

MCE

VOCATIONAL SKILLS

DEPARTMENT

Data Management and USI Policy and Procedure

MARIST COLLEGE EMERALD RTO: 30330



For all Queensland schools

Data Management and USI policy and procedure

Version: 21.01.19

School RTO approval statement					
School RTO name	Marist College Emerald - The Roman Catholic Trust Corporation for The Diocese of Rockhampton				
Policy start date	21/01/2019	QCAA school number	449	National provider number	30330
The Principal as Chief Executive Officer (CEO) approves: <ul style="list-style-type: none">• the policy, procedure and implementation requirements• all identified attachments to this policy and procedure• all modifications to the policy and procedure prior to implementation• the delegated Registered Training Organisation (RTO) officer/s to implement the policy and procedure• the RTO Manager monitoring, evaluating and reviewing the application of this policy and procedure to ensure compliance at all times• QCAA analysing these documents when conducting audits• that email addresses provide the same acknowledgement as a signature.					
RTO Manager			Principal		
Name	Ms A.Monique Evans		Name	Mr Mark Green	
Email	mce_rtomanager@rok.catholic.edu.au		Email	Mark_Green@rok.catholic.edu.au	
Date	21/01/2019		Date	21/01/2019	
All additional delegated officers (add additional places to this table as required)					
Delegated officer	Public Enquiries Assistant to the Principal – Curriculum Mrs Maria Parlato		Delegated officer		
Email	Maria_Parlato@rok.catholic.edu.au		Email		
Date	21/01/2019		Date		

About this policy and procedure

Purpose

This policy and procedure addresses the obligations of governance, data provision requirements and administration arrangements as set out in the VET Quality Framework (VQF). The RTO will provide data compliant with the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS), the *Student Identifier Act 2014* requirements and the National VET Data Policy 2017.

It represents how this RTO ensures compliance at all times. This document will be maintained to an auditable standard and is updated whenever policy and/or practice change.

Who should use it

All delegated RTO officers identified on page 1 of this policy and procedure.

How to use it

All officers delegated to implement any part of the policy must:

- use the most current approved version
- ensure familiarity with the contents of each section
- use Section 3 checklist when collecting, recording and reporting data
- consult with the sector representatives on any arrangements that have been made with the USI register about how USIs are acquired and verified
- report any non-compliances to the RTO Manager.

The RTO Manager must:

- consult with the sector representative to ensure adherence to any sector-specific arrangements that have been made with the USI register
- use Section 4 checklist to systematically monitor, evaluate and review the policy and procedure that is consistent with the RTO's quality management system.

Identified attachments

Standardised privacy, acknowledgment and consent forms have been attached to this policy and procedure. The RTO may customise these forms or use sector equivalent forms.

- USI collection, verification and privacy form
- USI application through School RTO if being applied for on behalf of the student
- Privacy Notice and Student Declaration minimum mandatory content

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 Quality framework (AQF), Unique Student Identifier (USI) Act, Data Provision Requirements 2012, AVETMISS Standards and National VET Data Policy 2017.

Data management

Recording student data policy and procedure			
Policy	Enrolment	Management	Records and retention
<p>The RTO will maintain and provide accurate and complete student enrolment and outcome data using a QCAA approved student management software system (SMSS).</p> <p>All training and assessment provided by the RTO will be reported to QCAA.</p> <p>Student unit enrolment must align with the relevant qualification's current TAS document.</p> <p>Students will only be enrolled in qualifications that are on the RTO's current scope of registration.</p> <p>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.</p> <p>Final student outcomes for units of competency and qualifications will be quality assured by RTO Management prior to being recorded in an SMSS.</p> <p>Final outcomes will be recorded soon after a student has been assessed and RTO Management approves the assessment decision.</p> <p>If a student exits a program or leaves the RTO, records must be updated immediately and any certification issues within 30 days.</p> <p>The RTO will fully cooperate with QCAA in providing data including: student enrolment, USI and quality indicator reports.</p>	<p>Prior to commencement of training and assessment, student data will include:</p> <ul style="list-style-type: none"> enrolment in at least the minimum number of units of competency required by the qualification or accredited course proposed start and end dates for each unit of competency interim outcome of <i>Continuing enrolment</i> for each unit of competency confirmation that the qualification's currency period on training.gov.au is of sufficient length for students to complete the learning program the duration (difference between start and end dates) of the learning program aligns with the TAS document. <p>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.</p>	<p>Recording of student progression data is managed through cooperation between the assessor, RTO management and data management officers.</p> <p>Assessor's outcome decisions will be recorded in a student profile.</p> <p>The student profile document is approved by RTO management as part of the assessment system.</p> <p>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.</p> <p>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.</p>	<p>The RTO will ensure that:</p> <ul style="list-style-type: none"> records of final student outcomes are accessible and retained for a period of 30 years students are informed that personal information will be collected and reported on their behalf electronic acknowledgement or signed students/parent declarations and consent of the RTO's privacy notice are retained for two years from the time of the student's enrolment in the training retain, indefinitely, each version of the declarations and consent of the RTO's privacy notice form and the periods that they were provided to students/parents records are securely held and only accessible by authorised RTO officers.

Requirements of student data			
Student management system and reporting	Monitors	Evaluation and review	Collection and reporting periods
<p>Students' VET course enrolment and outcomes details are maintained using QCAA approved SMSS.</p> <p>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.</p>	<p>In accordance with mandatory reporting requirements the RTO Manager checks that:</p> <ul style="list-style-type: none"> course details and duration dates are accurate unit enrolments comply with the relevant TAS student outcomes are accurate prior to recording them in the QCAA approved SMSS. 	<p>The RTO Manager:</p> <ul style="list-style-type: none"> 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 identifies areas for improvement and actions recommendations made records any actions in Section 4 of this policy and procedure. 	<p>The RTO adheres to the mandatory record keeping timeframes prescribed by the QCAA in the Senior Education Profile Calendar (SEP) including:</p> <ul style="list-style-type: none"> QCAA mandatory record keeping and reporting dates Annual Declaration on Compliance. Annual Quality Indicator data summary report.

Unique Student Identifier

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

Section 2 Explanation of terms

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

Glossary	
Term	Meaning
Enrolment	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.
Evaluate	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.
Monitor	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.
Outcomes	Student interim or final results are entered and maintained in accordance with the approved QCAA Student Management System guideline handbook.
Parent/carer consent form	A sample parent/carer consent form is attached to this policy document.
Quality indicators (QI)	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> .
Records	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.
Reporting software application — AVETMISS compliant	QCAA approved student management software systems (SMSS) are AVETMISS compliant. School RTOs are required to report to QCAA only.
Review	Acknowledging and actioning recommendations resulting from completing monitoring and evaluating activities.
RTO officers	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.
Systematic monitoring	The process of collecting, analysing and using information to track progress towards maintaining compliance and consistency across the RTO's operations.
Timeframe	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.
Unique Student Identifier (USI)	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.
USI security	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.
USI verification system	Approved software program or National USI registry used to create and verify a student's USI.

Section 3 Record and reporting checklist

The RTO Manager or delegated officer uses this checklist to confirm that the RTO's data and reporting policy requirements have been met.

A 'No' checked against any item indicates a non-compliance and will require immediate rectification prior to the end of a reporting period.

Enrolment	Yes	No
Approved privacy statements and permissions have been issued to students and parents/carers at enrolment.	<input type="checkbox"/>	<input type="checkbox"/>
Student's identification and personal details have been entered using the QCAA approved SMSS before VET enrolment data or results are entered.	<input type="checkbox"/>	<input type="checkbox"/>
The enrolment data contains the minimum units of competency as specified in the TAS.	<input type="checkbox"/>	<input type="checkbox"/>
A start and proposed end date for each unit of competency are entered into the QCAA approved SMSS.	<input type="checkbox"/>	<input type="checkbox"/>
Once the USI acknowledgment form has been received:		
The student's USI has been provided or created at enrolment.	<input type="checkbox"/>	<input type="checkbox"/>
The student's USI has been verified prior to recording in the QCAA approved SMSS.	<input type="checkbox"/>	<input type="checkbox"/>
Management	Yes	No
Before recording data, the delegated officer checks the following requirements are included or applied:		
Assessors have provided final outcomes to the delegated officer for approval.	<input type="checkbox"/>	<input type="checkbox"/>
Data and outcome reports have been provided to the RTO Manager.	<input type="checkbox"/>	<input type="checkbox"/>
The RTO Manager periodically checks accuracy and approves student data record/s entries held in the QCAA approved SMSS.	<input type="checkbox"/>	<input type="checkbox"/>
Learner feedback and quality indicator student survey data has been collected.	<input type="checkbox"/>	<input type="checkbox"/>
Learner surveys and outcomes have been analysed to inform future programs.	<input type="checkbox"/>	<input type="checkbox"/>
Privacy statements and permissions consent forms have been returned by all students and parent/carers.	<input type="checkbox"/>	<input type="checkbox"/>
Records	Yes	No
Start and end dates are relevant.	<input type="checkbox"/>	<input type="checkbox"/>
Data entered accurately records interim (continuing enrolment) or final outcomes (all other, e.g. Credit Transfer, Transitioned, Competent, Not Competent, Withdrawn etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Final outcomes of students are held to an auditable standard and accessible for reissuance as required for a minimum of 30 years.	<input type="checkbox"/>	<input type="checkbox"/>
Verified USIs are securely stored.	<input type="checkbox"/>	<input type="checkbox"/>
Reporting	Yes	No
USIs are recorded using the QCAA approved SMSS and provided to QCAA within required timeframes.	<input type="checkbox"/>	<input type="checkbox"/>
Annual Declaration of Compliance is submitted to QCAA by 30 March.	<input type="checkbox"/>	<input type="checkbox"/>
Annual Quality Indicator summary report is submitted to QCAA by 30 June.	<input type="checkbox"/>	<input type="checkbox"/>
Report to QCAA that consent to the collection, use and disclosure of student's personal information by each student and parent/carer has been given.	<input type="checkbox"/>	<input type="checkbox"/>

Section 4 Systematic monitoring

Completing Section 4 satisfies the requirement of the Standard for systematic monitoring.

The RTO Manager will record the dates when monitoring activities occur, record the outcomes of the monitoring process and detail any rectifications required or actioned to ensure ongoing compliance

A 'No' indicates a non-compliance and must be reported to the RTO Manager.

Relevant Standards: 2.1, 2.2, 3.1 to 3.6, 7.5, 8.1(f), Schedule 4(6), Schedule 5

Systematic compliance monitoring checklist	
Date of successive monitoring activities	Name of person/s conducting successive monitoring activities
14/01/2019 Completed	A.Monique Evans – RTO Manager
25/03/2019 Due: T1 W9 19	A.Monique Evans – RTO Manager
17/06/2019 Due: T2 W9 19	A.Monique Evans – RTO Manager
16/09/2019 Due: T3 W9 19	A.Monique Evans – RTO Manager
2/12/2019 Due: T4 W9 19	A.Monique Evans – RTO Manager

Monitoring activity	Record of last monitoring	
	Yes	No
School RTO approval statement (Page 1 of this document)	The following details are current and complete:	
	School RTO name	<input checked="" type="checkbox"/> <input type="checkbox"/>
	The policy and procedure document is dated (start date)	<input checked="" type="checkbox"/> <input type="checkbox"/>
	QCAA school number	<input checked="" type="checkbox"/> <input type="checkbox"/>
	National provider number	<input checked="" type="checkbox"/> <input type="checkbox"/>
	Principal's name and contact details	<input checked="" type="checkbox"/> <input type="checkbox"/>
	RTO Manager's name and contact details	<input checked="" type="checkbox"/> <input type="checkbox"/>
All delegated officers' names and contact details	<input checked="" type="checkbox"/> <input type="checkbox"/>	
Policy and procedure (Section 1 of this document)	Data management and USI policy represents current practice	<input checked="" type="checkbox"/> <input type="checkbox"/>
	Recording and reporting procedures represent current practice	<input checked="" type="checkbox"/> <input type="checkbox"/>
	Requirements for student data represent current practice	<input checked="" type="checkbox"/> <input type="checkbox"/>
	USI verification procedures represent current practice	<input checked="" type="checkbox"/> <input type="checkbox"/>
Data record checklist (Section 3 of this document)	Section 3 checklist is used for monitoring the collection, recording, management and reporting process	<input checked="" type="checkbox"/> <input type="checkbox"/>

RTO Manager notes	
Comment on the last monitoring activity	USI and Data Management Policy and Procedures are compliant. Updated QCAA Forms should be used for the 2019 VET Student cohort. The new documents need to be made available via the College website.
List any non-compliances	N/A
List any rectifications	N/A

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*
- 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.