertiary Education Organisations that have a '2008 Variance from 4 year range' greater than 103% of that Tertiary Education Organisation's highest value in the four years. (Multiply the Tertiary Education Organisation value by 103% to get a threshold value).</li> </ul> <p>Repeat the step above for the Tertiary Education Organisation to sub sector variances, where the '2008 Average variance from the 4 year range' is the across the sub sector average of the Tertiary Education Organisation's values (derived from max min steps above, see Appendix G).</p> <p>When using the four year range, include zero scores, but exclude the missing values.</p>
2008 Sub-sector Average Variance from 4 year range	<ul style="list-style-type: none"> <li>Calculate the proportion of Tertiary Education Organisations that have a '2008 Variance from 4 year range' less than 97% of that Tertiary Education Organisation's '2008 variance from 4 year range' Multiply the Tertiary Education Organisation's 2008 value by 97% and compare to the lowest value in the 4 year range.</li> </ul> <p>Calculate the proportion of Tertiary Education Organisations that have a '2008 Variance from 4 year range' greater than 103% of that Tertiary</p>

Graph/Table	Calculations / Criteria
	Education Organisation's highest value in the four years. (Multiply the Tertiary Education Organisation value by 103% to get a threshold value).
Proportion of Tertiary Education Organisations in sub sector + 3% variance from own 4 year range	<ul style="list-style-type: none"> <li>Calculate the proportion of Tertiary Education Organisations that have a '2008 Variance from 4 year range' less than 97% of that Tertiary Education Organisation's '2008 variance from 4 year range' Multiply the Tertiary Education Organisation's 2008 value by 97% and compare to the lowest value in the 4 year range.</li> </ul>

**Table 44 - Volume of delivery summary (\$000) based on EFTS delivered and awaiting delivery (Section 2.1.1.1)**

### EFTS summary - EFTS delivered and awaiting delivery (Section 2.1.1.2)

Table 45 describes the process used to create the table in Section 2.1.1.2. for each sector:

- ITPs – Section 2.1.1.2.
- PTEs and OTEPs – Section 2.1.1.2.
- Universities – Section 2.1.1.2.
- Wānanga – Section 2.1.1.2.

There are no differences in the method of calculation between the sub sectors. However, for Tertiary Education Organisations from the PTE and OTEP sector, the planned payment amounts from the TCM system are used. This is because the MoP figures reported and stored in IIP were typically for delivered volumes rather than places actually funded by the TEC. This meant that the numbers were not comparable to other sectors.

Table created	Data transformation steps
EFTS year-to-date as a proportion of full-year/planned for the last 5 years. Includes sub-sector comparison and comparison with the range over the previous 4 years.	<ul style="list-style-type: none"> <li>Using the Funding Category Finance Table</li> <li>Calculate the Total EFTS for: <ul style="list-style-type: none"> <li>○ December EFTS Actuals</li> <li>○ YTD EFTS Actuals</li> <li>○ Agreed Planned EFTS</li> </ul> </li> <li>Summarise the Sub-sector data for each year</li> <li>Transpose/Pivot the data so that current, year-end and planned values become columns</li> <li>Calculate the Ratio of current values to year-end/planned values</li> <li>Subtract the value from above from 100% to get the variance values</li> </ul>
2008 Variance from 4 year range	<ul style="list-style-type: none"> <li>If the current reporting year variance for the Tertiary Education Organisation is below the minimum of the previous 4 year variances for that Tertiary Education Organisation, then calculate this as <math>\min(\text{previous 4 year variances}) - \text{current reporting year variance}</math>. If the current reporting year variance is above the maximum of the previous 4 year variances then calculate this as <math>\text{current reporting year variance} - \max(\text{previous 4 year variances})</math>. If the current reporting year variance is between the minimum and maximum of the previous 4 year variances</li> </ul>

Table created	Data transformation steps
	for that Tertiary Education Organisation then set the value at 0. When using the four year range, include zero scores, but exclude the missing values.
2008 Subsector Average Variance from 4 year range	Repeat the step above for the Tertiary Education Organisation to sub sector variances, where the '2008 Average variance from the 4 year range' is the across the sub sector (grand) average of the Tertiary Education Organisation's Tertiary Education Organisation values (from the max and min procedures ; see Appendix G). Again when using the four year range, include zero scores, but exclude the missing values.
Proportion of Tertiary Education Organisations in sub sector + 3% variance from own 4 year range	<ul style="list-style-type: none"> <li>Calculate the proportion of Tertiary Education Organisations that have a '2008 Variance from 4 year range' greater than 103% of that Tertiary Education Organisation's highest value in the four years. (Multiply the Tertiary Education Organisation value by 103% to get a threshold value.</li> </ul>
Proportion of Tertiary Education Organisations in sub sector - 3% variance of own 4 year range	<ul style="list-style-type: none"> <li>Calculate the proportion of Tertiary Education Organisations that have a '2008 Variance from 4 year range' less than 97% of that Tertiary Education Organisation's '2008 variance from 4 year range' Multiply the Tertiary Education Organisation's 2008 value by 97% and compare to the lowest value in the 4 year range.</li> </ul>

**Table 45 - EFTS summary - EFTS delivered and awaiting delivery (Section 2.1.1.2)**

### Proportion of EFTS delivered and awaiting delivery by degree research status

Table 46 describes the process to create data that is used in the following draft Progress Monitoring Report sections for each sector:

- ITPs – Section 2.2.1.1.
- PTEs and OTEPs – not used in draft Progress Monitoring Report
- Universities – Section 2.2.1, 2.2.2, and 2.2.3 (table of percentages against total)
- Wānanga – Section 2.3.1.1

Graph/Table	Calculations / Criteria
Comparing Year to Date (e.g. April) EFTS with delivered and estimated EFTS for the last 4 years.	Using the Funding Category Finance Table Assign the 'Degree research status' categories: Calculate the 'Degree research status' categories by taking the Numeric value from the Funding Category Code
	<ul style="list-style-type: none"> <li>Recode the 1,2,3,4,5 reads from the previous step as: 1 being;- Non Degree 2 being;- Undergraduate Degree 3 being;- Taught Postgraduate 4 being;- Research based postgraduate 5 being;- Foreign based Postgraduate</li> </ul>
	Take the Actuals Totals from the Funding Category Finance Table
	Identify the current YTD Reporting Period (i.e. April).

Graph/Table	Calculations / Criteria
	<p>Calculate the Total EFTS Funded for the YTD Reporting period for the current year and the 4 latest previous years.</p> <p>For the 4 previous years Calculate the YTD Total EFTS Funded as a proportion of the corresponding December Total EFTS Funded.</p> <p>For the current year Calculate the YTD Total EFTS Funded as a proportion of the corresponding years Planned EFTS.</p>
	<ul style="list-style-type: none"> <li>Calculate the YTD Total EFTS Funded for each 'Degree research status' for the current reporting year and previous 4 years</li> </ul> <p>For the previous 4 years, Calculate the YTD EFTS Funded as a proportion of the corresponding December Total EFTS Funded for each 'Degree research status'.</p> <p>For the current reporting year, Calculate the YTD EFTS Funded as a proportion of the corresponding year's Planned EFTS Funded (Commitment values) for each 'Degree research status'.</p>
	<ul style="list-style-type: none"> <li>For the previous 4 years, Calculate the Minimum and Maximum Proportions (These become the Range 4 Year low and Range 4 Year high respectively).</li> </ul>
	<ul style="list-style-type: none"> <li>Sub-Sector values are created in the same way as above aggregated at Sub-Sector level instead of individual providers</li> </ul>
Whole of sub sector summary of percentage of providers below their own YTD range	<ul style="list-style-type: none"> <li>Calculate the number of Providers who's YTD EFTS Funded proportion is less than their corresponding Range 4 year low for each 'Degree research status'.</li> <li>Calculate the number of Providers who's YTD EFTS Funded proportion is greater than their corresponding Range 4 year high for each 'Degree research status'.</li> <li>Calculate these numbers as Proportions of the total number of Providers who offer enrolments at the 'Degree research status' in the Sub-Sector. These become the '% below own range' and '% above own range' values.</li> </ul>

**Table 46 - Proportion of EFTS delivered and awaiting delivery by degree research status**

### Proportion of EFTS (actual against planned) by Funding Category / Funding category breakdown (EFTS & \$)

Table 47 describes the process to create data that is used in the following draft Progress Monitoring Report sections for each sector:

- ITPs – Sections 2.2.1.2, 2.2.1.3.
- PTEs and OTEPs – not used in draft Progress Monitoring Report
- Universities – Sections 2.2.4, 2.2.5
- Wānanga – 2.3.1.2, 2.2.1.3

Graph/Table	Calculations / Criteria
Comparing Year to Date (e.g. April) EFTS with delivered EFTS	Using the Funding Category Finance Table
	Take the Actuals Totals from the Funding Category Finance Table

Graph/Table	Calculations / Criteria
for the last 4 years. <b>Provider level view.</b>	<p>Identify the current YTD Reporting Period (i.e. April).</p> <p>Calculate the Total EFTS Funded for the YTD Reporting period for the current year and the 4 latest previous years.</p> <p>For the 4 previous years Calculate the YTD Total EFTS Funded as a proportion of the corresponding December Total EFTS Funded.</p> <p>For the current year Calculate the YTD Total EFTS Funded as a proportion of the corresponding years Planned EFTS.</p>
	<ul style="list-style-type: none"> <li>Calculate the YTD Total EFTS Funded for each Funding Category Classification for the current reporting year and previous 4 years</li> </ul> <p>For the previous 4 years, Calculate the YTD EFTS Funded as a proportion of the corresponding December Total EFTS Funded for each Funding Category.</p> <p>For the current reporting year, Calculate the YTD EFTS Funded as a proportion of the corresponding year's Planned EFTS Funded (Commitment values) for each Funding Category.</p>
	<ul style="list-style-type: none"> <li>For the previous 4 years, Calculate the Minimum and Maximum Proportions (These become the Range 4 Year low and Range 4 Year high respectively).</li> </ul>
	<ul style="list-style-type: none"> <li>Sub-Sector values are created in the same way as above aggregated at Sub-Sector level instead of individual providers</li> </ul>
Whole of sub sector summary of percentage of providers below their own YTD range	<ul style="list-style-type: none"> <li>Calculate the number of Providers who's YTD EFTS Funded proportion is less than their corresponding Range 4 year low for each Funding Category.</li> <li>Calculate the number of Providers who's YTD EFTS Funded proportion is greater than their corresponding Range 4 year high for each Funding Category.</li> <li>Calculate these numbers as Proportions of the total number of Providers who offer enrolments at the Funding Category in the Sub-Sector. These become the '% below own range' and '% above own range' values.</li> </ul>

**Table 47 - Proportion of EFTS (actual against planned) by Funding Category / Funding category breakdown (EFTS & \$)**

Table 48 describes the process to create data that is used in the following draft Progress Monitoring Report sections for each sector:

- ITPs – Sections 2.1.2.1, 2.1.2.2, 2.1.2.3, 2.1.2.4
- PTEs and OTEPs – Section 2.1.2.1, 2.1.2.2, 2.1.2.3, 2.1.2.4
- Universities – not used in draft Progress Monitoring Report
- Wānanga – Section 2.2.1, 2.2.2, 2.2.3, 2.2.4

Table created	Data transformation steps
Tabulates actual vs planned monthly cumulative EFTS and \$.	<ul style="list-style-type: none"> <li>Using the Monthly Enrolment Consumption Table and the Funding Category Finance Table.</li> </ul>

<p>Monthly EFTS vs Forecast EFTS and Monthly \$ delivered vs Monthly \$ forecasts</p>	<p>Calculate the Current Year Planned EFTS (and \$) Totals by summing up all Funding Categories by Funding Category for each Provider.</p> <p>Calculate the Previous Year Actual EFTS (and \$) Totals by summing up all Funding Categories by Funding Category for each Provider.</p> <p>Divide the Current Year Planned EFTS (and \$) Totals by the previous years Actual EFTS (and \$) Totals to get the % uplift.</p> <ul style="list-style-type: none"> <li>• Calculate the Total Actual EFTS (and \$) per Month for each Provider using the Monthly Enrolment Consumption Table.</li> </ul> <p>Calculate the Monthly Estimated Funded EFTS by Multiplying the Previous Years Monthly EFTS Totals (from the Monthly Enrolment Consumption Table).</p> <p>The Cumulative Sum of the EFTS becomes the Estimated Distribution of Funded EFTS and the Estimated Funded EFTS. The Cumulative Sum of the \$ values becomes the Estimated Distribution of SAC Allocation (\$000)</p>
	<p>Divide the Current Year Planned EFTS \$ Total by 12. The Cumulative Sum of this becomes the Payments.</p>
	<p>Calculate the Monthly Actual YTD EFTS and \$ Totals for the Current Year (this will only include the months of the current reporting period). These values become the YTD EFTS and YTD SAC (\$000) values.</p>
	<ul style="list-style-type: none"> <li>• Calculate the Delivery variance (YTD – 2008 payments) (\$000) by subtracting the Payments value (Cumulative) from the YTD SAC (\$000) value.</li> </ul> <p>Calculate the Delivery variance % by dividing the Delivery variance (YTD – 2008 payments) (\$000) value by the Payments value (Cumulative)</p>

**Table 48 - Cumulative Delivery Volume & EFTS (estimated and actual YTD)**

**Year to date mix of provision by NZSCED (Broad Level Code)/Register Level (NQF)/Qualification**

Table 49 describes the process to create the data that is used in the following draft Progress Monitoring Report sections for each sector:

- ITPs – 2.2.2.1, 2.2.2.2, 2.2.3.1, 2.2.3.2
- PTEs and OTEPs – Section 2.2.1.1, 2.2.1.2, 2.2.2.1, 2.2.2.2, 2.2.3.1,
- Universities – not used in draft Progress Monitoring Report
- Wānanga – Section 2.3.2.1, 2.3.2.2, 2.3.3.1, 2.3.3.2

Table created	Data transformation steps
<p>Comparing YTD proportions (EFTS) by NZSCED codes against planned levels in the reporting year as well as in previous years</p>	<ul style="list-style-type: none"> <li>• Using the MoP Tables for the corresponding Dimension (NZSCED/Register Level/Qualification).</li> <li>• Identify the Current Reporting Period. For the current year and previous 4 years calculate the Total EFTS per Year for each Dimension (separately).</li> </ul> <p>For the current year calculate the Total EFTS for each Dimension for the corresponding Plan Year Data.</p> <p>For the previous 4 years calculate the Total EFTS for each Dimension</p>

Table created	Data transformation steps
	<p>for each end of year (December) Total</p> <ul style="list-style-type: none"> <li>• For the current year calculate the YTD EFTS as a proportion of the corresponding Plan Year for each Dimension value. For the previous 4 years calculate the YTD EFTS as a proportion of the end of year (December) Total for each Dimension value. For example the NZSCED code 06 – Health has a YTD EFTS value of 20 EFTS for 2007 and a total of 100 EFTS for the same code in 2007, the proportion would be 20%</li> <li>• For the previous 4 years calculate the Minimum and Maximum proportions for each Dimension value. These will become the 'Range 4 years low' and 'Range 4 years high' respectively.</li> <li>• Identify if the current year proportion is below the 'Range 4 years low' or above the 'Range 4 years high'</li> <li>• Repeat the above steps aggregating the data at the Sub-Sector level instead of individual providers</li> <li>• Calculate the % of Providers who have their current year proportion below the 'Range 4 years low', and the % who have their current year proportion above the 'Range 4 years high' This becomes the '% below own range' and '% above own range' respectively</li> </ul>

**Table 49 - Year to date mix of provision by NZSCED (Broad Level Code)/Register Level (NQF)/Qualification**

### Graphs and Tables - KPIs (draft Progress Monitoring Report Section 3)

This section details the construction of the KPIs for each of the sub-sectors (University, ITP, Wānanga, PTE, OTEP). The draft Progress Monitoring Report's have common content and some differences between draft Progress Monitoring Report's.

There are a number of differences between the KPI information included in each sector's draft Progress Monitoring Report. Hence each sector is described separately. This means that there is some repetition but it is easier for a reader who is interested in just one sector to read the information that is relevant to them.

The KPI table and graphs all reside in Section 3 of the draft Progress Monitoring Report. Each table or graph object is referred to by the section in the draft Progress Monitoring Report that it resides.

#### Production of University KPI Tables and Graphs

This section describes the generation of tables and graphs for Section 3 of the University draft Progress Monitoring Report.

Table 50 describes some common data preparation steps for University KPI participation indicators with subsequent tables describing specific processes for each element of the KPIs in the draft Progress Monitoring Report.

	Calculations / Criteria
Proportion of sub-degree EFTS provision	• Qualification award level is not non-formal
	• Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	• Summarise qualification award levels 1-3 Certificates, 4 Certificates and 5-7 diplomas as sub-degree
	• Total EFTS for each qualification award level / Total EFTS for provider
Proportion of EFTS degree, graduate diplomas and post-graduate qualifications for students aged under 25	• Qualification award level is not non-formal
	• Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	• Summarise qualification award levels 1-3 Certificates, 4 Certificates and 5-7 Diplomas as sub-degree
	• Students aged under 25
	• Subtotal qualification levels 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as degree level
	• Total EFTS for each qualification award level / Total EFTS for provider
Proportion of EFTS for Māori students	• Qualification award level is not non-formal
	• Identify any students with Māori in either ethnicity fields 1, 2 or 3
	• Total EFTS for above students / Total EFTS for provider
Proportion of EFTS for Pacific peoples students	• Qualification award level is not non-formal
	• Identify any students with Pacific peoples in either ethnicity fields 1, 2 or 3
	• Total EFTS for above students / Total EFTS for provider

**Table 48 - University – Section 3 - KPI - common data preparation steps for University participation indicators**

**University - Section 3.1.1, Table: KPI summary of proportion of EFTS for Māori students**

Table created	Data transformation steps
Proportion of EFTS for Maori students	• Use the <b>KPI</b> dataset 'KPI Table'
	• Calculate the YTD proportion of EFTS for Maori students as Total YTD EFTS for Maori students / Total YTD EFTS for provider.
	• Calculate the full year (December) proportion of EFTS for Maori students as Total full year EFTS for Maori students / Total full year EFTS for provider.
	• To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.
	• If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.

**Table 49 - University – Section 3.1.1, Table - KPI summary of proportion of EFTS for Māori students**

**University -\_Section 3.1.2, Figure and Table: Proportion of EFTS for Māori students**

Graph and Table	Calculations / Criteria
Proportion of EFTS for Maori students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Display the YTD proportions of EFTS for Maori students for the sub sector for 2004 to 2008.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of EFTS for Maori students for all providers in the sub sector per year</li> </ul>

**Table 50 - University – Section 3.1.2, Figure and Table - Proportion of EFTS for Māori students**

**University - Section 3.1.3, Figure and Table - Sub sector and sector comparators - Proportion of EFTS for Māori students**

Graph	Calculations / Criteria
Sub sector and sector proportions of EFTS for Maori students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportions of EFTS for Maori students for each year for the sub sector and sector.</li> </ul>

**Table 51 - University – Section 3.1.3, Figure and Table - Sub-sector and sector comparators - Proportion of EFTS for Māori students**

Section 3.1.3, Graph - Sub sector and sector comparators - proportion of EFTS for Māori students

Graph	Calculations / Criteria
Comparing YTD sub sector proportions (EFTS) of Māori students with sector proportions in the reporting time period	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Take the YTD proportions of Māori students for each year and for the reported sub sector and sector from the data set (rates)</li> <li>Display the values from above</li> </ul>

**Table 52 -\_University - Section 3.2.1, Table - KPI summary of proportions of EFTS for Pacific People students**

**Section 3.2.1;- KPI summary of proportions of EFTS for Pacific People students**

Table created	Data transformation steps
Proportion of EFTS for Pacific People students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportion of EFTS for Pacific Peoples students as Total YTD EFTS for Pacific People students / Total YTD EFTS for provider.</li> <li>Calculate the full year (December) proportion of EFTS for Pacific People students as Total full year EFTS for Pacific People students / Total full year EFTS for provider.</li> </ul>

- To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.
- If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.

**Table 53 - University – Section 3.2.1, Table - KPI summary of proportions of EFTS for Pacific People students**

**University - Section 3.2.2 and 3.2.3, Figure and Table - Proportion of EFTS for Pacific People students**

Graph and Table	Calculations / Criteria
Proportion of EFTS for Pacific People students	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>• Display the YTD proportions of EFTS for Pacific Peoples students for the sub sector for 2004 to 2008.</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of EFTS for Pacific Peoples students for all providers in the sub sector per year</li> </ul>

**Table 54 - University – Section 3.2.2 and 3.2.3, Figure and Table - Proportion of EFTS for Pacific People students**

**University - Section 3.2.4, Figure and Table - Sub sector and sector comparators - Proportion of EFTS for Pacific Peoples students**

Graph created	Data transformation steps
Sub sector and sector proportions of EFTS for Pacific People students	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate the YTD proportions of EFTS for Pacific People students for each year for the sub sector and sector.</li> </ul>

**Table 50 - University – Section 3.2.4, Figure and Table - Sub sector and sector - Proportion of EFTS for Pacific People students**

**University - Section 3.3.1, Table - KPI summary of proportion of sub-degree EFTS provision**

Table created	Data transformation steps
Proportion of EFTS of sub-degree EFTS provision	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate the YTD proportion of sub-degree EFTS provision as Total YTD EFTS of sub-degree provision / Total YTD EFTS for provider.</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate the full year (December) proportion of sub-degree EFTS provision as Total full year EFTS of sub-degree provision / Total full year EFTS for provider.</li> </ul>
	<ul style="list-style-type: none"> <li>• To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and</li> </ul>

Table created	Data transformation steps
	show the minimum and maximum value.
	<ul style="list-style-type: none"> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 51 - University – Section 3.3.1, Table - KPI summary of proportion of sub-degree EFTS provision**

**University - Section 3.3.2, Figure and Table - Proportion of sub-degree EFTS provision - Sub sector**

Graph and Table	Calculations / Criteria
Proportion of sub-degree EFTS provision	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Display the YTD proportions of sub-degree EFTS provision for the sub sector for 2004 to 2008.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of sub-degree EFTS provision for all providers in the sub sector per year</li> </ul>

**Table 52 - University – Section 3.3.2, Figure and Table - Proportion of sub-degree EFTS provision - Sub sector**

**University - Section 3.4.1, Table - KPI summary of proportion of EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25**

Table created	Data transformation steps
Proportion of EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the YTD proportion as Total YTD EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25 / Total YTD EFTS for students aged under 25.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the full year (December) proportion as Total full year EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25 / Total full year EFTS for students aged under 25.</li> </ul>
	<ul style="list-style-type: none"> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> </ul>
	<ul style="list-style-type: none"> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 53 - University – Section 3.4.1, Table - KPI summary of proportion of EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25**

**University - Section 3.4.2, Figure and Table - Proportion of EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25**

Graph and Table	Calculations / Criteria
Proportion of EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Display the YTD proportions of EFTS degree, graduate diploma and postgraduate qualifications for students aged under 25 for the sub sector for 2004 to 2008.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of EFTS degree, graduate diploma and postgraduate qualifications for students aged under 25 for all providers in the sub sector per year</li> </ul>

**Table 54 - University – Section 3.4.2, Figure and Table - Proportion of EFTS for degree, graduate diploma and postgraduate qualifications for students aged under 25**

**University - Section 3.4.3, Figure and Table - Sub sector and sector comparator - Proportion of EFTS for degree, graduate diploma and postgraduate qualification for students aged under 25**

Graph and Table	Data transformation steps
Proportion of EFTS for degree, graduate diploma and postgraduate qualification for students aged under 25	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Summarise qualification award levels 1-3 certificates, 4 certificates and 5-7 diplomas as sub-degree</li> </ul>
	<ul style="list-style-type: none"> <li>Students aged under 25</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as degree level</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sub sector</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sector</li> </ul>

**Table 55 - University – Section 3.4.3, Table - Sub sector and sector comparator - Proportion of EFTS for degree, graduate diploma and postgraduate qualification for students aged under 25**

**Production of ITP KPI Tables and Graphs**

The following table describes some common data preparation steps for ITP KPI participation indicators with subsequent tables describing specific processes for each element of the KPIs in the draft Progress Monitoring Report.

	Calculations / Criteria
Proportion of EFTS at level 4 certificates and level 5 to 7 diplomas, degrees and graduate	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>

diplomas	<ul style="list-style-type: none"> <li>Summarise qualification award levels 8-9 postgraduate and 10 doctoral as above level 7</li> <li>Subtotal qualification award levels 4 certificates, 5-7 diplomas and 7 degrees/graduate diplomas as level 4-7</li> <li>Total EFTS for each qualification award level / Total EFTS for provider</li> </ul>
Proportion of EFTS for level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> <li>Students aged under 25</li> <li>Subtotal qualification award levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as level 4+</li> <li>Total EFTS for each qualification award level / Total EFTS for provider</li> </ul>

**Table 77 - ITP – Section 3 - KPI - common data preparation steps for ITP participation indicators**

**ITP – Section 3.1.1, Table: Summary of KPI actuals – Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas**

Table created	Data transformation steps
Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportion of EFTS at level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas as Total YTD EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas / Total YTD EFTS for provider.</li> <li>Calculate the full year (December) proportion of EFTS at level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas as Total full year EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas / Total full year EFTS for provider.</li> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 56 - ITP – Section 3.1.1, Table: Summary of KPI actuals – Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas**

**ITP- Section 3.1.2, Figure and Table: Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas**

Graph and Table	Calculations / Criteria
Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> <li>Qualification award level is not in non-formal</li> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7</li> </ul>

Graph and Table	Calculations / Criteria
	degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	<ul style="list-style-type: none"> <li>Summarise qualification award levels 8-9 postgraduate and 10 doctoral as above level 7</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4-7</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate YTD proportion as Total YTD EFTS for each qualification award level / Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate full year (December) proportion as Total full year EFTS for each qualification award level / Total full year EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions for each qualification award level for all providers in the sub sector per year</li> </ul>

**Table 57- ITP- Section 3.1.2, Figure and Table: Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas**

**ITP Section 3.1.3 Figure: Distribution of ITPs - Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees, and graduate-diplomas for the ITP sub sector	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportions of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas in the reporting year for each provider within the sub sector</li> </ul>

**Table 58 - ITP Section 3.1.3, Figure: Distribution of ITPs - Proportion of EFTS for level 4 certificates and level 5 to 7 diplomas, degrees and graduate diplomas**

**ITP Section 3.1.4, Figure and Table: Sub sector and sector comparators – Proportion of EFTS in level 4 certificates and level 5 to 7 diplomas, degrees, and graduate diplomas**

Graph and Table	Data transformation steps
Proportion of EFTS in level 4 certificates and level 5 to 7 diplomas, degrees, and graduate diplomas	<ul style="list-style-type: none"> <li>Use the KPI dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Summarise qualification award levels 8-9 postgraduate and 10 doctoral as above level 7</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4-7</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sub sector</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sector</li> </ul>

**Table 59 - ITP Section 3.1.4, Figure and Table: Sub sector and sector comparators – Proportion of EFTS in level 4 certificates and level 5 to 7 diplomas, degrees, and graduate diplomas.**

**ITP Section 3.2.1, Table: Summary of KPI actuals - Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Table created	Data transformation steps
Proportion of EFTS for level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportion of EFTS for level 4 and above qualifications for students aged under 25 as Total YTD EFTS for level 4 and above qualifications for students aged under 25 / Total YTD EFTS for students under 25.</li> <li>Calculate the full year (December) proportion of EFTS for level 4 and above qualifications for students aged under 25 as Total full year EFTS for level 4 and above qualifications for students aged under 25 / Total full year EFTS for students under 25.</li> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 60- ITP Section 3.2.1, Table: Summary of KPI actuals - Proportion of EFTS for level 4 and above qualifications for students aged under 25**

**ITP Section 3.2.2, Figure and Table: Proportion of level 4 and above qualifications for students aged under 25**

Graph and Table	Calculations / Criteria
Proportion of level 4 and above qualifications for students aged under 25	Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'
	Qualification award level is not in non-formal
	Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	Students aged under 25
	Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+
	Calculate YTD proportion as Total YTD EFTS for each qualification award level / Total YTD EFTS for provider
	Calculate full year (December) proportion as Total full year EFTS for each qualification award level / Total full year EFTS for provider
Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions for each qualification award level for all providers in the sub sector per year	

**Table 61- ITP Section 3.2.2, Figure and Table: Proportion of level 4 and above qualifications for students aged under 25**

**ITP Section 3.2.3, Figure: Distribution of ITPs - Proportion of EFTS in level 4 and above qualifications for students under 25**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for level 4 and above qualifications for students under 25 for the ITP sub sector	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> <li>• Calculate the YTD proportions of EFTS for level 4 and above qualifications for students under 25 in the reporting year for each provider within the sub sector</li> </ul>

**Table 62 - ITP- Section 3.2.3, Figure: Distribution of ITPs - Proportion of EFTS in level 4 and above qualifications for students under 25**

**ITP Section 3.2.4, Figure and Table: Sub sector and sector comparators - Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Graph and Table	Calculations / Criteria
Proportion of EFTS for level 4 and above qualifications for students aged under 25	• Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'
	• Qualification award level is not in non-formal
	• Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	• Students aged under 25
	• Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+
	• Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for provider
	• Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sub sector
• Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sector	

**Table 63-ITP- Section 3.2.4, Figure and Table: Sub sector and sector comparators - proportion of EFTS for level 4 and above qualifications for students aged under 25**

## Production of Wānanga KPI Tables and Graphs

The following table describes some common data preparation steps for Wānanga KPI participation indicators with subsequent tables describing specific processes for each element of the KPIs in the draft Progress Monitoring Report.

	Calculations / Criteria
Proportion of EFTS at diploma level 4 and above qualifications	• Qualification award level is not non-formal
	• Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7

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	degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>Total EFTS for each qualification award level / Total EFTS for provider</li> </ul>
Proportion of EFTS at level 4 and above qualifications for Maori students	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> <li>Summarise students with Maori in either ethnicity fields 1, 2 or 3 as Maori total EFTS</li> <li>Summarise students with Maori in either ethnicity fields 1, 2 or 3 and qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as Maori EFTS 4 certificates, 5-7 diplomas and 7 degrees/graduate diplomas</li> <li>Maori EFTS 4 certificates, 5-7 diplomas and 7 degrees/graduate diplomas / Maori total EFTS</li> </ul>
Proportion of EFTS for level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> <li>Students aged under 25</li> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> <li>Total EFTS for each qualification award level / Total EFTS for provider</li> </ul>

**Table 64 - Wānanga – Section 3 - KPI - common data preparation steps for Wānanga participation indicators**

Wānanga- Section 3.1.1, Table: Summary of KPI actuals – Proportion of EFTS at level 4 and above qualifications for Maori students

Table created	Data transformation steps
Proportion of EFTS at level 4 and above qualifications for Maori students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportion of EFTS at level 4 and above qualifications for Maori students as Total YTD EFTS for level 4 and above qualifications for Maori students / Total YTD EFTS for Maori students.</li> <li>Calculate the full year (December) proportion of EFTS at level 4 and above qualifications for Maori students as Total full year EFTS for level 4 and above qualifications for Maori students / Total full year EFTS for Maori students..</li> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

Table 65-Wānanga- Section 3.1.1, Table: Summary of KPI actuals – Proportion of EFTS at level 4 and above qualifications for Maori students

Wānanga Section 3.1.2, Figure and Table: Proportion of EFTS at level 4 and above qualifications for Maori students

Graph and Table	Data transformation steps
Proportion of EFTS at level 4 and above qualifications for Maori students	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> <li>• Display the full year counts and proportions of EFTS at level 4 and above qualifications for Maori students for the provider for 2004 to 2007.</li> <li>• Display the YTD counts and proportions of EFTS at level 4 and above qualifications for Maori students for the provider for 2004 to 2008.</li> <li>• Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of EFTS at level 4 and above qualifications for Maori students for all providers in the TEI sector (Universities, Wānanga and ITPs) per year</li> </ul>

**Table 66-Wānanga- Section 3.1.2, Figure and Table: Proportion of EFTS at level 4 and above qualifications for Maori students**

**Wānanga Section 3.1.3 Figure and Table: TEI and sector comparators - Proportion of EFTS at level 4 and above qualifications for Maori students**

Graph and Table	Data transformation steps
Wānanga sector and sector proportions of EFTS at level 4 and above qualifications for Maori students	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> <li>• Calculate the YTD proportions of EFTS at level 4 and above qualifications for Maori students for each year for the provider, Wānanga sector and sector.</li> </ul>

**Table 67-Wānanga Section 3.1.3 Figure and Table: TEI and sector comparators - Proportion of EFTS at level 4 and above qualifications for Maori students**

**Wānanga Section 3.2.1 Table: Summary of KPI actuals - Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Table	Data transformation steps
Proportion of EFTS for level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> <li>• Calculate the YTD proportion of EFTS for level 4 and above qualifications for students aged under 25 as Total YTD EFTS for level 4 and above qualifications for students aged under 25 / Total YTD EFTS for students aged under 25.</li> <li>• Calculate the full year (December) proportion of EFTS for level 4 and above qualifications for students aged under 25 as Total full year EFTS for level 4 and above qualifications for students aged under 25 / Total full year EFTS for students aged under 25.</li> <li>• To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> </ul>

Table	Data transformation steps
	<ul style="list-style-type: none"> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 68- Wānanga Section 3.2.1 Table: Summary of KPI results- Proportion of EFTS for level 4 and above qualifications for students aged under 25**

**Wānanga Section 3.2.2 and 3.2.3, Figure and Table: Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Graph and Table	Calculations / Criteria
Proportion of EFTS for level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Students aged under 25</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate YTD proportion as Total YTD EFTS for each qualification award level / Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate full year (December) proportion as Total full year EFTS for each qualification award level / Total full year EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions for each qualification award level for all providers in the TEI sector (Universities, Wānanga and ITPs) per year</li> </ul>

**Table 69- Wānanga Section 3.2.2 and 3.2.3, Figure and Table: Proportion of EFTS for level 4 and above qualifications for students aged under 25**

**Wānanga Section 3.2.4 Figure: Distribution of TEIs - Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for level 4 and above qualifications for students aged under 25 for the TEI sector	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the YTD proportions of EFTS for level 4 and above qualifications for students aged under 25 in the reporting year for each provider within the TEI sector (Universities, Wānanga and ITPs).</li> </ul>

**Table 70- Wānanga Section 4.2.4 Figure: Distribution of TEIs - Proportion of EFTS in diploma level 4 and above qualifications for students aged under 25**

**Wānanga Section 3.2.5, Figure and Table Wānanga sector and sector comparators - Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Graph and Table	Calculations / Criteria
Proportion of EFTS at level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Students aged under 25</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for Wānanga sector</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sector</li> </ul>

**Table 71- Wānanga Section 3.2.5, Figure and Table: Wānanga sector and sector comparators - proportion of EFTS for diploma level 4 and above qualifications for students aged under 25**

**Wānanga Section 3.3.1, Table: Summary of KPI actuals - Proportion of EFTS for level 4 and above qualifications**

Table	Data transformation steps
Proportion of EFTS for level 4 and above qualifications	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the YTD proportion of EFTS for level 4 and above qualifications as Total YTD EFTS for level 4 and above qualifications / Total YTD EFTS for provider.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the full year (December) proportion of EFTS for level 4 and above qualifications as Total full year EFTS for level 4 and above qualifications / Total full year EFTS for provider.</li> </ul>
	<ul style="list-style-type: none"> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> </ul>
	<ul style="list-style-type: none"> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 72- Wānanga- Section 3.3.1, Table: Summary of KPI actuals: Proportion of EFTS for level 4 and above qualifications**

**Wānanga Section 3.3.2 and 3.3.3, Figure and Table: Proportion of EFTS for level 4 and above qualifications**

Graph and Table	Calculations / Criteria
Proportion of EFTS for level 4 and above qualifications	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate YTD proportion as Total YTD EFTS for each qualification award level / Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate full year (December) proportion as Total full year EFTS for each qualification award level / Total full year EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions for each qualification award level for all providers in the TEI sector (Universities, Wānanga and ITPs) per year</li> </ul>

**Table 73- Wānanga Section 3.3.2 and 3.3.3, Figure and Table: Proportion of EFTS for level 4 and above qualifications**

**Wānanga Section 3.3.4 Figure: Distribution of TEIs - Proportion of EFTS in level 4 and above qualifications**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for level 4 and above qualifications for the TEI sector	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportions of EFTS for level 4 and above qualifications in the reporting year for each provider within the TEI sector (Universities, Wānanga and ITPs).</li> </ul>

**Table 74- Wānanga Section 3.3.4 Figure: Distribution of TEIs - Proportion of EFTS in level 4 and above qualifications**

**Wānanga Section 3.3.5 Figure and Table: Wānanga sector and sector comparators - Proportion of EFTS for level 4 and above qualifications**

Graph and Table	Calculations / Criteria
Proportion of EFTS at level 4 and above qualifications	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification</li> </ul>

Graph and Table	Calculations / Criteria
	award level over Total YTD EFTS for Wānanga sector
	<ul style="list-style-type: none"> <li>Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sector</li> </ul>

**Table 75 - Wānanga Section 3.3.5 Figure and Table: Wānanga sector and sector comparators - Proportion of EFTS for level 4 and above qualifications**

### **Production of PTE and OTEP KPI Tables and Graphs**

The following table describes some common data preparation steps for PTE and OTEP KPI participation indicators. with subsequent tables describing specific processes for each element of the KPIs in the draft Progress Monitoring Report.

	Calculations / Criteria
Proportion of EFTS for level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>Students aged under 25</li> </ul>
	<ul style="list-style-type: none"> <li>Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>Total EFTS for each qualification award level / Total EFTS for provider</li> </ul>
Proportion of EFTS for Māori students	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Identify any students with Māori in either ethnicity fields 1, 2 or 3</li> </ul>
	<ul style="list-style-type: none"> <li>Total EFTS for above students / Total EFTS for provider</li> </ul>
Proportion of EFTS for Pacific peoples students	<ul style="list-style-type: none"> <li>Qualification award level is not non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>Identify any students with Pacific peoples in either ethnicity fields 1, 2 or 3</li> </ul>
	<ul style="list-style-type: none"> <li>Total EFTS for above students / Total EFTS for provider</li> </ul>

**Table 76 – PTE and OTEP – Section 3 - KPI - common data preparation steps for PTE and OTEP participation indicators**

#### **PTE Section 3.1.1, Table: Summary of KPI actuals - Proportion of EFTS for Maori students**

Table	Data transformation steps
Proportion of EFTS for Maori students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the YTD proportion of EFTS for Maori students as Total YTD</li> </ul>

Table	Data transformation steps
	EFTS for Maori students / Total YTD EFTS for provider.
	<ul style="list-style-type: none"> <li>Calculate the full year (December) proportion of EFTS for Maori students as Total full year EFTS for Maori students / Total full year EFTS for provider.</li> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 77- PTE- Section 3.1.1, Table: Summary of KPI actuals - Proportion of EFTS for Maori students**

**PTE Section 3.1.2 Figure and Table: Proportion of EFTS for Maori students**

Graph and Table	Data transformation steps
Proportion of EFTS for Maori students.	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Display the full year counts and proportions of EFTS for Maori students for the provider for 2004 to 2007.</li> <li>Display the YTD counts and proportions of EFTS for Maori students for the provider for 2004 to 2008.</li> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of EFTS for Maori students for all providers in the sub sector per year</li> </ul>

**Table 78- PTE Section 3.1.2 Table: Proportion of EFTS for Maori students**

**PTE Section 3.1.3 Distribution of PTEs and OTEPs - Proportion of EFTS for Maori students**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for Maori students for the PTE and OTEP sub sector	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportions of EFTS for Maori students in the reporting year for each provider within the sub sector</li> </ul>

**Table 79- PTE Section 3.1.3, Figure: Distribution of PTEs and OTEPs - Proportion of EFTS for Maori students**

**PTE Section 3.1.4 Table and Figure: Sub sector and sector comparators - proportion of EFTS for Maori students**

Graph and Table	Data transformation steps
Sub sector and sector proportions of EFTS for Maori students.	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> <li>Calculate the YTD proportions of EFTS for Maori students for each year for the provider, sub sector and sector.</li> </ul>

**Table 80- PTE Section 3.1.4 Table and Figure: Sub sector and sector comparators - proportion of EFTS for Maori students**

**PTE Section 3.2.1 Table: Summary of KPI actuals - Proportion of EFTS for Pacific Peoples students**

Table	Data transformation steps
Proportion of EFTS for Pacific Peoples students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the YTD proportion of EFTS for Pacific Peoples students as Total YTD EFTS for Pacific Peoples students / Total YTD EFTS for provider.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the full year (December) proportion of EFTS for Pacific Peoples students as Total full year EFTS for Pacific Peoples students / Total full year EFTS for provider.</li> </ul>
	<ul style="list-style-type: none"> <li>To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.</li> </ul>
	<ul style="list-style-type: none"> <li>If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.</li> </ul>

**Table 81 - PTE Section 3.2.1 Table: Summary of KPI actuals - Proportion of EFTS for Pacific Peoples students**

**PTE Section 3.2.2 Figure and Table: Proportion of EFTS for Pacific Peoples students**

Graph and Table	Data transformation steps
Proportion of EFTS for Pacific Peoples students	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Display the full year counts and proportions of EFTS for Pacific Peoples students for the provider for 2004 to 2007.</li> </ul>
	<ul style="list-style-type: none"> <li>Display the YTD counts and proportions of EFTS for Pacific Peoples students for the provider for 2004 to 2008.</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions of EFTS for Pacific Peoples students for all providers in the sub sector per year</li> </ul>

**Table 82 - PTE Section 3.2.2 Table: Proportion of EFTS for Pacific Peoples students**

**PTE Section 3.2.3 Distribution of PTEs and OTEPs - Proportion of EFTS for Pacific Peoples students**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for Pacific Peoples students for the PTE and OTEP sub sector	<ul style="list-style-type: none"> <li>Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>Calculate the YTD proportions of EFTS for Pacific Peoples students in the reporting year for each provider within the sub sector</li> </ul>

**Table 83 - PTE Section 3.2.3, Figure: Distribution of PTEs and OTEPs - Proportion of EFTS for Pacific Peoples students**

**PTE Section 3.2.4 Figure and Table: Sub sector and sector comparators - proportion of EFTS for Pacific Peoples students**

Graph and Table	Data transformation steps
Sub sector and sector proportions of EFTS for Pacific Peoples students	• Use the <b>KPI</b> dataset 'KPI Table'
	• Calculate the YTD proportions of EFTS for Pacific Peoples students for each year for the provider, sub sector and sector.

**Table 84 - PTE Section 3.2.4 Figure and Table: Sub sector and sector comparators - proportion of EFTS for Pacific Peoples students**

**PTE Section 3.3.1 Table: Summary of KPI actuals – Proportion of EFTS for level 4 and above qualifications for students aged under 25**

Table	Data transformation steps
Proportion of EFTS for level 4 and above qualifications for students aged under 25	• Use the <b>KPI</b> dataset 'KPI Table'
	• Calculate the YTD proportion of EFTS for level 4 and above qualifications for students aged under 25 as Total YTD EFTS for level 4 and above qualifications for students aged under 25 / Total YTD EFTS for students aged under 25.
	• Calculate the full year (December) proportion of EFTS for level 4 and above qualifications for students aged under 25 as Total full year EFTS for level 4 and above qualifications for students aged under 25 / Total full year EFTS for students aged under 25.
	• To calculate the 'Variance Range Last 4 Years Low' and 'Variance Range Last 4 Years High' subtract the respective full year proportion from the YTD proportion for the previous 4 years (2004 - 2007) and show the minimum and maximum value.
	• If the provider made a commitment for 2008, display this proportion as '2008 Outcome Commitment' and calculate the '2008 YTD variance from outcome commitment' as '2008 YTD Proportion' - '2008 Outcome Commitment'.

**Table 85 - PTE Section 3.3.1 Table: Summary of KPI actuals – Proportion of EFTS for level 4 and above qualifications for students aged under 25**

**PTE Section 3.3.2 Figure and Table: Proportion of EFTS at level 4 and above qualifications for students aged under 25**

Graph and Table	Data transformation steps
Proportion of EFTS at level 4 and above qualifications for students aged under 25	• Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'
	• Qualification award level is not in non-formal
	• Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral
	• Students aged under 25
	• Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+

Graph and Table	Data transformation steps
	<ul style="list-style-type: none"> <li>• Calculate YTD proportion as Total YTD EFTS for each qualification award level / Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate full year (December) proportion as Total full year EFTS for each qualification award level / Total full year EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate the mean, median, upper and lower quartile, highest and lowest values and standard deviation based on YTD proportions for each qualification award level for all providers in the sub sector per year</li> </ul>

**Table 86 - PTE Section 3.3.2 Figure and Table: Proportion of EFTS in level 4 and above qualifications for students aged under 25**

**PTE Section 3.3.3 Distribution of PTEs and OTEPs - Proportion of EFTS at level 4 and above qualifications for students aged under 25**

Graph	Calculations / Criteria
Comparing the 2008 YTD proportions of EFTS for level 4 and above qualifications for students aged under 25 for the PTE and OTEP sub sector	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Table'</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate the YTD proportions of EFTS for level 4 and above qualifications for students aged under 25 in the reporting year for each provider within the sub sector</li> </ul>

**Table 87 - PTE S3.3.3, Figure: Distribution of PTEs and OTEPs - Proportion of EFTS at level 4 and above qualifications for students aged under 25**

**PTE Section 3.3.4 Figure and Table: Sub sector and sector comparators - proportion of EFTS for diploma level 4 and above qualifications for students aged under 25**

Graph and Table	Calculations / Criteria
Proportion of EFTS at level 4 and above qualifications for students aged under 25	<ul style="list-style-type: none"> <li>• Use the <b>KPI</b> dataset 'KPI Enrolment Award Level Table'</li> </ul>
	<ul style="list-style-type: none"> <li>• Qualification award level is not in non-formal</li> </ul>
	<ul style="list-style-type: none"> <li>• Keep qualification levels 1-3 certificates, 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral</li> </ul>
	<ul style="list-style-type: none"> <li>• Students aged under 25</li> </ul>
	<ul style="list-style-type: none"> <li>• Subtotal qualification levels 4 certificates, 5-7 diplomas, 7 degrees/graduate diplomas, 8-9 postgraduate and 10 doctoral as subtotal level 4+</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for provider</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sub sector</li> </ul>
	<ul style="list-style-type: none"> <li>• Calculate as a proportion the Total YTD EFTS for each qualification award level over Total YTD EFTS for sector</li> </ul>

**Table 88 - PTE S3.3.4 Figure and Table: Sub sector and sector comparators - proportion of EFTS for diploma level 4 and above qualifications for students aged under 25**

## APPENDIX B: LIST OF ABBREVIATIONS

Abbreviation	Description
ACE	<b>Adult Community Education</b>
Baseline Monitoring Report	<b>Baseline Monitoring Report</b>
DOB	<b>Date of birth</b>
EDUMIS	<b>A unique identification number for Tertiary Education Organisations assigned by the MoE</b>
EFTS	<b>Equivalent Full-time Student</b>
eSDR	<b>MoE database containing SDRs from Tertiary Education Organisations</b>
ITO	<b>Industry Training Organisations</b>
ITP	<b>Institutes of Technology and Polytechnic</b>
KPI	<b>KPIs</b>
MoE	<b>Ministry of Education (The Ministry)</b>
MoP	<b>Mix of Provision</b>
NSN	<b>National Student Number</b>
NZSCED	<b>New Zealand Standard Classification of Education</b>
OTEP	<b>Other Tertiary Education Provider</b>
PTE	<b>Private Training Establishment</b>
QACC	<b>Qualification Award Category Code</b>
RDM	<b>Reporting Data-mart</b>
SAC	<b>Student Achievement Component funding</b>
SCF	<b>Student Component Fund</b>
SDR	<b>Single Data Return</b>
STertiary Education Organisation	<b>Services for Tertiary Education Organisations</b>
STEP	<b>Statement of Tertiary Education Priorities</b>
STM	<b>Standard Training Measure</b>
TCM	<b>Tertiary Contact Management System.</b>
TEC	<b>Tertiary Education Commission</b>
TEI	<b>Tertiary Education Institutions</b>
Tertiary Education Organisation	<b>Tertiary Education Organisation</b>
Tertiary Education OrganisationC	<b>Tertiary Education Organisation Component</b>
TES	<b>Tertiary Education Strategy</b>
YTD	<b>Year to Date</b>