

# Data management and USI

## VET policies and procedures

School RTO approval statement					
<b>School RTO name</b>	<b>Springwood State High School</b>				
<b>Policy start date</b>	15/06/2020	<b>QCAA school number</b>	13	<b>National provider number</b>	30116
<b>The Principal as Chief Executive Officer (CEO) approves:</b> <ul style="list-style-type: none"><li>• the policy, procedure and implementation requirements</li><li>• all identified attachments to this policy and procedure</li><li>• all modifications to the policy and procedure prior to implementation</li><li>• the delegated Registered Training Organisation (RTO) officer/s to implement the policy and procedure</li><li>• the allocation of time to ensure delegated officers carry out all components within the prescribed timelines and dates of all activities outlined in the quality calendar detailed through this policy and procedure</li><li>• the RTO Manager monitoring, evaluating and reviewing the application of this policy and procedure to ensure compliance at all times</li><li>• QCAA analysing these documents when conducting audits</li><li>• that email addresses provide the same acknowledgment as a signature.</li></ul>					
RTO Manager			Principal		
<b>Name</b>	Sonya Menz		<b>Name</b>	Melanie Harth-Swain	
<b>Email</b>	<a href="mailto:smenz25@eq.edu.au">smenz25@eq.edu.au</a>		<b>Email</b>	<a href="mailto:mhart15@eq.edu.au">mhart15@eq.edu.au</a>	
<b>Date</b>	15/06/2020		<b>Date</b>	13/07/2020	
<b>All additional delegated officers</b> (add additional places to this table as required)					
<b>Delegated officer</b>	Rebecca O'Donnell		<b>Delegated officer</b>		
<b>Email</b>	<a href="mailto:rodon45@eq.edu.au">rodon45@eq.edu.au</a>		<b>Email</b>		
<b>Date</b>	13/07/2020		<b>Date</b>		

# Section 1 Policy and procedure

Section 1 sets out the RTO's policy and procedure relating to obtaining, recording and reporting compliant Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data.

**Relevant Standards:** 1.26, 2.1, 2.2(b), 3.4–3.6(a), 3.6(d) and Schedule 5, 5.2(c), 7.5, 8.1(a, c, f), Australian Qualifications Framework (AQF), *Student Identifiers Act 2014*, Data Provision Requirements 2012, AVETMISS and National VET Data Policy 2017.

## Data management

Recording student data policy and procedure			
Policy	Enrolment	Management	Records and retention
<ul style="list-style-type: none"> <li>The RTO will maintain and provide accurate and complete student enrolment and outcome data using the QCAA-approved student management software system (SMSS).</li> <li>All training and assessment provided by the RTO will be reported to QCAA.</li> <li>Student unit enrolment must align with the relevant qualification's current TAS document.</li> <li>Students will only be enrolled in qualifications that are on the RTO's current scope of registration.</li> <li>Complete student enrolment data for qualifications and units of competency will be entered into the SMSS by the end of Term 1 of each calendar year. This is a QCAA mandatory requirement.</li> <li>Final student outcomes for units of competency and qualifications will be quality assured by RTO management prior to being recorded in the SMSS.</li> <li>Final outcomes will be recorded soon after a student has been assessed and RTO management approves the assessment decision.</li> <li>If a student exits a program or leaves the RTO, records must be updated immediately and any certification issued within 30 days.</li> <li>The RTO will fully cooperate with QCAA in providing data, including student enrolment, USI and quality indicator reports.</li> </ul>	<ul style="list-style-type: none"> <li>Prior to commencement of training and assessment, student data will include:               <ul style="list-style-type: none"> <li>enrolment in at least the minimum number of units of competency required by the qualification or accredited course</li> <li>proposed start and end dates for each unit of competency</li> <li>interim outcome of <i>Continuing enrolment</i> for each unit of competency</li> <li>confirmation that the qualification's currency period on <a href="http://training.gov.au">training.gov.au</a> is of sufficient length for students to complete the learning program</li> <li>the duration (difference between start and end dates) of the learning program aligns with the TAS document.</li> </ul> </li> <li>QCAA expects students to be enrolled in all required units of competency. QCAA only requires outcome data to be recorded when it occurs or by the end-of-year reporting date, whichever comes first.</li> </ul>	<ul style="list-style-type: none"> <li>Recording of student progression data is managed through cooperation between the assessor, RTO management and data management officers.</li> <li>Assessor's outcome decisions will be recorded in a student profile.</li> <li>The student profile document is approved by RTO management as part of the assessment system.</li> <li>The profile data will be used to enter student unit of competency outcomes as they become available or by the end-of-year reporting date, whichever comes first.</li> <li>When a qualification or unit is superseded, the affected students will be transitioned within the required transition timeframe or complete the qualification before the expiry of the transition or end of the 'teach out' period.</li> </ul>	<p>The RTO will ensure that:</p> <ul style="list-style-type: none"> <li>records of final student outcomes are accessible and retained for a period of 30 years</li> <li>students are informed that personal information will be collected and reported on their behalf</li> <li>for 2018 students only, signed or electronically acknowledged student declarations and consent of the RTO's privacy notice are retained</li> <li>records are securely held and only accessible by authorised RTO officers.</li> </ul>

Requirements of student data			
Student management system and reporting	Monitoring	Evaluation and review	Collection and reporting periods
<ul style="list-style-type: none"> <li>• Student VET course enrolment and outcomes details are maintained using the QCAA-approved SMSS.</li> <li>• The RTO management ensures all VET enrolments are recorded by the end of Term 1 of each year and all outcomes achieved during the year are recorded by the end-of-calendar-year reporting date.</li> </ul>	<p>In accordance with mandatory reporting requirements, the RTO Manager checks that:</p> <ul style="list-style-type: none"> <li>• course details and duration dates are accurate</li> <li>• unit enrolments comply with the relevant TAS</li> <li>• student outcomes are accurate prior to recording them in the QCAA-approved SMSS.</li> </ul>	<p>The RTO Manager:</p> <ul style="list-style-type: none"> <li>• reviews the previous year's performance through analysis of results from the annual learner survey questionnaire, student outcomes and systematic monitoring of this policy and procedure</li> <li>• identifies areas for improvement and actions any recommendations made</li> <li>• records any actions in Section 3 of this policy and procedure.</li> </ul>	<p>The RTO adheres to the mandatory record keeping timeframes prescribed by the QCAA in the Senior Education Profile (SEP) calendar including the:</p> <ul style="list-style-type: none"> <li>• QCAA mandatory record keeping and reporting dates</li> <li>• Annual Declaration on Compliance</li> <li>• Annual Quality Indicator data summary report.</li> </ul>

## Unique Student Identifier (USI)

USI policy and procedure			
Policy	Verification	Records	Reporting
<ul style="list-style-type: none"> <li>• Prior to enrolment in a VET course, students are informed: <ul style="list-style-type: none"> <li>– of the USI requirements and the National VET USI Register</li> <li>– that AQF certification will only be issued to students who are entitled to receive it and have provided the RTO with a verifiable USI.</li> </ul> </li> <li>• The RTO will have in place systems to verify a student's USI prior to issuance of AQF certification.</li> <li>• The RTO will advise students of the consequences of not providing a verifiable USI.</li> <li>• The RTO advises students that nationally recognised VET transcripts will be available to students who have provided a verifiable USI through the national USI transcript service.</li> </ul>	<ul style="list-style-type: none"> <li>• All USIs are verified prior to the first reporting period.</li> <li>• If a USI is acquired on behalf of a student by the RTO: <ul style="list-style-type: none"> <li>– the sector representative is consulted</li> <li>– consent from parent/carers is acquired</li> <li>– records are kept that the RTO verified the USI.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• USIs are securely held and reported using the QCAA-approved SMSS.</li> <li>• USI information is securely retained by the RTO, and its access is restricted to authorised RTO delegated officers only.</li> </ul>	<ul style="list-style-type: none"> <li>• QCAA reports all student outcomes and relevant enrolment data to NCVET (National Centre for Vocational Education Research), including USI codes.</li> <li>• National VET reporting is done through the services of the Queensland Department of Employment, Small Business and Training.</li> <li>• NCVET provides the student data in various forms to the: <ul style="list-style-type: none"> <li>– national USI transcript service</li> <li>– Australian Bureau of Statistics.</li> </ul> </li> </ul>

# Explanation of terms

This policy and procedure contains words and expressions which have specific meaning.

Glossary	
Term	Meaning
<b>Enrolment</b>	A student's VET enrolment records must align with the TAS and meet the packaging rules of the training package or accredited course and be on the school's scope of registration.
<b>Evaluate</b>	Assess the learner survey feedback in conjunction with final student outcomes to identify areas for improvement. Evaluation also includes assessing the effectiveness of the current policy and procedure.
<b>Monitor</b>	The ongoing process of collecting and analysing student enrolment, USI and outcomes records to determine if the RTO practices are complying with the RTO's policies and procedures.
<b>Outcomes</b>	Student interim or final results are entered and maintained in accordance with the approved QCAA Student Management System guideline handbook.
<b>Quality indicators (QI)</b>	The annual QI report is a summary of quality indicators provided through evaluation of learner engagement, employment satisfaction surveys and competency completion outcomes in accordance with the <i>Data Provision Requirements 2012 Act</i> .
<b>Records</b>	The RTO retains student enrolment and final outcome data for a 30-year period. These records must be accessible and contain sufficient information to reissue certification documents when requested by past students and to provide reports on request by the QCAA.
<b>Reporting software application — AVETMISS compliant</b>	QCAA-approved student management software systems (SMSS) are AVETMISS compliant. School RTOs are required to report to QCAA only.
<b>Review</b>	Acknowledging and actioning recommendations resulting from completing monitoring and evaluating activities.
<b>RTO officers</b>	Any person delegated by the Principal to ensure the accuracy of the RTO's student data and reporting and the USI policy and procedure are followed.
<b>Systematic monitoring</b>	The process of collecting, analysing and using information to track progress towards maintaining compliance and consistency across the RTO's operations.
<b>Timeframe</b>	The RTO adheres to the mandatory reporting timeframes prescribed by the QCAA which are informed by the Standards for RTOs 2015, AQF Framework and the Unique Student Identifier scheme.
<b>Unique Student Identifier (USI)</b>	The USI is a reference identifier made up of 10 numbers and letters. The RTO must hold a verified USI for each student at time of enrolment.
<b>USI security</b>	The RTO must ensure the security of USI records and all related documentation under its control or stored in any other RTO student management retrieval system/s. These records must only be accessible to authorised RTO officers.
<b>USI verification system</b>	Approved software program or National USI registry used to create and verify a student's USI.

# Data management forms

Standardised privacy, acknowledgment and consent forms are provided in this section. The RTO may customise these forms or use sector-equivalent forms.

The three forms are:

- Unique Student Identifier collection, verification and privacy form
- USI application through school RTO
- Privacy notice.

## Advice to School RTOs

If you want to apply for USIs on behalf of your students, first:

- consult with your sector representatives on any arrangements that have been made with the USI Register about how USIs are obtained, verified and/or collectively uploaded
- use the *USI application through school RTO* that follows
- alternatively, obtain a copy of the student's ID document instead of recording the ID's information.

**Collection of information:** The *Student Identifiers Act 2014* (s.11) requires RTOs to destroy personal information collected from individuals solely for the purpose of applying for a USI on their behalf. This is to be done as soon as practicable after the application has been made or the information is no longer needed for that purpose. If you are required by or under a law to retain this information, then you may wish to include a statement on the form to explain that.

Under Standard 3.6(d), you are required to ensure the security of the USI and all related documentation under your control, including information stored in your student management systems.



## Unique Student Identifier collection, verification and privacy form

Student details									
<b>Student's full legal name</b>									
<b>Date of birth</b>									
<b>Unique Student Identifier</b>									
<p><b>Note:</b> If you don't have a USI or have forgotten it, you can create or retrieve your USI at <a href="http://www.usi.gov.au/students">www.usi.gov.au/students</a> and complete this form.</p>									
Privacy notice: Use of your personal information and USI									
<p>You are advised and agree that you understand and consent to the use of the personal information you provide in connection with your application and verification of a Unique Student Identifier (USI). From 1 January 2015, we at Springwood State High School can be prevented from issuing you with a nationally recognised VET qualification or Statement of Attainment when you complete your course if you do not have a USI.</p> <p>The USI is collected by the student identifiers registrar for the purpose of:</p> <ul style="list-style-type: none"> <li>• applying for, verifying and giving a USI prior to issuance of Australian Qualification Framework (AQF) certification documentation</li> <li>• replacing an authenticated AQF certification document</li> <li>• recording a student's final outcomes that will be made available on the national USI register.</li> </ul> <p>A student's verified USI and final assessment outcomes may be disclosed to:</p> <ul style="list-style-type: none"> <li>• Commonwealth and State or Territory government departments, agencies and statutory bodies performing functions in relation to VET for:                             <ul style="list-style-type: none"> <li>– the purpose of administering and auditing VET, VET providers and VET programs</li> <li>– education-related policy and research purposes</li> <li>– assistance with determining eligibility for training subsidies</li> </ul> </li> <li>• VET regulators to enable them to perform their regulatory functions</li> <li>• VET admission bodies for the purpose of administering VET and VET programs</li> <li>• current and former registered training organisations (RTOs) to enable them to deliver VET courses to the individual, meeting their reporting obligations under the Standards for RTOs and the national USI scheme</li> <li>• schools for the purpose of delivering VET courses to the individual and reporting on these courses</li> <li>• the National Centre for Vocational Education Research (NCVER) for the purpose of creating authenticated VET transcripts, resolving problems with USIs and the collection, preparation and auditing of national VET statistics. You may receive an NCVER student survey which may be administered by an NCVER employee, agent or third-party contractor. You may opt out of the survey at the time of being contacted</li> <li>• any other authorised person or entity required by law to access the information to perform functions in the administration of the USI system.</li> </ul> <p>Your verified USI and final assessment outcomes will not otherwise be disclosed without your consent unless authorised or required by or under law.</p>									
Student declaration									
<p><input type="checkbox"/> I hereby give permission for <b>Springwood State High School</b> to collect, verify and disclose my personal information (which may include sensitive information), along with my final outcomes in accordance with the privacy notice above.</p> <p>If you would like Springwood State High School to apply for a USI on your behalf, you must authorise us to do so and declare that you have read the privacy information.</p>									
<b>Student name</b>					<b>Parent/carer name</b>				
<b>Student signature</b>					<b>Parent/carer signature</b>				
<b>Date</b>					<b>Date</b>				

# Springwood State High School



## USI application through school RTO

We need to verify your identity to create your USI. Please fill in the following details or present to the office for verification.

**Please provide details for one of the forms of identity below (numbered 1 to 6).**

**Please ensure that the name written in the 'Student's full legal name' section is identical to that written in the document you provide.**

In accordance with Section 11 of the *Student Identifiers Act 2014*, Springwood State High School will securely destroy personal information that we collect from individuals solely for the purpose of applying for a USI on their behalf as soon as practicable after we have made the application or the information is no longer needed for that purpose.

Student details	
<b>Student's full legal name</b>	
<b>Date of birth</b>	
<b>Town/city and country of birth</b>	<i>(name of the Australian or overseas town or city where you were born)</i>
<b>1 Medicare card</b>	<i>Name identified on card</i>
Card number	
Individual reference number (next to your name on Medicare card)	
Expiry date	(MM/YYYY) <input type="checkbox"/> Green
<b>2 Australian birth certificate</b>	<i>Name identified on certificate</i>
State or Territory	
Certificate number	
<b>3 Australian passport</b>	<i>Name identified on passport</i>
Passport number	
<b>4 Non-Australian passport (with Australian Visa)</b>	<i>Name identified on passport</i>
Country of birth	
Town/City of birth	
Country of issue	
Passport number	
<b>5 Immigration card</b>	<i>Name identified on card</i>
ImmiCard number	
<b>6 Citizenship certificate</b>	<i>Name identified on certificate</i>
Certificate number	

For office use only	
<b>Processed by</b>	<b>Signature</b>
<b>USI verified by</b>	<i>Identify application software</i>
<b>USI recorded in SLIMS / SMS</b>	<input type="checkbox"/> <b>Date</b> Choose date.



# Privacy Notice

Commence using this amended Privacy Notice from 1 January 2019.

**Students are no longer required to complete a student declaration and consent.**

The *Privacy Notice* explains how personal information provided by the student may be collected, held, used or disclosed, together with training activity information. It also assists to establish a student's expectations of how their personal information and training data may be handled.

The *Privacy Notice* also makes it clear that the notice is in addition to any other specific requirements RTOs are obligated to provide to their students, for example, under state or territory privacy laws.

**This notice should be provided to students electronically or in print before they enrol with the RTO. It is not mandatory to provide the notice to parents or guardians.**

The following is minimum mandatory content for inclusion in a Privacy Notice.

## Privacy Notice

Under the *Data Provision Requirements 2012*, **Springwood State High School** is required to collect personal information about you and to disclose that personal information to the National Centre for Vocational Education Research (NCVER).

Your personal information (including the personal information contained on this form and your training activity data) may be used or disclosed by **Springwood State High School** for statistical, regulatory and research purposes. **Springwood State High School** may disclose your personal information for these purposes to third parties, including:

- school — if you are a secondary school student undertaking VET, including a school-based apprenticeship or traineeship
- employer — if you are enrolled in training paid for by your employer
- Commonwealth and State or Territory government departments and authorised agencies
- NCVER
- organisations conducting student surveys
- researchers.

**Personal information disclosed to NCVER may be used or disclosed for the following purposes:**

- issuing a VET statement of attainment or qualification, and populating authenticated VET transcripts
- facilitating statistics and research relating to education, including surveys
- understanding how the VET market operates, for policy, workforce planning and consumer information
- administering VET, including program administration, regulation, monitoring and evaluation.

You may receive an NCVER student survey which may be administered by an NCVER employee, agent or third-party contractor. You may opt out of the survey at the time of being contacted.

NCVER will collect, hold, use and disclose your personal information in accordance with the *Privacy Act 1988* (Cth), the VET Data Policy and all NCVER policies and protocols (including those published on NCVER's website at [www.ncver.edu.au](http://www.ncver.edu.au)).



# VET Data Use Statement and RTO Declaration and Understanding

**When a school RTO agrees to the QCAA's conditions by submitting AVETMISS-compliant student data, using the QCAA-approved software applications, the RTO has met its declaration responsibilities under the *National VET Data Requirements*.**

It is the responsibility of the QCAA in collecting information from RTOs to implement the *VET Data Use Statement*.

The *VET Data Use Statement and RTO Declaration and Understanding* is a statement acknowledged by a person submitting data on behalf of a registered training organisation (RTO) which provides VET Data to QCAA. By acknowledging the *VET Data Use Statement and RTO Declaration and Understanding*, the RTO is indicating awareness that information submitted by the RTO is complete and accurate and may be used for the purposes listed.

**The CEO (Principal) of the RTO submitting VET data to QCAA agrees to comply with the mandatory *VET Data Use Statement and RTO Declaration and Understanding*:**

## VET Data Use Statement

Under the Data Provision Requirements 2012 and National VET Data Policy (which includes the National VET Provider Collection Data Requirements Policy), Registered Training Organisations are required to collect and submit data compliant with AVETMISS for the National VET Provider Collection for all Nationally Recognised Training. This data is held by the National Centre for Vocational Education Research Ltd (NCVER), and may be used and disclosed for the following purposes:

- populate authenticated VET transcripts;
- facilitate statistics and research relating to education, including surveys and data linkage;
- pre-populate RTO student enrolment forms;
- understand how the VET market operates, for policy, workforce planning and consumer information; and
- administer VET, including program administration, regulation, monitoring and evaluation.

## RTO Declaration and Understanding

I declare that the information provided in this data submission is accurate and complete.

I understand that information provided in this data submission about client training and outcomes may appear on authenticated VET transcripts.

### **I understand that:**

- information provided in this data submission will only be used, accessed, published and disseminated according to the National VET Data Policy
- if that information also includes personal information, the Privacy Act 1988 and Australian Privacy Principles, regulate the collection, use and disclosure of personal information.

### **I understand that:**

- information provided in this data submission may be used for the purposes outlined above, and
- identified RTO level information that supports consumer information, transparency and understanding of the national VET market may be published in reports, tables and a range of other data products, including data cubes and websites.