

**Tertiary Education  
Commission**

Te Amorangi Mātauranga Matua



# Educational Performance Indicators: Definitions and Methodology

**For provider-based provision (SDR)**

**Version 1.3**

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# Contents

Contents	ii
Introduction	5
Successful course completion	6
Progression	9
Cohort-based qualification completion rate	14
Cohort-based first year retention rates	18
Other Measures	20
Participation	20
Supplemental information for cohort-based qualification completion rates	21
Appendix 1: Acronyms used in the methodology	25
Appendix 2: Publishing EPIs	26
Appendix 3: Sources of data	27
Appendix 4: Calculating the indicators when TEOs merge	28
Appendix 5: Dimensions	30

# Version history

Version	Date	Change
1	December 2017	<p>This document is the result of merging two prior methodology documents:</p> <ul style="list-style-type: none"> <li>• Educational Performance Indicators: Definitions and Methodology – Measuring Student Achievement for Tertiary Education Organisations - Student Achievement Component and Youth Guarantee funds reported through the SDR - Version 8.</li> <li>• Cohort-based qualification completion and retention rates – methodology paper July 2016.</li> </ul>
		In merging the two methodology documents the language has been made consistent and simplified. No business rules changes have been made to the methodology.
		<p>There are changes to the educational performance indicators being published.</p> <ul style="list-style-type: none"> <li>• The student retention and EFTS weighted qualification completion rates will no longer be published.</li> <li>• The published course completion rate will now include all relevant sources of funding - not just Student Achievement Component and Youth Guarantee.</li> </ul>
		A correction has been made to the rules of the first-year retention rate. In the July 2016 document on page 17 it was noted that “We are measuring first year retention rates for qualifications at level 7 degree and above and for qualifications that are 2 EFTS or more at levels 5-7 (non-degree).” This should have read levels 47 (non-degree).
		Information has been added when viewing cohort-based rates by dimensions (see Appendix 5).
	February 2018	Clarification to page 20 in describing timeframes for measuring retention rates.
1.1	July 2018	Information has been added on what qualification award category codes are included in the Level 7-degree cohort There has been no change to the methodology, this is a clarification only.
		A sentence has been added regarding study of less than 12 weeks in a year being considered part-time There has been no change to the methodology, this is a clarification only.
		The text and formulas have been made consistent in the section regarding non-completion progression rates
		The funding sources used when publishing progression rates (have been updated. This now includes all student achievement component funding sources for level 1 to 4 delivery. Youth Guarantee has been removed as we are no longer producing a separate Youth Guarantee report.
1.2	March 2021	This update is due to introduction of three qualification award category codes for micro credentials (50) and training scheme (55 and 91). Micro-credentials are effective from 2019 and training scheme is effective from 2020.

Version	Date	Change
1.3	June 2026	<p>This update does not include any changes to the methodology for calculating EPIs.</p> <p>Changes made include</p> <ul style="list-style-type: none"> <li>- edits to reflect current terminology and to update examples</li> <li>- removing descriptions of old (pre-2016) indicators</li> </ul> <p>Changes to make the provider-based and work-based EPI documents consistent in language and format.</p>

# Introduction

- 1 This document sets out the methodology used to calculate the educational performance indicators (EPIs) for tertiary education organisations (TEOs) that report provider-based enrolments through DXP Ngā Kete (SDR).
- 2 Each year we publish EPIs for successful course completion, progression, cohort-based qualification completion and cohort-based first year retention.
- 3 This methodology covers four EPIs:
  - (a) **Successful course completion rate** - the proportion of course enrolments (calculated on an EFTS delivered basis) ending in a given year that have been successfully completed.
  - (b) **Progression rate** – the proportion of learners completing a qualification who then enrol, within a given time-period, in a higher-level qualification. The enrolment in a higher-level qualification can be at any TEO.
  - (c) **Cohort-based qualification completion** - the proportion of learners in a cohort who go on to complete a qualification at the same level as the cohort at the same TEO.
  - (d) **Cohort-based first year retention** - the proportion of learners in a cohort who enrol in a qualification at the same level at the same TEO in the year after they enter the cohort. First year retention rates are measured for learners who are enrolled in a 2 EFTS or above qualification at level 4 and above.
- 4 Supplemental information is calculated in addition to the cohort-based qualification completion and first year retention rates. For cohort-based qualification completion this includes non-completion progression and completion at a different level from the cohort the learner is enrolled in. For cohort-based first year retention this includes completion in the cohort and non-completion progression to another cohort. The methodology for calculating these rates is also included in the document.
- 5 While not a measure of educational output performance the methodology for calculating participation rates is also included in this document. Participation indicators measure the proportion of learners from priority groups engaged in tertiary education.
- 6 EPIs are published after the April SDR has been completed. Any data submitted after the cutoff date relating to the previous reporting year will be captured in DXP Ngā Kete but not included in the published EPIs.

# Successful course completion

## How it is measured

- 7 Successful course completion rate is calculated on an EFTS delivered basis and is the proportion of course enrolments ending in a given year that have been successfully completed. It is calculated using formula 1 below (where year n is the reporting year).

**Formula 1: EFTS-weighted successful course completion rate for year n:**

<i>Numerator</i>	EFTS delivered for the total number of successfully completed course enrolments ending in year n
<i>Denominator</i>	EFTS delivered for the total number of course enrolments ending in year n

## Timeframe for reporting

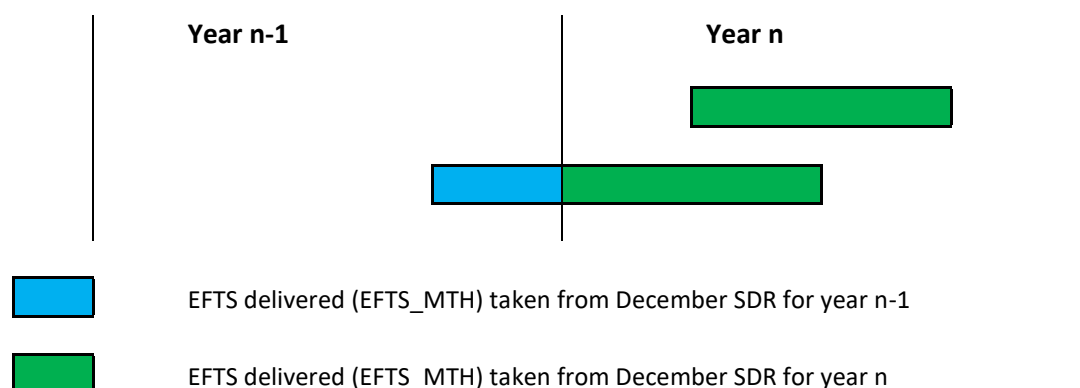
- 8 The successful course completion rate includes courses with an end date within the reporting year. For example, the reporting year of 2025 will include learners who enrolled in courses with a course end date in 2025.

## Methodology

- 9 Include all course enrolments with a course end date in year n even if the course start date was in year n-1 or earlier. Where there are duplicate records (with an identical NSN, start date, course code, and TEO code) use the last submitted course enrolment for the learner. Where a learner has multiple NSNs use their master NSN.
- 10 Match these course enrolments to course completion records using TEO code, NSN, course code and course start date. Where there are two or more course completion records use the most recently submitted completion record for the course enrolment. If two or more course completion records are in the latest SDR, prioritise those identified as being completed successfully (where the SDR COMPLETE field value is 2).
- 11 Exclude course enrolments not to be included in the successful course completion rate. These are are:
- (a) course enrolments in year n associated with qualifications for which the TEC does not expect a course completion. These qualifications have a qualification award code (QAC) code of:
    - › missing or blank
    - › 90: Certificates of personal interest
    - › 91: Non-Formal Training Scheme not otherwise defined
    - › 96: STAR
    - › 97: Programmes of study taught under contract
    - › 99: ACE programmes of study at public TEIs

- (b) course enrolments eligible for PBRF funding. These are those course enrolments where the PBRF-Eligible field in the Course Register File is M, D, L, or C. They are excluded as they are wholly research-based and are likely to have high numbers of still-to-complete enrolments at the time EPIs are calculated.
- 12 Calculate EFTS delivered value for the course enrolment by summing the EFTS\_MTH (EFTS by Month) field values in the SDR course enrolment record for the entire course enrolment. This includes those:
- not matched to a completion record
  - successfully completed (COMPLETE value 2)
  - still to complete (COMPLETE values 0, 1, 5, 6, or 7)
  - completed unsuccessfully (COMPLETE value 3)
  - not completed (COMPLETE value 4), and
  - missing a COMPLETE record.
- 13 Where the course end date is in year n but the enrolment started in year n-1 or earlier, all EFTS\_MTH values are summed from each December SDR that the enrolment is included in. Figure 1 shows how the SDR is used to sum the EFTS delivered for a year n course record.

**Figure 1: Data used when counting EFTS delivered**



- 14 Calculate the EFTS delivered for the total number of successfully completed course enrolments ending in year n by summing the EFTS delivered value for those courses where the SDR COMPLETE field value is 2.
- 15 When calculating course completion rates for a particular source (or sources) of funding only include course enrolments with that source (or sources) of funding.

**Example**

16 A worked example calculating the EFTS-weighted successful course completion rate.

**Table 1: Example – EFTS-weighted successful course completion rate**

	Denominator	Numerator	Numerator/ Denominator
Course	EFTS by month for enrolments	EFTS by month for successful course completions	EFTS-weighted successful course completion rate
COURSE1	5.601	4.233	
COURSE2	17.566	12.658	
COURSE3	56.010	32.984	
COURSE4	8.000	7.000	
<b>Total for TEO</b>	<b>87.177</b>	<b>56.875</b>	<b>65.2%</b>

# Progression

## How it is measured

- 17 The progression rate is the proportion of learners who complete a qualification at one TEO and within 12 months of completion enrol in higher level qualification at the same or a different TEO within New Zealand. It is calculated using Formula 2 below (where year n is the reporting year).
- 18 The published progression indicator shows the proportion of learners enrolling in a higher-level qualification after completing a NZQCF level 1 to 4 qualification.

### Formula 2: Completion progression rate (as a percentage):

<i>Numerator</i>	Number of learners enrolled at a higher qualification level within 12 months following the qualification completion
<i>Denominator</i>	Number of learners completing a qualification at each level in year n-1

## Timeframe for reporting

- 19 The period used for measuring progression rates is two years. For example, the reporting year of 2025 will include learners who completed a qualification in 2024 and enrolled in a higher-level qualification in either 2024 or 2025.

## Methodology

- 20 Identify all qualification completions that occurred in year n-1. Where duplicate qualification completion records exist (identical NSN, qualification code and TEO code), select only the latest submitted record. Where a learner has multiple NSNs use their master NSN.
- 21 Exclude qualification completions not to be included in the calculation of the progression rate. These are qualification completions:
- (a) where the TEC does not expect a completion, these have a QAC code value of:
    - › missing or blank
    - › 25: certificate of proficiency (learner enrolled in course that can be credited to a degree)
    - › 37: certificate of proficiency (learner enrolled in course that can be credited to a diploma)
    - › 50: Micro Credentials
    - › 55: Training Scheme
    - › 90: certificates of personal interest
    - › 91: Non-Formal Training Scheme not otherwise defined
    - › 96: STAR

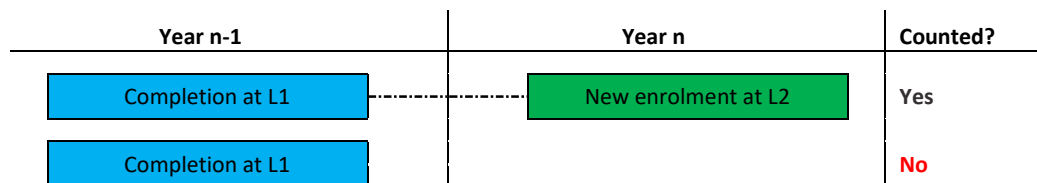
- › 97: programmes of study taught under contract
  - › 98: programmes of study made of selected unit standards, and
  - › 99: ACE programmes of study at TEIs.
- (b) that cannot be matched to a course enrolment (using TEO, NSN and Qualification Code)
- (c) where the course end date of the last course enrolment associated with the qualification is in a year later than the year requirements met of the completion (it is assumed the learner is still studying and has not completed their qualification).
- 22 A learner is counted as enrolling in a higher-level qualification if they enrol in a course in any fund reported through the SDR where:
- (a) the qualification associated with the course enrolment is at a higher NZQCF level than the completed qualification
  - (b) the course start date is in the period from 6 months before to 12 months after the latest course end date associated with the completed qualification
  - (c) the course start date is after the earliest course start date associated with the completed qualification
  - (d) the latest course end date is after the latest course end date associated with the completed qualification
  - (e) is in a course that the TEC expects course completions. Exclude courses where the associated qualification has a QAC code value of:
    - › missing or blank
    - › 90: certificates of personal interest
    - › 91: Non-Formal Training Scheme not otherwise defined
    - › 96: STAR
    - › 97: Programmes of study taught under contract, and
    - › 99: ACE programmes of study at public tertiary education institutions.
- 23 The calculation uses only one enrolment and only one qualification completion per learner per qualification level. The selection priority is:
- (a) progression to a course enrolment in the selected fund(s)
  - (b) progression to a course enrolment in another fund
  - (c) progression to the qualification with the highest EFTS value
- 24 progression to the qualification that starts first (using course start date)
- (d) the completed qualification with the highest EFTS value
- 25 the completed qualification that finishes first (using course end date).
- 26 A learner will be counted more than once if they complete or re-enrol in more than one qualification at different levels.

- 27 In reporting progression by source of funding the completed qualification must have at least one course enrolment in the selected source(s) of funding.

#### Example

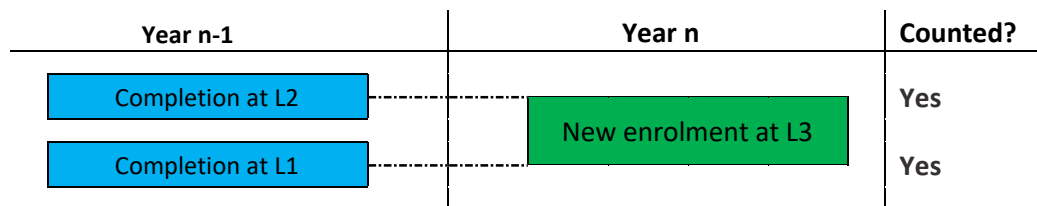
- 28 If a learner has more than one qualification completion at the same qualification level, TEO number and completion year combination (and has subsequent enrolments) then only one qualification completion is selected for the denominator (see Figure 2).

**Figure 2: Example – learner has more than one qualification completion at the same qualification level**



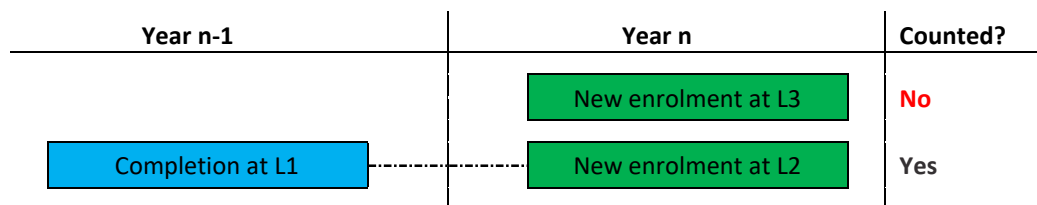
- 29 If the same learner completes two qualifications but at different levels, both are counted if the learner enrolls in a higher qualification (see Figure 3). One enrolment, then, can be re-used to count multiple progressions for the same learner.

**Figure 3: Example – same learner completes two qualifications but at different levels**



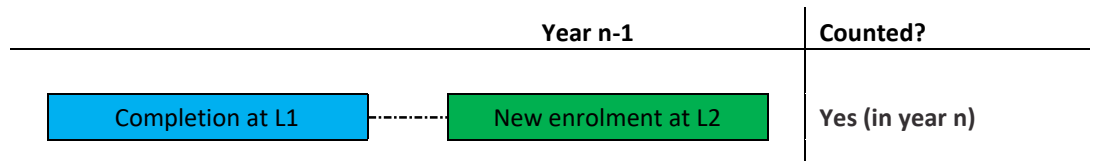
- 30 If a learner has more than one post-completion enrolment, only one is counted per completed qualification level (see Figure 4).

**Figure 4: Example – learner has more than one post-completion enrolment**



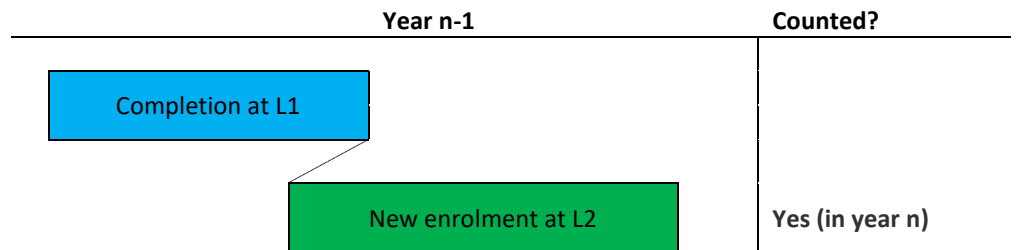
- 31 If a learner completes a qualification in year n-1 and subsequently enrolls in a higher-level qualification that same year, the learner is counted in the EPI progression calculation for year n (see Figure 5).

**Figure 5: Example – learner completes a qualification and enrolls in a higher level qualification one week after**



- 32 If a learner completes a qualification prior to the end date of the final course and immediately enrolls in a higher level qualification, the learner will be counted (but the enrolment must be no more than six months prior to the final course end date) (see Figure 6).

**Figure 6: Example – learner completes a qualification one week before the final course end date and immediately enrolls in a higher level qualification**



- 33 Table 2 shows a worked example calculating the completion progression rate.

**Table 2: Example – calculating the total completion progression rate for a TEO**

Calculation key:		a	b	b/a
NSN	Qualification	Qualification completed successfully	Re-enrolled at higher level after successfully completing	Completion progression rate
111111	QUAL01	1	0	
444444	QUAL01	1	0	
888888	QUAL01	1	1	
101010	QUAL01	1	1	
<b>Subtotal</b>	<b>QUAL01</b>	<b>4</b>	<b>2</b>	<b>50.0%</b>
222222	QUAL02	1	0	
444444	QUAL02	1	1	
666666	QUAL02	1	1	
777777	QUAL02	1	0	
999999	QUAL02	1	0	
101010	QUAL02	1	0	

## UNCLASSIFIED

Calculation key:		a	b	b/a
NSN	Qualification	Qualification completed successfully	Re-enrolled at higher level after successfully completing	Completion progression rate
<b>Subtotal</b>	<b>QUAL02</b>	<b>6</b>	<b>2</b>	<b>33.3%</b>
333333	QUAL03	1	1	
555555	QUAL03	1	0	
666666	QUAL03	1	0	
999999	QUAL03	0	0	
<b>Subtotal</b>	<b>QUAL03</b>	<b>3</b>	<b>1</b>	<b>33.3%</b>
<b>Total</b>		<b>13</b>	<b>5</b>	<b>38.5%</b>

# Cohort-based qualification completion rate

## How it is measured

- 34 The cohort-based qualification completion rate is the proportion of learners in a starting cohort who go on to complete a qualification at the same level at the same TEO. The qualification completion rate of a cohort is calculated using Formula 3 (where year Y is the cohort entry year and year n is the reporting year).

**Formula 3: Cohort-based qualification completion rate:**

<i>Numerator</i>	Total number of learners in the starting cohort at level X for year Y who complete a qualification by year n
<i>Denominator</i>	Total number of learners in the starting cohort at level X for year Y

- 35 The cohort-based approach does not require a learner to complete the qualification they initially enrolled in. The learner is only required to complete a qualification at the same level.

## Timeframes for reporting

- 36 The period for measuring qualification completions differs by NZQCF level:
- For levels 1 to 3, use a two-year period.
  - For levels 4 to 7 non-degree, use a four-year period.
  - For levels 7 (degree) and above, use a six-year period.
- 37 For example, for the 2025 reporting year the cohort entry year by level are 2024 cohort for levels 1 to 3, 2022 cohort for levels 4 to 7 non-degree levels and 2020 cohort for Level 7 degree and above.
- 38 The years are counted from the start of the calendar year for the starting cohort. For example, the six-year timeframe for a cohort that started at degree-level in 2020 would count completions up to the end of 2025.

## Methodology

- 39 Cohorts are created for each year there is a new learner enrolment in a NZQCF level. The exception is for level 7 where two cohorts are created – Level 7 (non-degree) and Level 7 (degree). The level 7 degree cohort includes enrolments in qualifications with an award category code of either 20 (degrees) or 21 (graduate diplomas and certificates).
- 40 A learner can only be counted once in a cohort at a NZQCF level in a given cohort entry year. The master NSN is used to create and maintain cohorts.

41 The rules for determining a new enrolment are:

(a) It is the learner's first enrolment at the TEO in the NZQCF level.

Example: A learner enrolls in a course on 1 March 2018 for qualification A. The NZQCF level of qualification A is 4. This is the first time the learner has enrolled in a course for a qualification at this level at this TEO. The learner would be in a level 4 cohort with a cohort entry year of 2018.

(b) The learner has previously enrolled in the NZQCF level at the TEO but there is a five-year or more gap between enrolments.

Example: A learner enrolls in a course with a course start date of 2 March 2023 in a level 6 qualification at TEO A. The end date of the learner's last enrolment in a level 6 qualification at the TEO was on or before 1 March 2018. The learner would enter the 2023 cohort at level 6 and remain in the 2018 cohort at level 6.

(c) The learner has completed a qualification at the TEO at the NZQCF level and is now enrolling in a qualification at the same level at the same TEO. A qualification completion date of 31 December of the year of completion is assumed meaning a learner cannot enter a cohort in the same year they complete in a cohort.

Example: A learner completes a level 4 qualification in 2023 at TEO A and then re-enrolls in another level 4 qualification in 2024. The learner would be counted as completed in the 2023 level 4 cohort and as started in the 2024 level 4 cohort.

42 If there are enrolments linked to different qualifications at different levels for the same learner in the same year, the learner will be included in a cohort for each of these levels.

43 The course enrolments submitted in a TEO's final December single data return (SDR) submission are used to create cohorts. The values associated with the course enrolment causing the learner to enter the cohort are used.

44 Exclude course enrolments from cohort creation and update processes where:

(a) the associated qualification has a QAC Code of:

- › 25: certificate of proficiency (learner enrolled in course that can be credited to a degree)
- › 37: certificate of proficiency (learner enrolled in course that can be credited to a diploma)
- › 50: Micro Credentials
- › 55: Training Scheme
- › 90: certificates of personal interest
- › 91: Non-Formal Training Scheme not otherwise defined
- › 96: STAR
- › 97: programmes of study taught under contract

- › 98: programmes of study made of selected unit standards, and
    - › 99: ACE programmes of study at TEIs
  - (b) the course enrolment has a funding source of:
    - › 05 – STAR
    - › 06 – Training Opportunities
    - › 11 – Off Job Training
    - › 23 – ACE or
    - › 33 – Dual Pathways
  - (c) the course enrolment has a course classification code of 5.1.
- 45 A learner is counted as completing in a cohort where they complete a qualification at the same level of the cohort. They do not have to complete the qualification they started, meaning completions will be counted even if the learner switches qualifications at the same level.
- 46 Other rules around recognising completions are:
- (a) Count completions even if the learner does not have a course enrolment with the same qualification code as the completion.
  - (b) Count completions even if there is an enrolment that starts after the year that the learner completed the qualification. An enrolment after completion means that the learner will enter a new cohort.
- 47 Qualification completions are taken from SDR qualification completion files received up to the time the cohort rate is reported.

### Example

- 48 There are 100 learners who start in a level 6 qualification in 2021. Five learners complete in 2022; 10 complete in 2023; and 45 complete in 2024. The rate would be 60% (60/100).

### Full-time and part-time rates

- 49 Cohort-based qualification completion rates are calculated separately for full-time and part-time learners.
- 50 A learner is in full-time study over the entire course of their study if the number of years they were in full-time study is equal to or greater than the number of years they were in part-time study. For example a learner is in study for 3 years. In the first and third years, the learner is in full-time study. In the second year, the learner is in part-time study. The learner is counted as being full-time over their entire course of study because the number of years that the learner is in full-time study is equal to or more than the years that the learner is in part-time study.
- 51 If a learner studies multiple qualifications at the same or different levels in a year the EFTS value across all of their study at the TEO is used to determine full time or part time status.
- 52 A learner is studying full-time within a calendar year if the total EFTS value of the course enrolments for the learner in a given year meets or exceeds the minimum

EFTS value for being full-time. Study of less than 12 weeks in a year is considered part-time. The threshold values are shown in Table 3.

- 53 The number of weeks enrolled is determined by the number of weeks between the start date of the earliest course in the year and the end date of the last course in the year.
- 54 Where a learner's study starts in one year and ends in another:
- the portion of their study falling in the first year is used in calculating full-time and part-time for the first year and an end date of study of 31 December is used
  - the portion of their study falling in the second year is used in calculating full-time and part-time for the second year and a start date of study of 1 January is used.

**Table 3: Threshold values by weeks enrolled**

Number of weeks enrolled in year	Minimum EFTS value to be full-time
12-15	0.3
16-19	0.4
20	0.5
21	0.525
22	0.55
23	0.575
24	0.6
25	0.625
26	0.65
27	0.675
28	0.7
29	0.725
30	0.75
31	0.775
32-52	0.8

# Cohort-based first year retention rates

## How it is measured

- 55 The first-year retention rate is the proportion of learners who are retained in study after their first year of study by enrolling in a qualification at the same level in the year after they enter the cohort. The first-year retention rate of a cohort is calculated using Formula 8 (where year Y is the cohort entry year and year Y+1 is the reporting year).
- 56 First year retention rates are only measured for learners enrolling in qualifications of two EFTS or more at level 4 and above.

**Formula 8: The first-year retention rate at level X for year Y for a TEO:**

<i>Numerator</i>	Total number of learners in a starting cohort who are still in study at level X in year Y+1 at TEO A
<i>Denominator</i>	Total number of learners in a starting cohort at level X for year Y at TEO A

## Timeframe for reporting

- 57 The period used for measuring first year retention rates is two years. For example, the reporting year of 2025 will include learners who started in a cohort in 2024 in qualifications that were two EFTS or more at levels 4 and above.

## Methodology

- 58 The rules for creating and maintaining a cohort are the same as the rules for creating and maintaining cohorts for the qualification completion rate, except that:
- The qualification linked to the course enrolment that determines the learner's entry into a cohort must have an EFTS value of two or more.
- 59 Cohorts for first year retention are only created for levels 4 and above.
- Where a learner first enrolls in a level 4 or above qualification which is less than two EFTS and then enrolls in a qualification at the same level that is two EFTS or more the learner will not be included in the retention rate cohort. This is because the EFTS value of the first qualification that the learner enrolled in is less than two EFTS.
- 60 A learner is counted as being retained if there is a course enrolment, linked to a qualification at the same cohort level, with a start date in the year after they entered the cohort.

**Example**

- 61 If there are 100 learners who start a level 6 qualification at TEO A in 2023. In 2024, 60 of these learners enrol in a course associated with a level 6 qualification. For 2024, the first-year retention rate is 60/100 or 60%.

# Other Measures

## Participation

### How it is measured

62 The participation indicator is used to monitor the extent to which groups of interest, specifically Māori, Pacific, and people under 25 years of age are engaged in tertiary education. Participation is calculated for any group of interest using Formula 9.

#### Formula 9: Participation rate (as a percentage):

<i>Numerator</i>	Total EFTS delivered for a group of interest in year n
<i>Denominator</i>	Total EFTS delivered in year n

### Methodology

63 In calculating participation exclude:

- (a) duplicate course enrolments with an identical NSN, start date, course code and TEO code. Retain only the last submitted enrolment in the course for the learner
- (b) courses where the TEC does not expect course completions. Exclude courses where the associated qualification has a QAC code value of:
  - › missing or blank
  - › 90: certificates of personal interest
  - › 91: Non-Formal Training Scheme not otherwise defined
  - › 96: STAR
  - › 97: Programmes of study taught under contract, and
  - › 99: ACE programmes of study at public tertiary education institutions.

64 Calculate the total EFTS delivered using the EFTS by Month that fall within the calendar year. This is different from the successful course completion indicator. For example, a course starts in October of year n and ends in May of the following year. Only the EFTS delivered between October and December of year n will be included in the participation rate for year n. The EFTS delivered between January and May of year n+1 will be included in the participation rate for year n+1.

65 When calculating participation rates by group of interest:

- (a) for an ethnic group, the numerator is EFTS delivered for all learners who have declared one or more ethnicity fields for a particular ethnic group will be included in the EFTS delivered for that ethnic group. The denominator is the EFTS delivered for learners of known ethnicity, so those who did not state any ethnic group are excluded

- 66 when calculating participation rates for more than one dimension (see appendix 5 for dimensions) apply the dimension filters to the numerator but not the denominator (e.g., learners aged under 25 enrolled at levels 4 and above).
- 67 In reporting participation by source(s) of funding only include course enrolments for that source of funding.

## Supplemental information for cohort-based qualification completion rates

### Non-completion progression rate

- 68 Non-completion progression rate is the proportion of learners in a cohort who are no longer enrolled in the cohort, have not completed a qualification in the cohort and have enrolled in a qualification at a different level from the cohort. The change may be to a higher- or lower-level qualification.
- 69 The higher non-completion progression rate is calculated using Formula 4

**Formula 4: Higher non-completion progression rate at level X in year Y:**

<i>Numerator</i>	Total number of learners in a starting cohort at level X for year Y who have not re-enrolled at the same level and not completed but who have enrolled at a higher level
<i>Denominator</i>	Total number of learners in the starting cohort at level X in year Y

- 70 The lower non-completion progression rate is calculated using Formula 5

**Formula 5: Lower non-completion progression rate at level X in year Y:**

<i>Numerator</i>	Total number of learners in a starting cohort at level X for year Y who have not re-enrolled at the same level and not completed but who have enrolled at a lower level
<i>Denominator</i>	Total number of learners in the starting cohort at level X in year Y

- 71 Non-completion progression occurs when a learner in a cohort:
- does not complete a qualification at the level that they started in
  - has stopped enrolling in courses linked to a qualification at the level that they started, and
  - has a subsequent enrolment in a course (eg, the start date of this course is after the end date of the last course at the qualification level that they started in) linked to a qualification at a different level.

- 72 Note that if a learner changes from a level 7 non-degree qualification to a level 7 degree qualification, this will count as a higher-level progression from a level 7 non-degree to a level 7 degree.
- 73 Non-completion progression is not counted or no longer counted where:
- there is a subsequent re-enrolment or completion at the same level of the cohort
  - the learner enrolls in multiple levels in the same year including the cohort level. They are treated as concurrent enrolments in two different cohorts and non-completion progression does not apply
  - there are multiple enrolments in the same year in higher and/or lower levels, both higher and lower progressions will be recorded, however only the higher progression will be reported.

### Example

- 74 Examples of non-completion progression:
- A learner enrolls in a course for a level 4 qualification in 2023. In 2024, the learner enrolls in courses for a level 2 qualification and a level 5 qualification. The learner will be reported as progressing from level 4 to level 5.
  - A learner enrolls in a course for a level 6 qualification in 2021. In 2022 the learner enrolls in a course for a level 7 non-degree qualification. The learner will be reported as progressing from level 6 to level 7 (non-degree). If the learner were then to enrol in 2024 in a course for a level 3 qualification, the learner would be reported as progressing from level 7 non-degree to level 3.
  - A learner enrolls in a course for a level 2 qualification and a course for a level 5 qualification, both in 2023. The learner then enrolls in a level 4 qualification in 2024. The learner will be reported as progressing from level 2 to level 4.

### Completion rates at higher and lower levels

- 75 Completion at a higher or lower level is the proportion of learners in a cohort who have completed a qualification a higher or lower level than the cohort, is no longer enrolled in the cohort and has not completed a qualification in the cohort.
- 76 Completion rates without a cohort (to higher level) at level X for year Y are calculated using Formula 6.

#### Formula 6: Completion rates to higher level at level X for year Y:

<i>Numerator</i>	Total number of learners in a starting cohort at level X for year Y who have not re-enrolled or completed in the cohort but who have completed at a higher level than the cohort
<i>Denominator</i>	Total number of learners in the starting cohort at level X in year Y

- 77 Completion rates without a cohort (to lower level) at level X for year Y are calculated using Formula 7.

**Formula 7: Completion rates to lower level at level X for year Y:**

<i>Numerator</i>	Total number of learners in a starting cohort at level X for year Y who have not re-enrolled or completed in the cohort but who have completed at a lower level than the cohort
<i>Denominator</i>	Total number of learners in the starting cohort at level X in year Y

- 78 Four rules are used:

- Do not count completions that are more than one NZQCF level higher or lower than the cohort level.
- Do not count the completions if the learner has previously completed at that level. For the completion to be recorded the learner must not have previously completed in the lower or higher-level cohort the completion is being recorded against.
- Discard the lower-level completion if the learner goes on to complete at the cohort level.
- Count the first completion. Only one completion is to be counted per cohort level for the learner.

**Example**

- 79 Examples of higher or lower-level completions include:

- A learner is enrolled in a level 4 cohort and completes a level 3 qualification - the level 3 completion is recognised as a lower-level completion against the level 4 cohort.
- A learner is enrolled in a level 3 cohort and completes a level 5 qualification without any course enrolments linked to a qualification at level 5. The level 5 completion is not counted towards the level 3 cohort as it is more than one level higher than the level 3 cohort.
- A learner is enrolled in a level 4 cohort and completes a level 3 qualification and in the following year completes another level 3 qualification (and has not been enrolled in a level 3 cohort). Only the first completion is to be counted.
- A learner is enrolled in a level 6 cohort and completes a level 5 qualification in 2023 and level 4 qualification in 2024 - the level 5 completion is recognised as a completion against the level 6 cohort and the level 4 completion is ignored.
- A learner is enrolled in a level 4 cohort, completes a level 3 qualification and then in the same year as the level 3 completion completes a level 4 qualification - the level 4 completion is recognised as a completion against the level 4 cohort and the level 3 completion is ignored.

- (f) A learner is enrolled in a level 4 cohort, completes a level 3 qualification and then in the subsequent year to the level 3 completion completes a level 4 qualification. The level 3 completion is initially recognised as a completion against the level 4 cohort. In the following year the level 4 completion is recognised and replaces the completion non-cohort (lower) level against the level 4 cohort.

## Appendix 1: Acronyms used in the methodology

**Table 4: List of acronyms used in this methodology**

Acronym	Term
ACE	Adult and Community Education
Cohort-based	A performance measure based on a group of learners
DOB	Date of birth
DQ	Delivery + Qualification
EFTS	Equivalent Full-Time Student
EPI	Educational Performance Indicator
MoE	Ministry of Education
NSN	National Student Number
NZQA	New Zealand Qualifications Authority
NZQCF	New Zealand Qualifications and Credentials Framework
NZSCED	New Zealand Standard Classification of Education
OLAP	Online Analytical Processing
PBRF	Performance-Based Research Fund
QAC code	Qualification Award Category code
SAC	Student Achievement Component
SDR	Single Data Return
STAR	Secondary Tertiary Alignment Resource
TEC	Tertiary Education Commission   Te Amorangi Mātauranga Matua
TEI	Tertiary Education Institution
TEO	Tertiary Education Organisation
TES	Tertiary Education Strategy
YG	Youth Guarantee

## Appendix 2: Publishing EPIs

### Sources of funding included in published rates

80 The following section identifies courses excluded in the calculation of the EPIs. Those marked with an \* (asterisk) listed for historical purposes and are no longer in use.

#### 81 Course Completion

All sources of funding, except:

- › 05 – STAR,
- › \*06 – Training Opportunities,
- › \*11 – Off Job Training,
- › 23 – ACE or
- › \*33 – Dual Pathways.

#### 82 Progression

Qualification completions where one or more courses were funded through:

- › 01 – DQ 7+ (formerly Student Achievement Component),
- › \*25 - SAC Level 1 & 2 Competitive Process Funding,
- › 26 – DQ Level 1 & 2 (formerly SAC Level 1 & 2 Plan Process Funding),
- › \*27 - Under 25 Fees Free SAC Level 1 and 2 Plan Process Funding,
- › 28 - Māori and Pacific Trades Training Level 1 and 2,
- › 29 - Māori and Pacific Trades Training Level 3 and 4,
- › \*32 - SAC Level 3 & 4 Competitive Process Funding;
- › 37 - DQ 3 to 7 non-degree

Enrolments at a higher level in any funding source.

#### 83 Cohort-based qualification completion

All sources of funding, except:

- › 05 – STAR,
- › \*06 – Training Opportunities,
- › \*11 – Off Job Training,
- › 23 – ACE or
- › \*33 – Dual Pathways.

#### 84 Cohort-based First Year Retention

All sources of funding, except:

- › 05 – STAR,
- › \*06 – Training Opportunities,
- › \*11 – Off Job Training,
- › 23 – ACE or
- › \*33 – Dual Pathways.

## Appendix 3: Sources of data

- 85 The data used to calculate the EPIs comes from the DXP Ngā Kete (SDR) submitted by the TEO and TEO qualification information held in TEC's Course and Qualification Registers.
- 86 Data for enrolment events is taken from December SDRs or from the last SDR submitted for the year if the December SDR is missing.
- 87 Data for course and qualification completion events is taken from all SDRs available at the time of production, but only the latest submitted record will be used.
- 88 Cohorts are created using the final December SDR submitted for the year.

# Appendix 4: Calculating the indicators when TEOs merge

## Scope of merging calculations

- 89 This appendix describes the methodology used when TEOs merge or one TEO purchases another TEO. Data is merged on a yearly basis as per the methodology described below.
- 90 For cohort-based performance EPIs TEO mergers are treated the same as where a learner changes TEO. The learner will enter a new cohort based on their first enrolment in the NZQCF level at the TEO.

## Participation

- 91 Include course enrolments with a course end date prior to the merger year in any participation figures for the pre merged entity.
- 92 Include the portion of an enrolment falling in the merger year in any participation figures for the merged entity.

## Successful course completions

- 93 Include courses completed with a course end date prior to the merger year in any completion figures for the pre merged entity.
- 94 Include courses completed with a course end date in or post the merger year in any course completion figures for the merged entity. This includes all EFTS from courses even if the course has a portion of its delivery in the year prior to the merger.
- 95 For example if TEO A and TEO B were to merge and the merger year was year n, the successful course completion rate for the combined entity in year n would be as shown in the formula below:

### Formula 10: Successful course completion rate for combined entity (as a percentage):

<i>Numerator</i>	EFTS delivered for the total number of successfully completed course enrolments ending in year n at TEO A and TEO B
<i>Denominator</i>	EFTS delivered for the total number of course enrolments ending in year n for TEO A and TEO B

## Progression

- 96 Include learners who completed a qualification at one of the pre-merger entities in the year prior to the merger year in the merged entity's progression rate if they enrol in a higher qualification at a TEO in the year of the merger date.
- 97 For example if TEO A and TEO B were to merge (with TEO A being the retained identity of the merged entity) in year n (and year n is the merger year) the learner

progression rate for the combined entity in year n would be as shown in the formula below:

**Formula 11: Progression rate for combined entity (as a percentage):**

<i>Numerator</i>	Number of learners enrolled at a higher qualification (with the allowed time parameters) following completion
<i>Denominator</i>	Number of learners completing a qualification (at either TEO A or TEO B) at each level in year n-1

## Appendix 5: Dimensions

### Age

- 98 The age of a learner is used in conjunction with the EPIs to identify outcomes for learners aged under 25.
- (a) A learner's age is calculated using the date of birth ("DOB" field from the Learner File in the SDR).
  - (b) If more than one date of birth exists, the Master NSN is selected.
  - (c) The learner's age in years is calculated as at 1 July of the year of interest and rounded down to a whole number.
  - (d) Where the age is unknown due to a missing or invalid date of birth, the learner is included in the 40+ age group when disaggregating by age band.
  - (e) For cohort-based EPIs the age is as at the year the learner entered the cohort.

### Ethnicity

- 99 The ethnicity dimension is used in conjunction with EPIs to monitor the achievement of groups of interest to the sector and government – specifically, Māori and Pacific learners.
- 100 TEOs report multiple ethnicity (ETHNIC) codes for a learner with each Learner File. Learners who report multiple ethnicities are counted once in each group with which they identified themselves. For example, a learner who reports both Māori and Tongan ethnicities is counted once in the Māori group and once in the Pacific group.
- 101 The following methodology has been applied to all indicators, including participation, when the indicator is disaggregated by ethnicity.
- (a) Exclude learners whose ethnicity is not stated (code 999).
  - (b) Aggregate learners whose ethnicity is Middle Eastern/Latin American/African with those in the "Other" ethnicity category.

### NZQCF register level

- 102 The NZQCF register level is used in conjunction with the EPIs to identify the level of study of a course or qualification.
- 103 When calculating retention and progression rates by register level, the register level filter is applied only to the denominator. For example, to calculate retention at Levels 4 and 5, we select learners who enrolled in Levels 4 and 5 courses for the denominator, then include re-enrolments and qualification completions at any level (not just Levels 4 and 5) for those learners in the numerator.
- 104 The above technique (of applying a register level filter only to the denominator) is not required when calculating successful course completion or qualification completion by register level. Qualification completion is first calculated at the qualification level anyway before being summed to derive a rate for the TEO and enrolments and completions for courses are, by definition, at the same level.

- 105 The register level is that associated with the qualification and not the course, even when calculating the successful course completion rate.
- 106 The TEC presents data by register level in different ways in order to meet differing needs. Plan Commitments and associated monitoring reports are designed to target TES priorities, which are grouped by levels 1-3 and 4 and above. Publication and performance-linked funding are more suited to a detailed breakdown by register level groupings (Level 1-2, Level 3-4, Level 5-6, etc).

#### **NZSCED**

- 107 The NZSCED dimension identifies the field of study of a course or qualification.
- 108 The NZSCED will be used to disaggregate the EPIs by the field of study of courses. This dimension is a six-digit code taken from the course enrolment (for example, 010901 denotes biochemistry and cell biology).
- 109 For cohort-based EPIs the NZSCED is that of the qualification at the time the learner entered the cohort.

#### **QAC code**

- 110 The QAC code field is to
- a. distinguish between formal and non-formal qualifications
  - b. determine whether the qualification is level 7 non- degree or degree.
- 111 For cohort-based EPIs the QAC Code is that of the qualification at the time the learner entered the cohort.

